



Guide for the Description of PPSI in Proposals and Budgeting



Alliance 2015
towards the eradication of poverty

What is the purpose of this brief guide?

→ This guide provides you with a **practical description of PPSI to be included in a relevant proposal** and guidance on **how to budget for a PPSI focused project**.

For which sector is the PPSI relevant?

→ Primarily, PPSI is relevant for projects being carried out in the **good governance and social inclusion sectors**, especially those targeting local authorities and civil society. They may be particularly relevant for urban settings and generally are suitable for areas where social services financed by public authorities exist and where there is a basic environment enabling the real (not-staged) participation of citizens.

Participatory Planning for Social Inclusion – Description of the Methodology in your Proposal:

The **Participatory Planning for Social Inclusion (PPSI)** methodology aims to improve social services aimed at poverty reduction and social inclusion through a participatory process that brings all relevant local stakeholders together, including social service users, CSOs, local authorities, government agencies, social service providers and citizens. The result of the process is 1) a locally owned and approved strategy and action plan for the provision of social services and social inclusion 2) mutual trust is built among all relevant stakeholders, which is equally as important as the strategy and plan itself.

The PPSI process is structured in five main phases:

1. Preparatory phase – before we start
 2. Engagement and analyses
 3. Drafting the strategy and action plan
 4. Approval
 5. Implementation
- + Monitoring and evaluation

1. Preparatory phase – before we start

During the preparatory phase, the scope, target groups and territory will be defined by PIN, its partners and other relevant stakeholders. Support will be ensured from the key stakeholders and the organizational working structures for the process will be formed.

2. Engagement and analyses

During this phase, participatory and evidence-based approaches are applied to gather as much contextualized information as is needed for decision-making. This is done with the active involvement of stakeholders and the target groups of the PPSI. This includes the mapping existing social problems, an analysis of the needs of social service users and potential users, and the mapping of existing social services. Both quantitative (surveys) and qualitative data (case studies, focus groups) will be analyzed and desk research will be supplemented by field research. The community will participate in carrying out the research. Local expertise in preparing surveys, contacting respondents, distributing the questionnaires, etc. help to ensure that the involved stakeholders are building capacity, while also reducing the costs and better acceptance of the results.

The participation of the target groups and the general public will be planned and carried out by the stakeholders for each stage of the PPSI process with the adequate level of participation being determined through the use of the “participation ladder” tool.¹

3. Drafting the strategy and action plan

Based on the results of the participatory analysis a long term vision will be formulated and agreed on by the working groups, validated by the relevant stakeholders and the broader public. Finally, all of the working groups will jointly formulate a strategy and an action plan together that includes the priorities, measures, responsible persons, resources and timeframe.

4. Approval

Doing a thorough consultation with the entire community is essential before the final approval of the strategy. Public consultations will be carried out locally in various forms to present and consult the draft of the strategy. General aspects of the strategy will be presented and discussed together and then participants will be divided according to their interest to consult on their preferred priorities in greater detail. Decision-makers will be involved in the public meeting. Provided comments to the strategy will be settled with justifications, and the results will be publicly published. The final approval of strategy will be given by the relevant Public Authority.

¹ See detailed explanation of the “participation ladder” tool in Annex 4 of this guide

5. Implementation

- The implementation of the planned strategy will be mainly managed and supervised by the relevant public authority. The joint/shared responsibility between the public authority and other actors is welcome and provides more positive outcomes.
- *If applicable, an advisory body with participation of key stakeholders can be set up.*
- *(If possible, a grant scheme should be planned jointly by PIN with the public authority to co-finance the implementation of the approved strategy and plan within the project. However, a clear plan for financing the project from local sources is recommended to be approved along with any project financed contribution). Additional capacity building should also be provided to service providers and public authorities throughout the whole PPSI process.*

6. Monitoring and evaluation

The implementation of the strategy and the actions taken will be monitored regularly (e.g. on a quarterly basis) *either by external or internal actors* with the aim of tracking the progress being made and determining the lessons learned.

Participatory monitoring and evaluation with the involvement of main actors, including CSOs should be considered.

Duration:

the planning process of PPSI (steps 1-4) usually take around 1 year. The implementation of the plan depends on the period agreed within the strategy/ plan itself (plan is usually for 2-3 years). Engagement as well as monitoring and evaluation are continuous processes during planning and implementation period.

