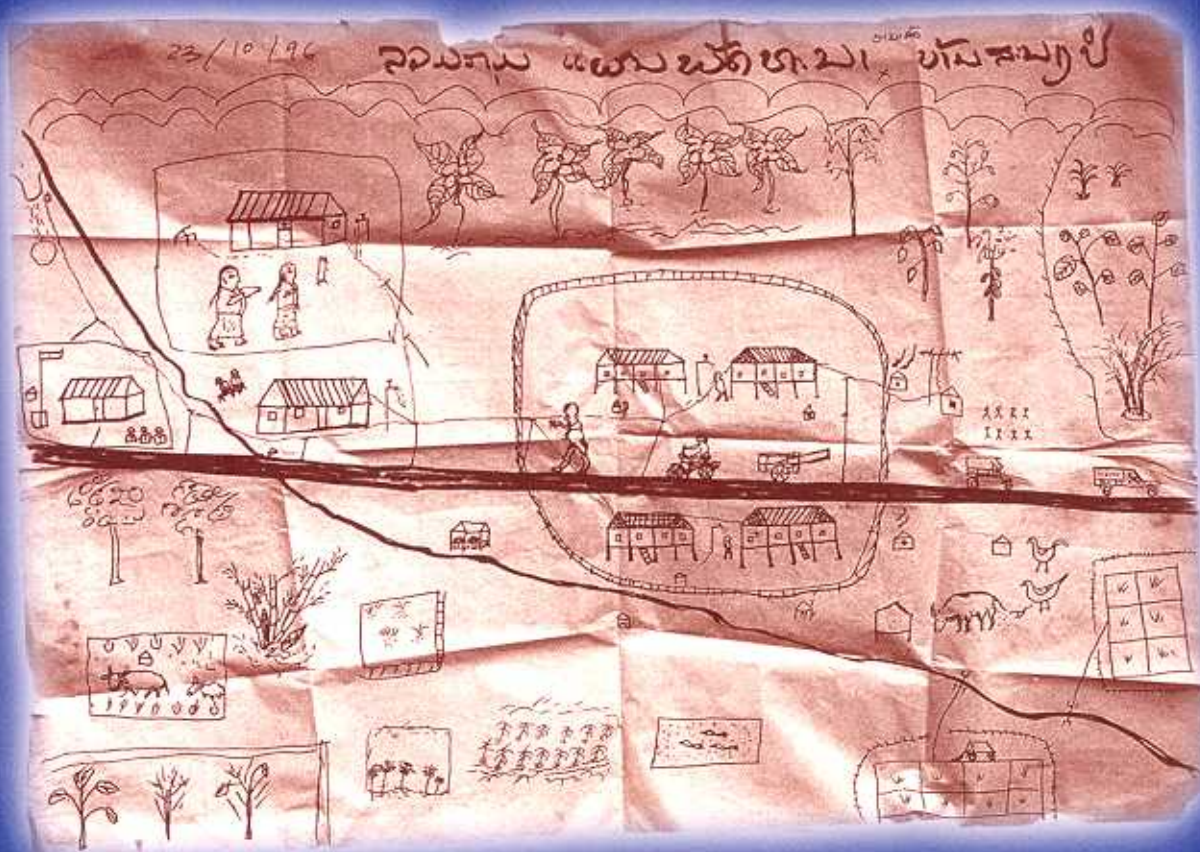


ECONOMIC AND SOCIAL COMMISSION FOR ASIA AND THE PACIFIC

ESCAP-UNDP GUIDELINES

FOR

PARTICIPATORY PLANNING OF RURAL INFRASTRUCTURE



UNITED NATIONS

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PREFACE

In most developing countries of the region, the proportion of people living in rural areas represents a significant part of the total population. These people, however, have only limited access to physical infrastructure. This lack of access not only poses a major obstacle for the poor in obtaining basic health, nutritional and educational services but also represents the main impediment to the overall process of rural development.

Recognizing the pressing need to improve living conditions and promote employment for the rural poor, new initiatives are being taken by several Governments in the region to address the associated problems, with emphasis on, *inter alia*, improving access to physical infrastructure. Furthermore and in order to ensure that the benefits reach the poor, there is a growing trend towards adopting participatory approaches to the planning and implementation of rural infrastructure development projects.

The pilot project on **“Participatory planning of rural infrastructure”** was undertaken as part of the reorientation of the UNDP Regional Programme for Economic Reforms through Enhanced Transport and Communications Services. It had been executed by nine agencies: APT, ESCAP, ICAO, ILO, IMO, ITU, UNCTAD, UPU and the World Bank, with the ESCAP secretariat as the lead agency. A major aim of the pilot

project was to increase the capabilities of institutions at the village and district level to participate actively in the planning of local transport and other infrastructure development, operation and maintenance. In due course the ultimate goal of poverty alleviation could be achieved.

In view of the severity of the situation, Lao People's Democratic Republic was selected for its implementation. It is a striking example of a least developed and landlocked country where acute lack of access to physical infrastructure remains one of the principal contributing factors to poverty and low standards of living. The project's sites were in two zones of the northern part of the country, namely, Phonhom (Xai District) and Mokveng (Pakbeng District) in Oudomxai Province. The project was designed to build on existing activities with the same goal. Hence it was carried out to fit within the overall framework of the Integrated Rural Accessibility Planning (IRAP) project which was being undertaken by the Ministry of Communications, Transport, Post and Construction (MCTPC) in collaboration with the International Labour Organization (ILO).

With strong emphasis on community participation approaches, both men and women as the driving force were involved in the whole process of identifying, selecting, planning and implementing the project. By these means the

project provided the framework within which the communities could take ownership of the process. Taking the degree of involvement as well as the tangible outcome as success criteria, the participatory approach principle of the project could have already been well serve to be replicated judiciously elsewhere. The project results were already shared with the concerned officials and implemented in other provinces. For the benefits of other countries in the Asian and Pacific region the ESCAP secretariat has documented the whole process, and prepared these *"ESCAP-UNDP Guidelines on participatory planning of rural infrastructure"*.

With a view to assisting other developing member countries in adopting similar approaches to rural infrastructure planning, the *Guidelines* were reviewed intensively at a policy-level regional seminar, held in New Delhi in May 1998. The experiences gained and lessons learnt from the implementation of the pilot project were shared with policy planners and decision makers of seven ESCAP member countries, as well as other concerned organizations in those countries. The present *Guidelines* have been finalized for regional application in line with the comments/suggestions made by the seminar participants. Findings from another ESCAP study entitled *"Case Studies on Transport and Communication Interventions in the Alleviation of Poverty"* were taken into consideration while formulating the *Guidelines*. The *Guidelines* have also drawn upon experience gained in the

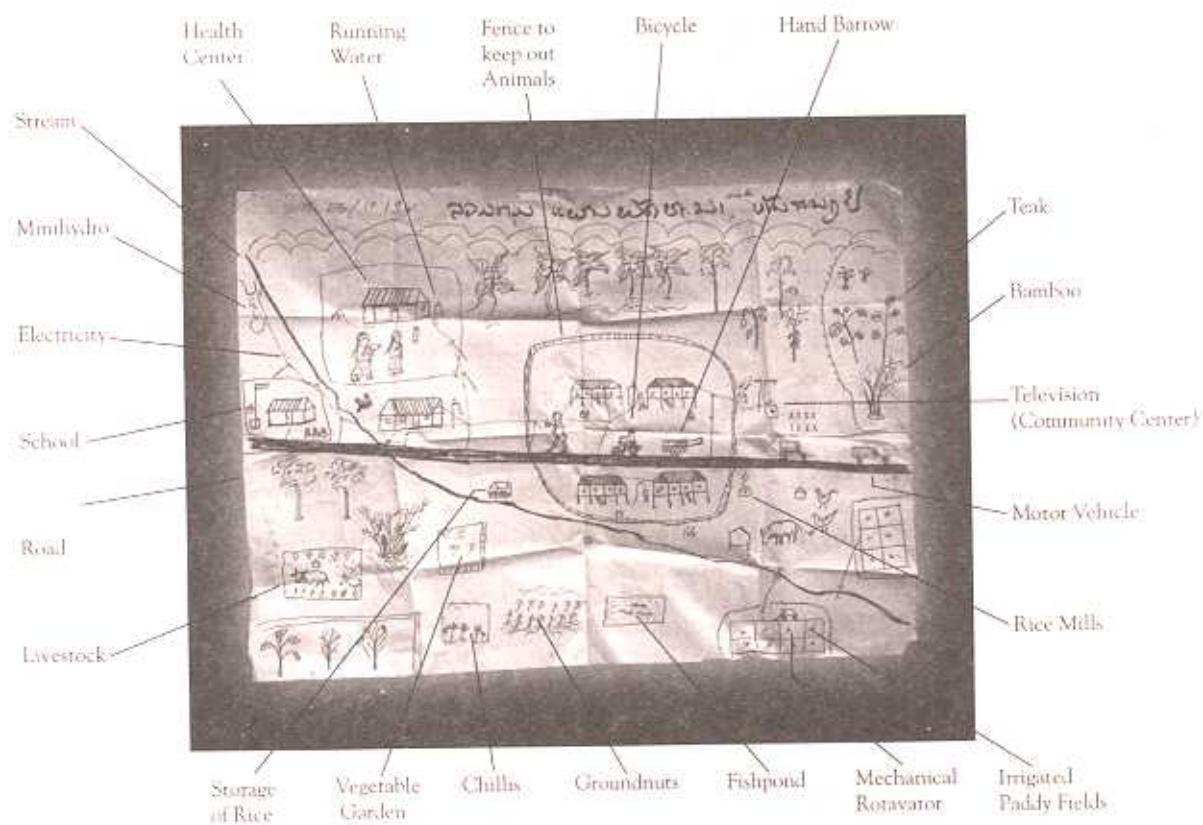
ESCAP project which was subsequently documented in the publication *"A Replicable Model for Improving District-level Coordination in Poverty Alleviation in South Asia"* (ST/ESCAP/17720).

