INTRODUCTION

In recent decades, people in countries around the globe have increasingly sought active roles in shaping the institutions and rules which affect their lives. At the same time, in countries both South and North, there has been a wave of reforms to decentralise power away from central governments and locate it closer to 'where people live'. Recent research shows that over sixty-three developing countries have undertaken some form or other of decentralisation in the last decade. Thus, decentralisation presents unique opportunities to invoke the right of citizens to get involved in local decision-making processes and participate in planning for their own local governance.

This topic pack is intended as an introduction for practitioners involved in promoting citizen participation in their local governance arenas.   In Section One, ideas about citizen participation in governance are presented to establish the context for participatory planning.   It examines the concepts, definitions and importance of citizen participation and looks at the different levels of participation that citizens can aspire to and achieve. Citizen participation, however, does not achieve much unless people's voices are heard by receptive ears. To have an impact, it must be accompanied by changes in the way government institutions work. The pack therefore goes on to look at the meaning of 'good government' and lays out the roles and functions that government must play to be responsive to citizens' demands.

Section Two discusses citizen participation in local governance planning. It attempts to establish the case for 'local' governance vis-à-vis 'national' governance as a relevant site for citizen participation, and, 'planning' as an important government function in which citizens need to participate.   For the latter, ideas on decentralisation will be introduced and for the former, concepts and definitions of planning will be laid out, including the stakes of and benefits for various stakeholders.

Section Three provides some practical ideas about how to make participatory planning happen.   Based on Philippine experiences, this section offers a step by step sequential guide to participatory planning, showing where to begin and drawing out some of the key lessons that can be learnt. The section ends by looking at the potential for building the capacity of both local governance institutions and civil society actors as well as the possibility for joint initiatives. A number of small case studies are offered to illustrate to the reader the variety of initiatives which are underway worldwide.

The fourth and final section presents the references used in this topic pack and goes on to give a wide variety of further resources. It also provides a number of websites, abstracts and selected full text articles which may be of use to the reader.

SECTION ONE

CITIZEN PARTICIPATION IN GOVERNANCE

In this section, ideas about citizen participation in governance are presented to serve as context for the section on participatory planning. It suggests that the discourse on and practice of citizen participation is increasingly paying attention to governance concerns while good governance is increasingly taken to mean the creation of spaces for citizen participation.

A. CITIZEN PARTICIPATION

1. What Citizen Participation Means

Citizen participation offers a new way of thinking about development. It embodies the idea that citizens can help themselves; that they can articulate their own needs and find the solutions to address them; that they can be active participants rather than mere recipients of development processes; that development works better for them if done "bottom-up" rather than from the "top-down".

Citizen participation presents a whole new interpretation of notions of citizenship and governance. In the past, these meant citizens ' had to be governed'. As good citizens, people were expected to follow rules and fulfill certain obligations to other citizens and to 'those who governed'. Those who governed, in turn, had the duty to provide citizens with protection and assistance to help them solve problems and make their lives better.

Citizen participation suggests that citizens can govern themselves by influencing decision-making processes that affect their lives, their livelihoods, their communities, their environments and their societies. They have governments to rule them but not to rule them completely and not without question.

Citizen participation in governance, thus, pertains to the processes – the ways and means – by which citizens, particularly the poor and marginalised, influence and take control over the resources and decisions that directly affect them. It requires methods and mechanisms by which ordinary citizens can effectively influence governments to develop responsive policies, and to implement responsive programs and services.

One of the strongest arguments for active citizen participation is that it contributes to good governance. It does so by enabling citizens to exact accountability - directly - from public officials to make government more responsive, efficient, and effective.

Another approach is to view participation as a right. The right to participate in governance is seen as a premise rather than a favor bestowed by government. This right allows citizens to claim other rights and entitlements. In this sense, citizen participation becomes more than a technical fix – it is a good thing not simply because it makes

government programs and services more effective and sustainable. It, in fact, creates a dynamic where citizens can engage governments for the benefit of the larger population that is often excluded from formal political affairs. Direct citizen participation in governance promotes a healthy democracy because it enhances active citizenship and government responsiveness in ways far more effective than the traditional forms of representative democracy.

This shift in thinking about the involvement of citizens in public affairs took many decades to take form and expression. Some of the necessary impetus for these shifts came from international development agencies looking for the best ways to implement development projects. The role of "people's movements" in this discourse, however, can not be discounted because it was out of their struggles for self-determination and entitlements that the importance of popular or citizen participation came to be highlighted.