Budgeting for PPSI

The overall cost of PPSI depends on a number of factors. **You can check with the Good Governance Advisor for support on estimating the costs.** Factors contributing to fluctuations in costs include:

- The number and size of localities where the process will take place
- The geographical coverage of the action
- The diversity of the target groups
- What portion of analysis will be implemented by the communities, the project team or outsourced to an external consultant
- What scope and level of capacity building will be included
- Whether study visit(s) will be included
- Whether financial contributions will be provided to co-finance the implementation of the plans

Cost	Unit	# of units	Notes
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Staff costs

Project manager (PM)	Months	36	PM can coordinate the process in multiple municipalities. Counted as 12 months of planning process and 24 months of strategy implementation, monitoring and evaluation
PPSI External advisor	Months	3	Estimated 1 month per year

Direct costs – per target location/ municipality

1 Preparatory phase

Local coordinator (1 person per municipality/ target location)	Months	12	
Capacity building of actors in PPSI	1 day workshops	at least 3	
Organizing meetings for Steering group during PPSI (5-10 people)	Small meeting	10	Usual costs of meetings, covering costs for travel and lunch for participants and other additional support enabling participation (eg. child care for mothers)

Cost	Unit	# of units	Notes
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Organizing large joint meetings Steering groups + WGs (20-30 people)

Large meeting

1

Include cost of facilitators + covering costs for travel and lunch for participants and other additional support enabling participation (eg. child care for mothers)

Study visit (if possible)

Study visit

1

For approximately 20 persons

2 Analysis and Engagement

Info campaign and awareness about PPSI process

Info campaign lasting throughout the whole process (12 months)

1

Depending on the appropriate local communication channels typically includes production and distribution of leaflets, posters, informative articles in newspapers, and a public campaign in social media

Organizing large joint meeting Steering groups + other stakeholders for stakeholders mapping

Meeting

1

For approximately 30-40 persons, include costs of facilitators covering costs for travel and lunch for participants and other additional support enabling participation (eg. child care for mothers)

Cost	Unit	# of units	Notes
Desk research	Analysis	1	
Field research	Data collection and analysis	1	Socio-economic profile, mapping services, key problems analysis, needs assessment
Public survey	Survey	1	Includes engaging external/local expert for analyses and data processing (if needed) and members of the WGs (if applicable)
Public meetings for collecting information	Public meetings	Nr. of meetings depending on location size (2-3)	
3 Drafting a strategy			
External/local	expert on	strategic	thinking (if needed)
Meetings of the WGs (depending on local conditions, e.g. 3 WGs can meet 3x = 9 meetings in total)	Small meetings	Approx. 3 meetings per WG	
Joint meeting (SG + WGs) for the SWOT analysis	Large meeting	1	

Cost	Unit	# of units	Notes
Public meeting for presenting the draft version of the Strategy	Public meeting	1	
4 Approval			
Capacity building for decision-makers, such as a study visit, workshop, etc.	Event	1	
Public meeting/happening for raising awareness and support of the prepared Strategy	Event	1	
5 Implementation			
WG for implementation (should be part of the Public Authority structures)	WG meetings and monitoring work	X	Work of implementation WG to be covered by public authority, can be subcontracted to other local actors (CSOs)
<i>IF Possible</i> Grants/contributions to action plan implementation	Grant, contribution (ideally not more than 50% of co-financing)		Depends on the number of locations, the annual budget for social services in a given location, etc.

Cost	Unit	# of units	Notes
6 Monitoring and evaluation			
Monitoring involves quarterly review meetings and reports of the implementation of the action plan	Review meetings and data collection	X	Should be covered by local authority
External/local expert for M&E setting (if needed)			
Evaluation (after 1 or 2 years of implementation of the action plan)	Evaluation	1	Ideally also covered by the local authority, or by the project
Info campaigns and awareness about the progress and achievements of PPSI	Info campaign	1	

Indicators for PPSI

Here are some suggested level indicators that can be used within the PPSI context with additional guidance available from www.indikit.net.

You can select some of these, which are most relevant for you. It is not recommended to use all of them in one project.

Outcome Indicators:

Multi-Stakeholder Partnerships
Satisfaction with Local Authorities' Services
Inclusive Participatory Budgeting
Community Engagement in Local Decision Making

Output level indicators

Acquired Knowledge / Skills – please note that pre-testing and post-testing of skills can be quite exhausting if done extensively. So we suggest to use it moderately.