The *"ESCAP-UNDP Guidelines on Participatory Planning of Rural Infrastructure"* is intended to guide the ESCAP member countries in the systematic planning of rural infrastructure by creating effective partnerships and adopting participatory approaches. It is indeed hoped that it will provide transport and other infrastructure planners and decision-makers with a better understanding and appreciation in trying the approaches to address the problems of poverty alleviation.

The ESCAP secretariat wishes to express its gratitude to UNDP for providing funds for the implementation of the project. The secretariat is grateful to the Government of Lao People's Democratic Republic for the utmost cooperation and support extended in the whole process, and for replicating it in other provinces by applying these *Guidelines*. Special thanks are due to Ms. Simi Kamal of Pakistan who assisted the ESCAP secretariat in developing the *Guidelines*, as well as to the participating experts who contributed towards its finalization at the ESCAP regional seminar "Regional Seminar-cum-Cluster Country Meeting on Participatory Planning of Rural Infrastructure", May 5-8, 1998, New Delhi.

ABBREVIATIONS

ESCAP	Economic and Social Commission for Asia and the Pacific
ICAO	International Civil Aviation Organization
ILO	International Labour Organization
IMO	International Maritime Organization
IRAP	Integrated Rural Accessibility Planning
ITU	International Telecommunication Union
MCTPC	Ministry of Communications, Transport, Post and Construction, Lao People's Democratic Republic
TCTIDD	Transport, Communications, Tourism and Infrastructure Development Division, ESCAP
UNCTAD	United Nations Conference on Trade and Development
UNDP	United Nations Development Programme
UPU	Universal Postal Union
APT	Asia-Pacific Telecommunity





CONTENTS

Page

Preface	III
Abbreviations	V

Chapter I

INTRODUCTION 1

1.1 Background	1
1.2 Emerging paradigms	1
1.3 Sub-national planning approaches	5
1.4 Building effective partnerships among the government, NGOs communities and the private sector	5
1.5 ESCAP initiative to demonstrate participatory approaches to planning of rural infrastructure in Lao People's Democratic Republic	6

Chapter II

CREATING AND MAINTAINING A SUPPORTIVE POLICY ENVIRONMENT (POLICY LEVEL ACTION)

.....	9
2.1 Creating awareness among policy makers at all levels	9
2.2 Recognition of benefits and impacts of policy changes	10





CONTENTS (continued)

Page

- 2.3 Establishment of broad based consensus and commitments 10
- 2.4 Inter-ministerial and inter-agency cooperation 11
- 2.5 Technology and research 11

Chapter III

GOOD GOVERNANCE: PREREQUISITES FOR SUCCESSFUL PARTNERSHIPS (OPERATIONAL LEVEL ACTIONS) 13

- 3.1 Restructuring legislative and administrative systems 13
- 3.2 Financial restructuring and resource mobilization 14
- 3.3 Collaborating with NGOs 15
- 3.4 Ensuring follow-up and sustainability 16

Chapter IV

PLANNING AND IMPLEMENTATION (DEMONSTRATION) 19

- 4.1 Demonstration of changed approaches (Through a pilot project) 19

CONTENTS (continued)

	<i>Page</i>
4.2 Using transport-related interventions as entry points in the poverty alleviation process	19
4.3 Enlarging the role of communities and enhancing their capabilities	20
4.4 Allocation and channeling of available resources	21
4.5 Training in local-level planning and community-participation techniques	21
4.6 Identification and prioritization of interventions by community	22

Chapter V

INTEGRATION OF THE PARTICIPATORY PROCESS IN THE OVERALL PLANNING SYSTEM (SUPPORT ACTIONS)

5.1 The basis of working together	23
5.2 The roles of knowledge and learning	24
5.3 The marketing, credit and entrepreneurial matters	25
5.4 The guiding issues	26





CONTENTS (continued)

Page

Chapter VI

PROTOTYPE ACTION PLAN.....	31
6.1 Policy level actions.....	31
6.2 Operational level actions.....	34
6.3 Demonstration.....	35
6.4 Support actions.....	36

List of Boxes

Box-1 Bottom-up planning.....	3
Box-2 Evolution of corporate community investment.....	4

1.1 Background

The genesis of inadequate rural infrastructure lies in denial of resources to, and low investment in, the rural sector, and the failure to integrate rural-urban economies in a mutually beneficial relationship. However, many of today's rural infrastructure problems come from yesterday's solutions. Those solutions indulged the so-called Integrated Rural Development Projects that were attempted throughout the developing world in the 1950s and 1960s. They were characterized by top-down approaches by which blueprints and set models were applied to various local conditions. The line ministries/agencies entrusted with planning and implementation were not really attuned to working with people at the grassroots level, hence they simply tried to impose solutions on them. Moreover the bureaucrats and "experts" ran the whole process.

While those projects sometimes worked in tandem with or ran parallel to "local government", the local government institutions were not independent. Since the people were

involved neither in the process of consultation nor of implementation, they did not have the sense of belonging. Local commitments, essential to the sustainability of development projects, were absent.

1.2 Emerging paradigms

With rich experiences and analyses within one's own country and elsewhere, the people concerned with development have increasingly recognized that the development of rural infrastructure, with the aim of alleviating poverty, is not only a "welfare" measure. It is more a matter of a hard "socio-economic necessity". More importantly it is the realization of the extreme inadequacy of top-down approaches. And their corresponding practices that were adopted in the rural infrastructure planning process were no longer deemed appropriate. New approaches are required, so that all-around efforts are to be in tune with the demands of development¹. Three distinctive generations of development paradigms can be identified namely welfare pluralism, community development and collective action (or community investment).

¹ For an elaboration of these concepts see Rashdi M A and Kamal S, "Changing Paradigm of Development Moving Beyond Cooperation and Collaboration", theme paper presented at the ADB Stakeholders Workshop, Islamabad, 18-19 February 1998.

1.2.1 Welfare Pluralism

Many of the rural public services which are taken for granted today were originally pioneered by individuals, or small groups of people, acting voluntarily with genuine benefits for communities in mind. Some of these were small community groups, often drawn on the basis of common language, culture or profession, who came together for special purposes. Members, the public or other agencies provided the necessary financial and human resources. These groups would often seek to get the government to take over programmes they had initiated, and to widen their scope and impact in ways that only governments can. The two parties often developed close relationships (based on consensus and contract) as working partners in service delivery and resource mobilization in a pattern termed "welfare pluralism". In instances where the government was not involved, collective action taken by communities, community-based organizations (CBOs) and non-government organizations (NGOs) was based on individual and institutional philanthropy, which later evolved into corporate community investment.

We now seem to have come full circle: human involvement, participation, development, empowerment and social change are now the major concerns of development. These new approaches are a rediscovery rather than a discovery.

1.2.2 Community Development

Community "**involvement**" concepts grew during the 1970s, but still implied a

welfare approach. They largely concentrated on economic programmes with some social sector development. Inputs were from government and/or development agencies and people were seen as "**beneficiaries**" and sometimes "**consulted**". Communities were "**motivated**" and projects were "**handed over**" to them.

Community involvement was followed by "**community participation**"; an active process whereby beneficiaries influence the direction and execution of development projects rather than merely receiving a share of project benefits. The objectives of community participation were recognized as social empowerment, building beneficiary capacity, increasing project effectiveness, improving project efficiency and project cost sharing.

During the late 1980s the term "**sustainable**" was added to participatory development concepts. In this context, sustainable extended well beyond environmental sustainability and was characterized by a concern with sustainable development, social justice and people's empowerment. It was agreed that programmes and projects should be conceived, planned, implemented, monitored and evaluated by people themselves. Terms like "**beneficiaries**" and "**target groups**" need to be seriously eschewed. Community members are partners in a process that will lead to more mutually beneficial and productive inter-relationships. The term "**bottom-up planning**" is often used to describe these sustainable community-based approaches (see Box-1).

Box-1

Bottom-up planning

Bottom-up planning has three key features:

Needs identification surveys

In local-level planning, people's needs are identified through a survey of the community. Although necessary, the technical processing of data collected from such a survey alone cannot provide the 'heartbeat' of the community. In order to that, with minimal training communities can themselves collect data, on their own or with technical assistance. Such assistance would usually be required for technical data needed for assessing key indicators (such as infant mortality rates, recharge rates for water sources, forest depletion, etc.).