2.   Changes in Thinking about "The Citizen": Beneficiary, Consumer, Citizen

At one stage it was held that development agencies and governments knew all theproblems of citizens, had all the necessary answers, and therefore implemented all the right programs. Citizens were merely beneficiaries of the fruits of expert thinking and know-how that guided development initiatives.

In the 80s, the failure of many of these "blue print approaches" pointed to the critical role of the ordinary citizen in ensuring the success of development initiatives. Thus, citizens began to be invited to participate to incorporate their needs into projects to make sure that these were acceptable and appropriate. Their "counterpart contributions" – mostly in the form of voluntary labor – were also considered important in that these reduced the costs of development.

The issue of "project ownership" thus gained significance. For projects to work, the "community" – perceived as a homogeneous social group that had shared interests - had to have a sense of ownership of the programs to pursue and achieve the desired results. More and more, communities were drawn into the entire project cycle of identification, planning, implementation, monitoring and, evaluation of impact. Thus, the poor began to be recognized as "choosers" and "users" of development.

At about this time, there was much re-thinking about the role of the state and governments in economic development. There was growing belief that the state had to be "rolled back" so that market mechanisms could do its job of promoting economic growth. Community development thus progressed into the mode of promoting self-reliant development. The poor were seen no longer as "beneficiaries" but as "consumers" who could "buy into" development initiatives.

It was also during this time that non-government organizations (NGOs) flourished. As small scale, non-profit organizations, NGOs were seen as better equipped to operationalize community development and participation. Their work usually involved

organizing the poor into various groups – territorially and/or sectorally – and working with these groups to pursue common interests. Because of their experience in using highly participatory methods, NGOs were generally perceived to be closer and more responsive to communities than governments. And despite the challenge to NGOs of scaling up their development interventions, the donors supporting most of these NGOs began to recognize the value of participatory approaches to development.

By the 1990s, both the meaning and extent of participation deepened even further. The poor were now seen as stakeholders in development and as such had the right to influence development initiatives. Participatory Rural Appraisal (PRA) methods became widely used as tools to identify these stakes through the facilitation of information-gathering methods and collective creation of local solutions.

Participation came to be considered as an end and not just a means to development. It gave rise to the empowerment agenda that linked participation to democracy and equity. Participation was seen as a requirement to change social, economic and political relations that caused the poor to remain in poverty. At the same time, donor agencies and NGOs were coming to realize that the traditional development project offered limited scope for changing structural conditions of poverty and inequality. They began working to imbue developing country policies and institutions with a pro-poor focus. Their promotion of participation thus extended beyond projects into the realm of government policy-making.

> Popular participation can be viewed …(as) a basic democratic right that should be promoted in all development projects. (Cornwall)

In more recent times, participation has been linked to citizenship. Citizenship means citizens can go beyond a relatively passive and reactive engagement with policy-making processes and create their own entry points for participation and mobilization. Participation, thus, penetrated the arena of governance and found new expression there for concerns of government responsiveness and accountability.

> Participation takes place within the boundaries and limits of institutional frameworks and structures and can only be effective if it engages with institutional change. Hence the flip side of the equation is how to strengthen the accountability and responsiveness of these institutions and policies through changes in institutional design, and a focus on the enabling structures for good governance. However, changes in political processes and legal systems will be insufficient without new forms of engagement by poor and ordinary people themselves. Participation therefore is the way in which poor people exercise voice through new forms of inclusion, consultation, and/or mobilization designed to inform and to influence larger institutions and policies. (Gaventa and Valderrama, 1999)

The shifts in the discourse on participation did not necessarily happen in a linear and even manner. Meanings deepened as spaces and practices of participation broadened. Such process of deepening generally entailed new and more active forms of exercising citizenship rights in the social, economic, and political spheres of public life.

> Citizenship rights define what individuals can expect and demand from the state. The definition of citizenship will shape the ways in which citizens exercise voice, and the range of services and freedoms they will struggle to oblige the state to provide. Citizens benefit from certain public services by virtue of their social rights – not, as in a market situation, by virtue of their purchasing power. (Goetz and Gaventa, 2001)

3. The Need for Citizen Participation

A range of different cases are made for citizen participation:

- *Governments, no matter how democratic, cannot be all-encompassing in representing the needs of citizens.*

  Citizens elect people into government thinking they can represent their needs and interests. No matter how government tries, however, it is impossible for them to reach all citizens. It has to rely on assumptions about what citizens need and cannot possibly know everything about their situation. Citizen participation can help to fill this gap. Through active participation, citizens are able to directly voice out needs and concerns. They can complement government initiatives with their own and thereby put their "voice" forward.