Community-based needs assessment

Involvement of the local communities (both men and women) is advocated as a necessity to ensure the contribution of the communities' ideas, interests, labour and time, and to promote their active involvement in planning, decision-making, implementation and evaluation.

Assisting communities to identify and prioritize needs

Governments and private agencies should stimulate local initiatives for self-help projects at the local level. They should help the communities to reach a decision, but NOT decide for them.

1.2.3 *Collective Action (Community Investment)*

The revitalized concepts of community participation implied that actors "**disenfranchised**" under the old development paradigms needed to be "**re-enfranchised**". It was accepted that given the opportunity, rural communities could improve their potentials to identify problems and find effective and

relevant solutions to their problems and that, therefore, poverty alleviation could be addressed through "**collective action**".

It is important to distinguish collective action within the new development paradigm from collectivization which resulted in collective farming and cooperatives imposed on by authorities from outside. Those collective efforts were characterized by directives from

the top, dependency on the state and were production-oriented. Corporate community investment channeled institutional philanthropic resources into NGOs, CBOs and communities. Changes in the global economy and in the social sectors have brought about much restructuring in the nature of collective action, and the nature of corporate community

investment has also changed. Box-2 shows the evolution of these changes through their first, second and third generation efforts. It may be noted that in the third generation, community investment has replaced philanthropy and communities act in a more business-like manner to address their interests.

Box-2
Evolution of corporate community investment

	First generation (Welfare pluralism)	Second generation (Community development)	Third generation (Community investment)
Purpose	General philanthropy for charity or services	Institutional strategic philanthropy focused on defined goals	Community raising or investment for its defined goals
Motive	Morality and doing good	Long-term self-interest of institutions	Direct self-interest of communities
Strategy	Ad hoc (based on feelings)	Systematic (based on planning)	Strategic (based on goals)
Staff	Efforts designed and implemented by administrators	Efforts designed and managed by managers	Efforts designed and managed by entrepreneurs and specialists recruited by communities
Structure	Detached from business activities	Part of organization's structure	Integrated as part of business functions
Initiative	Passive support	Responsive to request in target areas	Active-initiatives and programmes
Contribution	Usually cash	Cash donations of goods and services and technical expertise	Community resources, business resources, skills and cash
Sustainability	Usually one-time assistance	Assistance in specific sectors over defined periods	Development and capacity building of community organizations

Many rural infrastructure interventions have elements that are to varying degrees **"public goods"** in nature. A public good is described by economists as a good that is enjoyed in common, that is, each individual's consumption of such a good leads to no subtraction from any other individual's consumption of that good. The implied characteristics of such goods are **"non-rival consumption"**, that is the consumption by one individual does not reduce the benefits derived by other individuals, and **"non-excludability"**, that is, if the good is provided, one individual cannot deny another individual consumption of the good.

Because of these characteristics rural infrastructure development is an area which is amenable to collective (community) action. Within this context, it can be said that in the process of tackling issues of poverty and accessibility, community participation is the driving force (engine) for collective action, while transport, communications and other infrastructure are the vehicles.

1.3 Sub-national planning approaches

In spite of the emerging paradigms, many countries in the ESCAP region, continue to adopt a heavily top-down oriented approach,

in which the sub-national phase is often missed out. In many cases sub-national plans do not exist at all, or are present only in the context of particular projects or sectors. A problem remains in the need to integrate both sectoral and spatial programmes into development planning. A change in the planning sequence is suggested, such that the sub-national stage precedes the sector stage.

Decentralization is an essential feature of sub-national planning, and is of particular relevance to rural development involving improved access. Devolution and delegation form an integral part of the process of decentralization². Decentralized planning and implementation is, however, effective only if it is accompanied by adequate availability of funds at each level³.

1.4 Building effective partnerships among the government, NGOs, communities and the private sector

As we move into the new millennium, the problems of poverty, marginalization and disadvantage continue to increase. These problems are too pressing to be handled by old institutional arrangements. The different sectors in civil society need to appreciate their own strengths as much as to recognize their own

² For a discussion on decentralization and access see Rahman, A. H. and M. M. Khan, 1997. Decentralization and Access: Theoretical Framework and Bangladesh Experience, *Asian Profile*, vol. 25, no. 6, December.

³ In decentralizing powers and duties care needs to be taken to ensure that the resulting legislature, regulatory and administrative regimes do not paralyze the decision making process. For example, issues specifically related to the management of a particular watershed need to be addressed within the geographic boundaries of the watershed, not within artificially imposed political boundaries which overlap with or are subsets of the watershed.

weaknesses as well as those of others. They need to work together - not against each other.

With increasing awareness and recognition of the role of community participation and decentralization, some governments in the ESCAP region have already taken concrete steps for the incorporation of the concept of partnerships in their development plans. The Eighth National Economic and Social Development Plan of Thailand (Government of Thailand, 1997) is a case in point.

Several governments are already encouraging greater cooperation and participation in rural development activities by all partners concerned, including government officials, the private sector, NGOs and the communities. The role of NGOs and the private sector is being enlarged by encouraging them to cooperate with the public sector in the interests of community development. They are also being encouraged to actively participate in the development of community businesses.

1.5 ESCAP initiative to demonstrate participatory approaches to planning of rural infrastructure in Lao People's Democratic Republic

In order to demonstrate a need-based integrated approach to the planning of rural infrastructure, the Transport, Communications and Tourism Division of ESCAP, in collaboration with related specialized agencies, and with financial support from UNDP, initiated a pilot project on participatory plan-

ning of rural infrastructure in Lao People's Democratic Republic.

The overall goal of this initiative was to determine a process whereby transport and communications interventions would have a significant impact on poverty reduction. And community participation was the central point around which the pilot project evolved. By adopting a "bottom-up" approach, the project offered considerable potentials for enhancing the capability of institutions at the village and district level to participate actively in the planning and implementation of local transport and communications development, operation and maintenance projects. Though the project was firmly anchored to interventions in the transport and communications sectors, it covered a range of sectors. The multi-pronged approach suggested that the needs for agriculture, health, education, water supply and sanitation, forestry, small scale industry etc, had to be identified, and the most appropriate transport and communications interventions had to be developed to meet those needs.

The pilot project was implemented in two selected zones, namely Phonhom and Mokwen, of Oudomxai province. It began with the communities identifying needs for interventions in several sectors. A detailed study of the appropriate design and cost of the proposed interventions then followed it. After intensive discussions with the communities, and examination of broadly based costs and benefits, roads and irrigation interventions in Phonhom Zone, and water supply and school projects in Mokwen Zone were agreed and

implemented. In addition, technical assistance was provided in four main areas: participatory watershed management, rural credit, agricultural development and micro-industry/enterprise development.

Since the project is one of the success stories, it is intended and hoped that the approaches could be replicated and/or adapted by countries in the ESCAP region. Building upon experiences in Oudomxai and those of the cluster countries involved in the project, the present *"ESCAP-UNDP Guidelines for Participatory Planning of Rural Infrastructure"* was developed with a view to assisting developing member countries in adopting similar approaches to rural infrastructure planning. The *Guidelines* suggests that for building effective partnerships in the development process, governments may require to reorient some of their existing administrative structures and procedures. The framework proposed for this reorientation include four main areas as follows:

- (1) the creation and maintenance of a supportive policy environment (requiring top level policy actions at the cabinet or ministerial level);
- (2) the prerequisite activities for planning and implementation (requiring a high level organization responsible for translating the top policy into planning and actions);
- (3) the actual implementation (requiring the field units to work out demonstration); and
- (4) the integration of the process in the overall activities of relevant government organizations (requiring a coordinating body or forum for support actions).

The following four chapters deal with each of these respectively. The concluding chapter, Chapter VI, presents a prototype action plan for possible adoption by countries.

CHAPTER II

CREATING AND MAINTAINING A SUPPORTIVE POLICY ENVIRONMENT (POLICY LEVEL ACTIONS)

There has always been political, social, economic, and gender monopolization in the development process. The economic consequences of monopolies are well known. The new paradigm requires that there are "demonopolization" and increased choice and competition not only in the economic sphere but also in the political, social and genders spheres. The actors who have been disenfranchised under previous development paradigms (including the poor, the private sector, NGOs, women and children) need to be re-enfranchised.

The changes in the approach and working methods discussed in this chapter are needed to build the policy environment, which will facilitate the implementation of community-based interventions. In the following sections, each topic under consideration is discussed under two sub-headings: Basic Propositions and General Guidelines for Countries.

2.1 Creating awareness among policy makers at all levels

Basic propositions

There is a need among policy makers at all levels of government, as well as among institutions that are involved in the development sector, for systematic recognition of, and establishment of processes for, working

with communities and other development-related members of civil society, under partnership arrangements. In a number of the projects being implemented by ESCAP, the new and emerging paradigm of development are visible. This includes the vital need for policy makers to be aware and convinced that the major changes which are required will address issues of concern and that they will work.

ESCAP has made a sustained effort to inform top policy makers in member countries of lessons learned from these initiatives

General guidelines for countries

The generation of interest in, and attention to issues that have important implications for poverty alleviation need to be stimulated among policy makers at all levels.

It would be useful for each country to develop a programme of policy level meetings designed to gain support of the policy makers across different ministries and agencies, for participatory and partnership approaches in planning and implementing rural infrastructure aimed at alleviating poverty.

From these meetings should emerge policy statements and action plans on

institutional changes for developing participatory approaches within ministries and agencies.

2.2 Recognition of benefits and impacts of policy changes

Basic propositions

Fear of the unknown is one of the factors contributing to lack of support for participatory approaches. It is important to know how "influential people" (feudal lords, local gangsters, patrons, local politicians, government functionaries, village headmen, etc.) will be affected by the changes that are being proposed, to work towards removing abuses of power and to turn perceived threats into opportunities. For example, many men fear that women will go "out of their control" as a result of certain intervention, or that people dependent upon them through social and economic relations will become empowered. Consequently, issues where fears are exaggerated or unsubstantiated and those that are related to "monopoly" and corruption will need to be clearly identified.

General guidelines for countries

In order to counter the apprehensions about participatory approaches, a study of who would benefit, what would be the impact, and how policy changes could occur, is required in each country. The findings of these studies should be shared widely and discussed with the stakeholders (particularly those who fear the changes). The dialogue should focus on how participatory approaches result in shared development for all, and are therefore, empowering rather than threatening.

Based on the policy statements and stakeholders analysis, each country should develop some agreed milestones and time frames for adopting these approaches. Care will be needed to assure the actors that "changes" present opportunities, not threats, and that there is a commitment to design transparent systems.

2.3 Establishment of broad based consensus and commitments

Basic propositions

Partners in development have to accept that participation alone will not lead to shared perspectives and workable consensus among partners. To be part of the process, to identify the problem and work towards solving it, individuals (and institutions or partners) need to feel confident and dignified. Essential prerequisites for effective participation are, therefore, "empowerment" (including appropriate administrative and financial mechanisms) and "enfranchisement" (including open and fair political systems).

General guidelines for countries

Within the context of a geographical area or a development sector, the institutionalization of the process of participation, enfranchisement and empowerment would be essential. All partners in development will have to be empowered and enfranchised in order to be able to build consensus, whether on problems or commitments to sustainable solutions. Commitments to the appropriate values are required first at the policy level, followed by stated consensus and commitments. These may be stated as missions, vision or goals, with a time frame.

The milestones and frameworks agreed by the stakeholders can then be fine-tuned to reflect these commitments. It is understood that enfranchisement and empowerment are difficult concepts to operationalize, but they remain essential for participatory processes, and have to be acknowledged at the policy level.

Some ESCAP countries may already have a separate department of community development. Those that do not may find it useful to set up such a department, or designate an existing department to take on this role.

2.4 Inter-ministerial and inter-agency cooperation

Basic propositions

If poverty is to be addressed through transportation and other interventions that improve access, it will be crucial to ensure cooperation and coordination among the various government ministries and lower level agencies (at different levels as well as across the same levels).

Maintenance of this cooperation and collaboration is very difficult and the main challenge of the new development paradigm. Once institutionalized, this collaboration can become the bedrock of building real partnerships for development.

General guidelines for countries

To ensure smooth inter-ministry and inter-agency coordination and cooperation, it is important that the roles and functions of each ministry and agency, vis-à-vis an intervention

or programme, be defined clearly. If a ministry/agency for community development and/or local development exists, then its strengthening may be required for undertaking additional responsibilities. If such a ministry/agency does not exist, then it would be essential to establish inter ministerial/agency committees or working groups at different levels.

2.5 Technology and research

Basic propositions

Within the new development paradigm, the need and importance of research and technology within the context of community-based approaches can hardly be over-emphasized.

General guidelines for countries

In order to assist communities to make fully informed decisions on infrastructure development, government agencies can help widen the spectrum of knowledge of the communities about the available options and the range of potential solutions.

As a cardinal strategy of the new development paradigm, the process of research combined with community ideas plus feasibility studies lead to workable and affordable solutions.

Adopting good practices, developing new technologies, and offering incentives that support the development of appropriate technologies, should be fostered by partners in development.

Once countries have formulated policies of participation, there then begins the more arduous task of strengthening the working principle for successful partnerships.

Government, NGOs, community organizations and donor agencies may share common goals, however, they have different roles in national development, and these differences should be respected. Partnerships in development should make positive use of the different strengths of each partner.

Good governance addresses the allocation and management of resources to respond to collective problems; it is characterized, among other things, by transparency and accountability.

Within the context of transparency, there should be no hidden agendas between partners. Information on policy and practice, budgets and work plans, results and achievements, should be freely exchanged within the normal limits set by confidentiality.

In terms of accountability, each partner should be accountable to the other for the commitments it makes, the contracts it signs, and for performance against the aims and objectives that are agreed.

Agreement on objectives and strong accountability systems, based on trust and mutual respect between all partners, are essential. They should allow each other space and flexibility to get on with their work without restraint, once the basic conditions have been agreed.

Partnerships do not work if conditions apply to one partner only. Taking into account specific areas of competence no partner should ask of another anything that it is not prepared to undertake itself. Roles and resource-endowments may differ, but partnerships can still aim to be "equal" in all other respects.

3.1 Restructuring legislative and administrative systems

Basic propositions

Policies are easier to develop than it is to bring about the changes in attitudes and institutions necessary to implement the principles outlined above. Institutional "memories" are also difficult to erase, but institutional changes are required if government planning and administration systems are to respond to and interact with communities.

There are examples in some ESCAP countries where government departments and other operational agencies have shown the readiness to work with communities. On small-scale projects they have often succeeded in collaborative efforts. The main problems are the lack of governmental or departmental procedures, rules and regulations to support such collaborations, and the orientation and skills to initiate and sustain them.

General guidelines for countries

As senior partners in the development process, governments need to initiate formal and clear mechanisms of collaboration and cooperation among donors and operational units (national, provincial and regional/district/local level), NGOs, private sector and communities (represented by CBOs or other forms of informal organizations). The national governments will have to work on and build agreement on codes of conduct that will regulate and sustain the partnerships¹ in their respective countries.

"Orientation" alone is not sufficient to bring about changes. Once there is understanding among the officials of government or development agencies about the need for changed approaches, these have to be formally stated in their legislation, rules, regulations and

process manuals. These rules and regulations should highlight how the operational agency will approach and work with communities.

While NGOs and cooperatives should be cooped by government organizations in this process, the working of NGOs should also be transparent and accountable through the separate legal mechanisms that govern NGOs in each country. As partners in civil society, there should be balance and complementarity (not competition) between the government and NGOs.

In this respect, a policy forum with all stakeholders (national and sub-national levels) for rural infrastructure, managed by a designated ministry/department would be useful.

3.2 Financial restructuring and resource mobilization

Basic propositions

In order to go to scale, governments and communities will have to be prepared to shoulder an increasing proportion of the costs of interventions. This means delegation of administrative authority for planning and budgeting to local authorities, and enlarging the role of the communities in at least partially funding their own development.

¹ In Pakistan, the Local Dialogue group has been working on these issues and UNDP has assisted with the production of three reports that are supporting the efforts to build the environment for partnership. These reports include Hussain M. "Successful Partnerships Between Government, NGOs and Donors", Zia S. "A Policy and Legal Framework", and Kamal S. "Suggestions Towards Codes of Conduct for NGOs and Donors in Pakistan", UNDP, Islamabad, 1996-97.

Instead of looking to bilateral donors, development banks and United Nations agencies only and adopting *ad hoc* approaches to seeking funds, the whole process of estimating budgets, developing campaigns to raise funds, and managing the funds once obtained, needs to be institutionalized.

General guidelines for countries

Obtaining, allocating and/or mobilizing resources for community-based development programmes is not an easy task and needs special skills in this era of global competition for funds and resources.

Partners in development have to look for development funds in the corporate sector, from sponsorships, individuals, philanthropic agencies and foundations, and through organizing special fund-raising events.

Methods of raising funds include direct mail, electronic mail, payroll giving, institutional sponsorships, tapping into the marketing budgets of corporations, making life donors and "friends" of projects, and a host of special events. A fund-raising strategy has several stages including the structure for the campaign, a budget to cover the "costs" of fund-raising, understanding research (to determine who to approach), developing a package to offer to potential donors, implementing the campaign and following up on pledges and promises.

A combination of informal and formal credit (institutional credit) would be helpful in

financing infrastructure development projects. The government can either handle the financing itself, or facilitate credit institutions in financing rural groups directly on the basis of group guarantee.

It is suggested that to reduce the governments' own liabilities, and increase the responsibilities of communities, a substantial proportion of the running expenses of rural infrastructure development projects should come from communities. To ensure sustainability, arrangements for the financing and implementation of maintenance activities should be formally agreed before the infrastructure is constructed.

The local taxation system may also have to be restructured so as to generate sufficient income for local authorities to provide universal access to basic services and facilities.

In case of donor-funded projects, government departments have to ensure timely releases of funds from donors and contributors for undertaking proposed interventions.

Given that countries in the ESCAP region have transport and access difficulties in their proportionally large rural sectors, it is suggested that transport interventions be a priority area in credit availability within partnership arrangements.

3.3 Collaborating with NGOs

Basic propositions

Working with NGOs and community-

based organizations (CBO) or voluntary organizations is increasingly recognized as an indispensable component of building collaborative structures for development.

General guidelines for countries

The designated ministry/department in each ESCAP country will need to consider and decide which kind of NGOs should be invited to collaborate in its effort to build partnerships. While the requirement may be different in each country, it would be useful to develop a set of criteria that will help in selecting NGOs. In the same way, the types of collaboration will need to be defined.

The capacity building of NGOs will have to be planned, such that they are able to fulfil their responsibilities and functions with the partnership arrangements.

3.4 Ensuring follow-up and sustainability

Basic propositions

A project emerging from the grassroots may not always have a "long-term" view. However, at some stage, for it to remain sustainable, some thoughts have to be given to its future directions. A government agency cannot go on supporting projects and activities forever. Interventions have to be institutionalized locally, so that government agency can move on to other areas that need attention. "Projects", therefore, have to transcend themselves and become community-based organizations.

Experience has shown that one of the prerequisites of sustainability is an organization that wishes to perpetuate itself. In the rural context, this organization would be a CBO. Once it is in place, it can be the focal point of activities, and the reference point for follow-up, monitoring and evaluation.

General guidelines for countries

The development of a CBO with both men and women as members (or if this is initially not possible, then parallel men's and women's organizations, with a view of having a single organization in the future), should be the most important feature of any development initiative and project undertaken by governments. This is the only way in which communities can become sustainable and work with projects and interventions that they can manage over a long-term period.

It is not necessary that a CBO should be a legal and constitutional entity to start with. The process of registration is often long and problematic for villagers to engage in. As long as some of the following conditions are met, a CBO can be said to be in place:

- A consenting group of individuals who agree to work together for specified purposes;
- Some specification of purposes of the organization (these could be as simple as looking after a hand pump or a school);
- A general body of members;
- Office bearers (again, these could be just two or three people with specified

roles) elected or selected by the general body itself;

- Some records of the meetings and decisions taken (these can be recorded in a plain notebook or register);
- Written record of the activities;
- Detailed written records of all financial dealings (including credit and revolving fund); and

- Written records of meetings and interaction with other agencies, government departments, corporate sector, etc.

Governments should ensure that in all development projects, there is a precondition of working with CBOs. Where there are no CBOs, the projects would have to help set them up as part of their design and implementation activities.

4.1 Demonstration of changed approaches (Through a pilot project)

Basic propositions

Once the commitment is in place, there is a need to demonstrate to the actors and partners, that participatory approaches do work, and that changes can be brought about effectively. Policy makers have to balance many issues, and have little time to mull over theoretical arguments, therefore, in order to convince them, it is best to actually demonstrate the changes to them. Although not the only option, pilot projects are a cost-effective means of gaining support for change.

General guidelines for countries

One or more pilot projects may be launched to "test" the emerging participatory processes. The following sequence of steps would be helpful in planning and implementing a pilot project:

- Prepare the communities to participate actively in the planning and implementation process;
- Mobilize resources from all possible sources;

- Allocate sufficient budget to support community development activities;
- Encourage savings at the community level;
- Extend support to community development activities, and encourage development;
- Train staff and communities at all levels;
- Assist communities in the assessment of their needs and priorities;
- Provide technical assistance where needed;
- Develop interventions and action plans jointly with communities;
- Make agreements with communities;
- Assist communities in implementing interventions;
- Develop and implement plans for supervision, monitoring and evaluation of interventions with communities;
- Present the findings to the policy-makers, and convince them to go to scale.

4.2 Using transport-related interventions as entry points in the poverty alleviation process

Basic propositions

Adequate, reliable and affordable transport is essential, although not in itself sufficient, for the social and economic development of rural areas, particularly in the developing countries.

An understanding of the full costs, benefits and impacts of transport interventions would, however, require an examination of its physical outputs as well as its direct and indirect impacts on the socio-economic conditions of rural communities. Nevertheless, with transport-related interventions as an entry point, a multi-pronged approach could contribute tangibly to the poverty alleviation process, and improve the quality of life of people in rural areas.

General guidelines for countries

In formulating rural development policies and programmes, it is important to understand that transport, communications and other related interventions are facilitating mechanisms without which economic and social development would be seriously limited. They should be perceived in terms of their functions rather than as ends in themselves, and be used as entry points for looking at other sectors which essentially require **“transport improving”** or **“transport saving”** interventions to facilitate the development of those sectors.

4.3 Enlarging the role of communities and enhancing their capabilities

Basic propositions

The new development paradigm calls on **“people”** as the mainstay of all development efforts. The role of the communities, therefore, has to be enlarged, and their capabilities enhanced, to prepare them to participate in many more ways than before. It is important that the communities themselves plan, design, execute, monitor and evaluate development projects.

General guidelines for countries

Some ESCAP countries have much better community development and community interaction processes than others. They have huge resources of trained people, experiences and materials. An important step would be to develop a compendium of professionals, trainers, institutions and materials related to planning and implementing rural infrastructure using community-based approaches. This will be a ready reference for projects, programmes and interventions aimed at alleviating poverty in ESCAP countries.

Countries may also use mass media for dissemination of success stories and sharing of experiences.

The manuals and materials produced in the pilot project could be utilized by ESCAP countries as useful reference materials, and adapted to suit the local situations. In this respect, countries may wish to make the manuals and training materials available in local languages.

As communities are to be actively

involved at all stages of the project cycle, that is, identifying needs, establishing priorities, project evaluation, construction, supervision, monitoring and maintenance, it is therefore important that manuals and illustrative materials which are understandable by villagers, are developed for each of these activities in local languages and cartoon strips.

4.4 Allocation and channeling of available resources

Basic propositions

Quite apart from seeking funds (from donor agencies and credit institutions), there is a whole area of concern surrounding the **allocation and channeling** of these funds, once they have been obtained.

Moreover, once the funds have been set aside for a particular project intervention, the concerned government departments must ensure that these funds are released **on time** to the people or institutions concerned.

General guidelines for countries

It is crucial that the concerned departments create financial mechanisms, use resources judiciously and allocate increased budgets to support community development activities. Given that it is usually difficult to change established procedures overnight, it would be useful to initially channel resources to the rural populations through the local government offices.

Channeling resources through district and/or local level government would still enable local people to actively participate in the processes of research, decision-making, implementation, monitoring and evaluation, if other pilot project norms are followed.

In several ESCAP countries, a very small proportion of annual budgets are allocated for development expenditure. Out of this a large proportion goes to overheads of "**development**" projects. The ESCAP pilot project in Oudomxai Province of Lao People's democratic Republic demonstrated that much can be achieved, at least at the local level, without exorbitant overheads. Beyond that, national governments would have to rethink their allocation and channeling policies to more effectively use available resources and develop regulatory mechanisms.

4.5 Training in local-level planning and community-participation techniques

Basic proposition

While developing an effective system of disbursement that reflects the needs at the grassroots level, the concerned department will have to develop the skills to work with the communities at different levels. The development of these skills requires a combination of both academic and practical training, and it is generally **incremental** - that is built up step-by-step as and when needed.

General guidelines for countries

Training is increasingly becoming integrated with the broader activities of programmes. Interactive style training, building upon learning in stages, and with periods in between to assimilate and apply the knowledge, is becoming more popular.

Since many of the interventions are likely to involve infrastructure construction and micro-enterprise development, specialized and technical training should also be planned and built into a systematic training programme.

In addition to the manuals produced by the pilot project, countries should make use of a number of other training documents, modules and materials on community participation techniques that are available and accessible in different languages*.

The knowledge and experience gained from the training programme of the demonstrational activities can be used as a basis for developing sensitization and long-term training programmes.

4.6 Identification and prioritization of interventions by the community

Basic proposition

It is important to produce and maintain a document describing each intervention, its design, cost, indicators of benefits/ impacts, the criteria for its selection of and the "contracts" for villagers' contribution (in kind).

General guidelines for countries

The process of identification and prioritization of interventions with communities would involve the following steps:

- Needs identified by each village in community participation meetings;
- Priorities assigned by each village in community participation meetings;
- Commitments of local communities to contribute in cash and in kind (for example land and labour) for undertaking the interventions;
- Government's contribution (in cash and kind) towards the project;
- Contribution of other partners/institutions;
- Design and costing of the interventions;
- Indications of cost-effectiveness;
- Workplan for implementation;
- Indicators for monitoring and evaluation.

* An example of one such manual is Srinivasan L, "Tools for Community Participation - a manual for Training Trainers in Participatory Techniques". PROWESS/UNDP Technical Series, New York, 1990.

CHAPTER V

INTEGRATION OF THE PARTICIPATORY PROCESS IN THE OVERALL PLANNING SYSTEM (SUPPORT ACTIONS)

In addition to the demonstration measures in the previous chapter, support actions are crucial, if not indispensable, supplements to an all-around considered workplan. They are concerned with four main categories, namely, (1) the basis of working together, (2) the roles of knowledge and learning, (3) financial, marketing and entrepreneurial matters, (4) the guiding issues.

5.1 The basis of working together

5.1.1 Technical assistance

Basic propositions

Financing and providing skills for the implementation of interventions have to be supplemented by responding to the needs and priorities of the communities, and imparting training to them in the technical aspects of the interventions.

General guidelines for countries

Governments should consider and decide on the mechanisms to implement the planned interventions and action plans developed by the communities. They should encourage the private sector, international NGOs and mass

organizations to support business initiatives launched and run by the communities.

The private sector in particular could be encouraged to assist farmers and communities by providing capital, technology, information services and investment opportunities in small agro-processing and related operations.

Training of trainers' programmes covering the stages in agro-business development will be needed. Technical services from traders and commercial middlemen as well as the expertise of line agencies involved in agricultural and rural development should be made available to the local communities for design, operation and maintenance of rural infrastructure. Information to communities on sources of local materials, supplies and equipment would be helpful.

5.1.2 Mutual agreements

Basic propositions

Formal or informal agreements with communities are crucial for the success of community-based approaches. These may be in the form of a memorandum of understanding which clearly defines the roles and responsibilities of the government, the CBO and/or the cooperative.

General guidelines for countries

The mutual commitments and agreements between the government and the communities are crucial for entering into, and maintaining effective partnerships. Countries must ensure that once the roles and responsibilities of both the parties have been agreed, they are formalized in the form of an agreement, memorandum of understanding or a similar instrument. This agreement then becomes binding on all concerned parties.

The levels of agreements will vary between a CBO and a local level government department, between a mid-level NGO and a district or provincial department, between a donor, a national government and a consortium of CBOs or NGOs, and other similar arrangements. Governments must take the necessary steps to ensure that the process leading to these agreements and the agreements themselves are facilitated, and become part of the day-to-day work of the relevant departments.

5.2 The roles of knowledge and learning

5.2.1 Technology and research

Basic propositions

Within the new development paradigm, the need and importance of research and technology within the context of community-based approaches can hardly be over-emphasized.

General guidelines for countries

In order to assist communities to make fully informed decisions on infrastructure development, government agencies can help widen the spectrum of knowledge of the communities about the available options and the range of potential solutions. The development of a compendium of consultants, trainers and institutions with experience in community participation and appropriate technologies for rural communities, as well as catalogues of sources of materials can also assist in this process.

As a cardinal strategy of the new development paradigm, the process of research combined with community ideas plus feasibility studies lead to workable and affordable solutions.

Adopting good practices, developing new technologies, and offering incentives that support the development of appropriate technologies, should be a practice fostered by partners in development.

5.2.2 Promoting an interactive learning process and extending data networks in rural areas

Basic propositions

In order to work effectively with people, and to ensure that real needs and priorities emerge, countries need to develop an effective system of collecting and analyzing data. This research-based approach does not, however, mean that elaborate departments of research must be established. It implies alertness on how

information can be gathered and used effectively at the local level initially, and forms the basis for a model of "bottom-up development". It is accepted that more formal research will still be required for certain types of interventions and for planning larger projects.

General guidelines for countries

A combination of people-based interactive processes and more scientific data collection (using research and survey techniques) can clarify and quantify the real needs and priorities of the communities, and lead to sound planning and implementation.

Governments should ensure that such training is provided to district/local-level officials who are involved in district/local-level planning. Adequate support should also be provided to local planning and administrative offices in terms of personnel and budget to facilitate data collection and compilation, where the community needs such support, or where technical data is required.

5.3 The marketing, credit and entrepreneurial matters

5.3.1 Marketing and logistics

Basic propositions

Surplus production by communities is of little use unless these surpluses can be marketed as follows:

- Within village (by villagers themselves);

- In neighbouring villages (by villagers themselves);
- Within district (villagers need access, marketing and finance);
- Within province (villagers need access, marketing and finance);
- Within region (villagers need access, marketing and finance);
- Within country (villagers need access, marketing, finance and possibly specialized information); and
- Exported (villagers need access, marketing, finance as well as specialized information).

In considering these marketing activities there is a fundamental question concerning whether villagers can and should be involved in trade beyond neighbouring villages compared with "specializing" in their village-related production activities. In a more developed system, there are networks of traders and middlemen who provide the marketing, logistics, financing and other services. Consequently, with a view to alleviating poverty in the villages, the development of competitive marketing and related services must be considered. Improved access through transport interventions is a key to such development.

General guidelines for countries

Some countries have developed systems through which communities and projects can effectively market their products. It would be helpful to document these experiences and share them with other ESCAP member countries.

Countries need to take several actions to support the products of the rural areas. These actions include quality control, strengthening of marketing institutions, support to local Chambers of Commerce, human resources development for traders, and marketing/logistics studies of commodities that would be marketable at different levels.

Fair trade institutions that guarantee a substantial part of the selling price going to rural producers should be encouraged by ESCAP countries to assist in the global marketing of produce and value added goods from the rural areas.

It is, however, important that proper logistics are in place to facilitate marketing beyond the village. Countries will have to develop and strengthen multimodal transport if rural communities are to be assisted in marketing their products profitably.

5.3.2 Access to credit and other promotional assistance and entrepreneurial development

Basic propositions

Participative initiatives stimulate the entrepreneurial spirit of villagers. However simple and small scale these businesses may be, they form the bases on which rural populations may pull themselves out of the cycle of poverty. The availability of credit forms a key component in promoting rural entrepreneurship.

General guidelines for countries

Countries should promote the extension of economic opportunities, credit, agro-based micro-industries and employment in rural areas. These have been consistently identified across the developing countries in the ESCAP region as the major need and demand of rural populations. Governments have to face up to and vigorously pursue the provision of credit, appropriate technology, information services and investment opportunities to rural areas.

5.4 The guiding issues

5.4.1 Protection of the environment

Basic propositions

The earth's natural resources are fast depleting, often in the name of "development", thereby disturbing ecological balances. Therefore, the new paradigm of development places great emphasis on environmentally friendly practices that contributed to the development process while protecting the environment.

General guidelines for countries

Almost all countries in the ESCAP region have legislation to protect the environment. This legislation has to be clearly enforced within the policies, plans and projects being implemented in each country. At the same time, it is important to create awareness of environmental issues at all levels, and to promote research on appropriate technologies.

and environmentally friendly and sustainable practices vis-à-vis development.

To set environmental protection in motion, it would be helpful for countries to have environmental "units" for which interventions may be designed. Given that countries in the ESCAP region are mostly agriculture, these units may be based on agricultural-ecological zones that also reflect different land-water-forest regimes. Defining environmental units in this way will be effective, since agricultural-ecological zones match with agricultural policies and plans in most countries of the region.

5.4.2 Mainstreaming of women, disabled and other disadvantaged groups

Basic propositions

Women are usually marginalized from the mainstream of development, as are other physically, socially and economically disadvantaged groups. In some countries, religious and ethnic minorities are also kept aside. It is crucial to bring all these vulnerable groups into the mainstream of the development process, and to give them their due status in society.

General guidelines for countries

There is a need to enhance the existing awareness among policy-makers, of the status and role of women, disabled and other disadvantaged groups in society by organizing gender-sensitization meetings/workshops, as

well as for discussing problems of the disabled and other disadvantaged and minority groups. Women should be included at all levels of planning and implementation to ensure that those rural infrastructure policies and programmes not only release potentials of women but also adequately address gender issues. Similarly, representatives of disabled and other disadvantaged groups should be encouraged to participate in decision-making. Adequate representation of women and other groups may be provided in legislative and administrative bodies.

A separate women's ministry or commission is suggested, as well as concrete actions for the inclusion of women, disabled and other disadvantaged groups, at all levels of planning and decision-making.

5.4.3 Monitoring, evaluation and impact assessment

Basic propositions

Monitoring is the assessment of the implementation of defined activities or the workplan of a project. It tells whether the project is on track in terms of its planned activities, budget and time schedule. It can help identify delays, problems and obstacles, so that they can be dealt with in a timely fashion. For example a strategy may need to be changed, or new activities added. Evaluation is the assessment of the degree of achievement of specific objectives (or targets) of a project. It helps identify the factors that either assisted or hindered the achievement of specific objec-

tives, and helps draw lessons for future phases of the project. Increasingly, development projects also specify certain community-based processes and procedures, which are stated as objectives and also evaluated.

Impact assessment is a review of the approaches, benefits and impacts of the project or programme, and of the changes brought about by the programme. It can also be said that impact assessment looks at the level of achievement of the general objectives (or goals) of a project or programme. Given that the focus of community-based projects and programme is community participation and community ownership, as well as government-community collaboration, these become important indicators during impact assessment.

These functions are essential for individual projects and programmes as well as for assessing and reorienting initiatives and long-term plans.

General guidelines for countries

Governments must ensure that mechanisms for monitoring, evaluation and impact assessment are in place to support the implementation and long-term development of community-based projects and programmes. The following checklists will assist in developing these mechanisms. It would be helpful to include specific questions on the participation of, and the impact on women and other disadvantaged communities, and also about environmental social implications.

Monitoring, evaluation and impact assessment exercises are more effective if they are carried out jointly by communities, government agencies and other partners.

✓ Checklist for developing a monitoring system

- ▶ Clear definition of all partners and their roles;
- ▶ Detailed workplan indicating individual activities and tasks, time and duration for each, and responsibility for each activity;
- ▶ Division of responsibility among all partners (including community and government), for the defined activities and tasks;
- ▶ Division of responsibility among all partners for financial contribution, management and accountability;
- ▶ Relevant activity records;
- ▶ Relevant financial records;
- ▶ Schedule of periodic joint visits and meetings to review progress and make changes, as necessary;
- ▶ Movement towards increasing successively increased community responsibility, during the life of the project or programme.

✓ Checklist for evaluation

- ▶ What were the specific objectives (or targets) of the project or programme and who set them?
- ▶ Were they changed during the project or programme? If so, why?

- ▶ What were the expected or planned outcomes of the project (at different stages)?
- ▶ What were the unexpected or unplanned outputs of the project (at different stages)?
- ▶ What factors helped in achieving the specific objectives (targets or goals)?
- ▶ What factors hindered the achievement of specific objectives (targets or goals)?
- ▶ Were processes and procedures for community-based action initiated and followed? With what results?
- ▶ Were finances and financial arrangements sufficient and effective?
- ▶ Is the project or programme moving towards greater self-sufficiency and increased community financial management?
- ▶ What should be the future course of action?

✓ Checklist for impact assessment

- *Approaches*
- ▶ How was the project or programme initiated and with whose participation?
- ▶ How were the partners (including community and government) involved in the needs identification, planning, implementation, financing, monitoring and evaluation of the project or programme?
- ▶ How were women and other disadvantaged groups involved?
- ▶ What steps were taken for sustainability, community management and community financing?
- ▶ What was the defined approach for

partnership arrangements and community participation? Were they successful?

- ▶ What was the nature of the agreement or contract between the community and government (and any other partner)?

- *Benefits*

- ▶ What were the direct benefits to the community (services, investment by other partners, infrastructure, etc.)?
- ▶ What were the indirect benefits to the community (empowerment, capacity building, institutional development, increased range of contacts, etc.)?
- ▶ What were the direct and indirect benefits to other partners?

- *Impacts*

- ▶ What were the planned and expected results of the projects or programme (reduced mortality rates, increased school enrolment, increased access to clean drinking water, greater number of community-based organizations, etc.)?
- ▶ What were the unplanned and unexpected results of the programme or project (organized communities negotiating other projects with new partners, more proactive women, greater employment opportunities, etc.)?
- ▶ What were the changes in defined indicators?
- ▶ What should be the future direction of similar programmes, approaches or strategies?

This chapter contains a guideline in the form of a prototype action plan. The content is based on the previous chapters, and is consequently an abridgement of the guidelines as a whole. In this sense it presents a summary conclusion. With a view to incorporate all of the points mentioned and to operationalize the *Guidelines* some points are here expanded further, whereas some are supplemented. Following the consecutive order of Chapters II to V, it is likewise divided into four sections, namely, 1) policy level actions, 2) operational level actions, 3) demonstration, and 4) support actions. Each section begins with an introductory remark, followed by the outlines of **main actions**. These actions are arranged against **individual tasks** and **responsibilities** in a tabular format. The numbers in brackets under point numbers indicate the sources from the corresponding subheading numbers under respective chapters.

The prototype action plans provided in this section are by no means prescriptive. They

are outlines of proposed policy, demonstration and support actions which may be taken by ESCAP members and associate members for developing and implementing partnership-based and community-based rural infrastructure development programmes. Individual governments may use them as models for formulating national or subnational action plans, while adapting them to suit their respective situations.

6.1 Policy level actions

These actions address several key issues ranging from poverty alleviation, environment and gender, through participatory approaches to administrative structure. It is understood that it may not be possible to address all of the proposed actions at once. Countries may like to think in terms of focussing on a few key actions at first then going on to demonstration and support actions, and addressing the other policy actions over a longer time period.

	Main actions	Individual tasks	Responsibilities
1. (2.1)	Create awareness and support of policy makers and stakeholders to introduce change	<ul style="list-style-type: none"> - Appoint lead ministry, department or steering committee - Solicit views from all key stakeholders - Develop and share working paper with all stakeholders - Hold several stakeholders' meetings to evolve policies - Discuss methodology for alleviation of poverty with all stakeholders - Select priority groups and areas - State policy (or policies) - Circulate policies - Select/appoint lead ministry or department for policy matters - Organize orientation sessions to promote new policy (or policies) 	<ul style="list-style-type: none"> - Existing ministry or department - Steering committee - Relevant national, provincial and district departments and agencies - NGOs and CBOs - Private sector - Donors - Other stakeholders - Media
2. (2.2)	Undertake study on benefits and impacts of adopting participatory approaches (who will benefit directly and indirectly and how)	<ul style="list-style-type: none"> - Select agency for supervision of study - Decide on coverage of study - Decide who will carry it out - Design and carry out study ensuring that all stakeholders participate in the process - Share findings with all stakeholders - Prepare working paper to feed into policy 	<ul style="list-style-type: none"> - Existing ministry or department most concerned with rural and community-based development - Consultants
3. (2.3)	Establish consensus on problems	<ul style="list-style-type: none"> - Organize inter ministerial and departmental meetings and meetings with other potential partners - Organize seminars/ workshops/ symposia for the general public - Evolve consensus on problems, strategies and possible solutions - Fine tune selection of priority groups and areas - State consensus - Advocate consensus - Reflect policies in legislation, if necessary 	<ul style="list-style-type: none"> - Existing ministries and departments - Steering committee - Relevant national, provincial and district departments and agencies - NGOs and CBOs - Private sector - Donors - Other stakeholders - Media
4. (2.3)	Engender commitments for action	<ul style="list-style-type: none"> - Organize meetings of departments and agencies with other potential partners to explore and define commitments of each partner - State commitments - Advocate commitments - Reflect commitments in legislation, if necessary 	<ul style="list-style-type: none"> - Relevant national, provincial and district departments and agencies - NGOs and CBOs - Private sector - Donors - Other stakeholders

	Main actions	Individual tasks	Responsibilities
5. (2.4)	Establish commission or inter ministerial body for cooperation in development of rural infrastructure	<ul style="list-style-type: none"> - Select one existing ministry/ department as lead agency or form steering committee - Organize meetings with key ministries and departments involved in rural infrastructure - Develop mechanisms for inter-agency cooperation - Sign MoU or other instruments to formalize cooperation - Advocate and disseminate mechanisms 	<ul style="list-style-type: none"> - Lead department or steering committee - Cabinet - Key departments and agencies
6. (2.4)	Consider establishment of separate Ministry or Department of Community Development	<ul style="list-style-type: none"> - Appoint committee or group to review existing institutional arrangements - Orient government departments and law makers - Organize meetings to discuss and plan separate department/ reorganization of existing department, etc. - Define role and functions of community development department - Facilitate cabinet decision - Allocate personnel and budget - Advocate community development department - Institute rural development committees (within community development department) 	<ul style="list-style-type: none"> - Lead department or steering committee - Parliament - Cabinet
7. (2.5)	Widen spectrum of knowledge of appropriate technologies/technological solutions	<ul style="list-style-type: none"> - Data collection and analysis of problems from experts as much as from communities themselves - Comparative studies and assessment of proposed solutions/options - Feasibility studies of practical undertakings - Findings of and/or working on appropriate technology 	<ul style="list-style-type: none"> - Government agencies in charge of planning - Local agencies in charge of implementation - CBOs - NGOs - Donors - Education, research institutions

6.2 Operational level actions

Once the key policy level actions have been accomplished by the ministries (and while the other actions are underway), departments can begin to gear themselves up for increased application of participatory approaches. This will involve developing (or revising and reorienting) and implementing mechanisms,

regulations, and ways of working. A culture of delegation, participation and cooperating with civil society stakeholders will have to be developed. A suggested sequence is given below, with a view to facilitating a steady pace of work. A step-by-step approach would be suitable, but countries may find it expedient to choose some steps further down the line and attempt them first.

	Main actions	Individual tasks	Responsibilities
8. (3.1)	Develop revised Departmental rules, Regulations and Procedures to support Collaboration	<ul style="list-style-type: none"> - Appoint committee in each department - Review existing rules - Draft new rules - Advocate and disseminate new rules and regulations 	<ul style="list-style-type: none"> - Selected lead department - All relevant departments and agencies
9. (3.2)	Develop supportive Financial mechanisms	<ul style="list-style-type: none"> - Appoint lead agency and focal point - Appoint steering committee made up of all stakeholders - Develop contribution system from communities - Develop and/or strengthen local revenue mobilization - Improve revenue collection 	<ul style="list-style-type: none"> - Lead agency - Focal point - Stakeholders
10. (3.2)	Train all partners in resource mobilization	<ul style="list-style-type: none"> - Appoint steering committee - Appoint consultants - Develop training programme - Conduct training programmes - Evaluate training programmes 	<ul style="list-style-type: none"> - Steering committee - Consultants and trainers - Members of all stakeholders
11. (3.3)	Develop cooperation mechanisms among: <ul style="list-style-type: none"> - Government Departments - Different levels of government - NGOs - Private sector - Communities - Donors 	<ul style="list-style-type: none"> - Appoint steering committees with members from among all stakeholders - Develop mechanisms - Finalize mechanisms - Sign MoU - Advocate mechanism 	<ul style="list-style-type: none"> - Government departments - Donors - Different levels of government - NGOs - Private sector - Communities

	Main actions	Individual tasks	Responsibilities
12. (3.4)	Promote sustainability through delegation of authority to local levels	<ul style="list-style-type: none"> - Appoint committee - Review existing rules and regulations relating to local-level work - Revise and/or prepare new rules and regulations to empower local institutions/bodies/ administrations - Advocate and disseminate new/revised rules - Organize training of district/local level officers to handle new responsibilities 	<ul style="list-style-type: none"> - All relevant departments and agencies - CBOs

6.3 Demonstration

A large part of the Department Level Actions (at least the first six or seven) will need to be in place before demonstration can be attempted. This is because participatory programmes need the context of delegated authority, cooperation mechanisms and a spirit

of partnership among stakeholders, in which they can progress.

Once these are in place, a relevant department should take the lead in designing and implementing a pilot project as a demonstration of the application of the abovementioned principles. The actions below provide guidelines for this demonstration.

	Main actions	Individual tasks	Responsibilities
13. (4.1)	Mobilize resources	<ul style="list-style-type: none"> - Carry out fund raising campaigns 	<ul style="list-style-type: none"> - Project committee - Communities
14. (4.1)	Allocate increased budget for community based development	<ul style="list-style-type: none"> - Brief finance department - Explore other sources - Make funds available 	<ul style="list-style-type: none"> - Selected lead department - Finance department - Finance and accounts sections in department
15. (4.1)	Train district level officials in local level planning	<ul style="list-style-type: none"> - Identify training needs - Develop training modules - Identify trainees and trainers - Organizing training - Evaluate training 	<ul style="list-style-type: none"> - Project committee - CBOs - Trainers

	Main actions	Individual tasks	Responsibilities
16. (4.2)	Consider designating of transport interventions as entry points	<ul style="list-style-type: none"> - Set up project committee - Integration of rural transport system in rural development projects - Plan transport interventions in the context of accessibility 	<ul style="list-style-type: none"> - Project committee
17. (4.3)	Develop CBOs	<ul style="list-style-type: none"> - Orient communities - Train communities - Establish CBOs 	<ul style="list-style-type: none"> - Project committee - CBOs - Trainers
18. (4.4)	Allocate personnel and budget for local level data collection and compilation	<ul style="list-style-type: none"> - Establish computerized local government data bank - Post required personnel - Provide logistic support - Provide funds 	<ul style="list-style-type: none"> - Project committee - Communities - Department personnel - Research Specialists
19. (4.5)	Train officials in community participation techniques	<ul style="list-style-type: none"> - Carry out training needs assessment - Identify trainees/ target groups - Develop training modules - Provide funds - Organize training courses 	<ul style="list-style-type: none"> - Project committee - Communities - Department personnel - Trainers
20. (4.6)	Involve communities in all stages of project cycle	<ul style="list-style-type: none"> - Conduct Community Meetings - Train communities/CBOs - Design together - Monitor and Evaluate together 	<ul style="list-style-type: none"> - Project committee - CBOs - Trainers

6.4 Support actions

Since the implementation of participatory approaches within partnerships requires collaboration and sharing among government,

communities, NGOs and private sector, several support actions will be needed to sustain these relationships. These actions will define and provide the parameters and smooth the way for the collaboration and sharing.

	Main actions	Individual tasks	Responsibilities
21. (5.1.1)	Provide technical assistance	<ul style="list-style-type: none"> - Identify community needs - Creating awareness on options - Research solutions - Develop skills - Develop manuals - Organize field visits 	<ul style="list-style-type: none"> - Project committee - Communities - Department personnel - Trainers

	Main actions	Individual tasks	Responsibilities
22. (5.1.1)	Link private sector with communities	- Establish permanent forum for private sector community link up	- Project committee
23. (5.1.1)	Train government staff in collaborative development	- Appoint focal points for training - Develop training programmes - Conduct training workshops/ seminars/ symposia/ briefing sessions and open discussions - Evaluate training	- All relevant Departments and Agencies - Specialized training Institutions - Trainers Training of trainers
24. (5.1.2)	Develop forms/formats for mutual agreements	- Identify responsibilities of each partner - Draft of MoU - Finalize MoU	- Project committee - Communities
25. (5.2.1)	Develop compendium of professional trainers, institutions and materials	- Appoint focal point in relevant departments - Appoint consultants - Develop and print compendium - Disseminate compendium - Evaluate its use	- Most relevant departments - Consultants - Trainers - Media
26. (5.2.2)	Collect and analyse and disseminate data	- Train communities in data collection - Collect data - Analyze and disseminate data	- Project committee - Communities - Department personnel - Research specialists
27. (5.3.1)	Develop mechanisms for support and marketing of local products (agro processing, small and micro scale industries)	- Appoint steering committee - Commission studies - Disseminate findings - Prepare working papers covering transport, communication, storage, markets etc. - Prepare interventions - Plan interventions - Implement marketing interventions	- Steering committee - Consultants - Members of all stakeholders
28. (5.3.1)	Develop fair trade institutions	- Appoint steering committee - Commission studies - Disseminate findings - Prepare working paper - Establish fair trade institution	- Lead department or steering committee - Cabinet - Key departments and agencies

	Main actions	Individual tasks	Responsibilities
29. (5.3.1)	Develop multi-model transport system	<ul style="list-style-type: none"> - Appoint steering committee - Prepare working paper covering communication and roads - Improve transportation system 	<ul style="list-style-type: none"> - Lead department or steering committee - Parliament - Cabinet
30. (5.3.2)	Develop and implement savings and credit programme for rural areas	<ul style="list-style-type: none"> - Appoint steering committee - Prepare working paper - Finalize plan - List sources - Negotiate with sources - Provide skill training - Develop marketing facilities - Train community for management of programme - Commence programme - Monitor and periodically evaluate using participatory approaches 	<ul style="list-style-type: none"> - Steering committee - Finance Ministry or Department - Banks or NGOs that run credit programmes - COBs
31. (5.4.1)	Develop environmental guidelines	<ul style="list-style-type: none"> - Define those areas of departmental Activities where environmental Considerations are relevant - Develop specific environmental guidelines for each of these activities 	All relevant departments
32. (5.4.1)	Develop environmental legislation (new legislation or review of existing legislation)	<ul style="list-style-type: none"> - Organize meetings of all stakeholders to discuss environmental legislation - Appoint ministry at lead department for preparing/reviewing legislation - Orient law-makers and assembly members - Have bill introduced in parliament - Get legislation passed - Advocate legislation - Disseminate legislation 	<ul style="list-style-type: none"> - Lead ministry, department or steering committee - Parliament - Cabinet
33. (5.4.1)	Design and implement environmental component	<ul style="list-style-type: none"> - Conduct environmental impact assessment of proposed projects and interventions - Design environmental inputs with communities 	<ul style="list-style-type: none"> - Design and conduct required training - Project committee - Community - Environmental specialists
34. (5.4.2)	Develop gender guidelines	<ul style="list-style-type: none"> - Develop specific gender guidelines for departmental staff - Develop specific gender guidelines for programme activities 	All relevant departments

	Main actions	Individual tasks	Responsibilities
35. (5.4.2)	Include women in all levels of planning	<ul style="list-style-type: none"> - Orient government, law makers, all stakeholders - Set quotas for women on law making bodies, committees, employment in departments (all levels) 	<ul style="list-style-type: none"> - Lead department or steering committee - Parliament - Cabinet
36. (5.4.2)	Consider establishment of separate women's Ministry, Department or Commission	<ul style="list-style-type: none"> - Appoint committee or group to review existing institutional arrangements - Orient government departments and law makers - Organize meetings to discuss and plan separate department/ reorganization of existing department, etc. - Define role and functions of women's department - Facilitate cabinet decision - Allocate personnel and budget - Advocate women's department 	<ul style="list-style-type: none"> - Lead department or steering committee - Parliament - Cabinet
37. (5.4.2)	Design and implement gender component	<ul style="list-style-type: none"> - Conduct gender assessment of community - Design gender inputs with communities - Design and conduct required training 	<ul style="list-style-type: none"> - Project committee - Community - Gender specialists
38. (5.4.3)	Develop and implement system for monitoring, evaluation and impact assessment	<ul style="list-style-type: none"> - Ensure periodic workplans (against which monitoring can be carried out) - Develop monitoring criteria and schedule - Conduct monitoring and prepare monitoring reports - Ensure specific objectives (against which evaluation can be carried out) - Develop evaluation methodology and schedule - Conduct evaluation and prepare evaluation report - Design and conduct impact assessment 	<ul style="list-style-type: none"> - Project committee - Consultants - Department personnel - Communities