  > "Voice" refers to the range of measures – such as complaint, organized protest, lobbying and participation in decision-making and product delivery – used by civil society actors to put pressure on service providers to demand service outcomes. (Goetz and Gaventa, 2001).

- *Governments need to be checked and held accountable.*

  Citizens cannot just wait for governments to solve their problems for them. Neither can they expect all government officials to perform their tasks well without exacting accountability to ensure that they do these efficiently and effectively. Government's power to make decisions has to be checked. Politics cannot be left to politicians alone. Being citizens does not start and end with electing public officials. Governments are, essentially, bureaucracies. They are large-scale organizations with defined rules and hierarchical structures. The task of citizen participation is to ensure that bureaucracies work for the constituencies they were meant to serve.

- *Citizens are in the best position to articulate their needs and create appropriate solutions.*

  Citizens know best what they need and therefore should take part in creating solutions to these needs. Conventional technical expertise can not do the job for them. It is the farmers, for instance, who know best where to build farm-to-market roads. An engineer might do the job but it should not be up to him or her where these markets should be located and how they should be built. There is a need to complement technical expertise with local knowledge and homegrown skills. Toward this end, participatory methods of information gathering, collective analysis and aggregation of interests are highly significant.

- *Participation allows us to create partnerships with governments.*

  For many, government is distant. Government matters only, or mostly, when people go to the polls to vote or pay their taxes. More often than not, they refuse to trust public officials at the same time feel powerless to change the way they do politics.

  > Poor people's dissatisfaction with public service institutions relate largely to issues of voice and of accountability. Poor people believe that "state institutions – whether delivering services, providing police protection or justice, or as political decision makers – are either not accountable to anyone or accountable only to the rich and powerful. (Narayan, 2000)

  > There is a major issue about the attitudes of the public, as customers or citizens, towards local government --- This is a symptom of a deeper malaise, the weakness or lack of public commitment to local democracy. (Goetz and Gaventa, 2001)

A society cannot be considered truly democratic if its citizens feel powerless to change things. The point is to make governments work for citizens rather than against them. Citizen participation allows this to happen because citizens and governments are able to create spaces for working together. This does not mean a conflict-free partnership. It can mean, however, that citizens are claiming their space as equal partners in development and governance and thereby make government responsive to their needs. Citizen participation allows them to negotiate with government and not simply accept the terms of development.

4. The Ladder of Participation

Participation is never a one-shot deal and may come in varying intensities. Effective participation means that citizens deepen involvement to the extent that demands are translated into tangible outputs and outcomes (e.g. improved service delivery, redress of grievances, new policies). Participation, thus, cannot be divorced from citizens' engagement with government structures and processes. Several analysts of participation

have described it as a 'ladder' with several different kinds of engagement that represent different intensities of participation. These can be summarized as follows:

- *Consultation*

    One of the starting points of participation is consultation. It involves getting the state to listen directly to citizens' needs and demands. Such listening may be done through various means and mechanisms: consultative meetings, surveys, referenda, or home visits. The state may provide mechanisms for these consultations or in cases where the state is not pre-disposed to participatory measures, citizens may assert their right to be heard and claim or create space for participation, for example, through protest or mass mobilization. For consultation to be effective, though, its outputs need to be taken up and listened to by those with the power to act on them. It is, therefore, most effective when done in an interactive manner and in an environment of genuine dialogue and information sharing.

- *Presence and Representation*

    A slightly more intensive form of participation is to regularize engagements through institutionalized mechanisms. This means citizens have ongoing access to decisionmaking   processes and are able to engage beyond a mere sporadic presentation of needs and concerns. At this point, citizens are able to negotiate with government for better plans, solutions and procedures.   In many countries, citizen groups have become increasingly involved in official procedures of planning, budgeting and monitoring.   With presence and representation, government not only listens but starts to actually work with citizens.

Participatory Municipal Budgeting, Brazil

Participatory budgeting is a process through which newly created structures known as Regional Assemblies and the Participatory Budget council participate in allocating resources and monitoring how they were used. The council is composed of delegates elected from regional meetings, from thematic working groups, which deal with issues such as transport, culture and leisure, healthcare, economic development and city management, from the municipal union and neighbourhood associations, and from representatives of local government. The Council representatives are responsible for organising ongoing consultation meetings, representing district priorities to the municipal governments, and (in collaboration with government represe4ntatives) establishing and monitoring the local budget. Originally initiated in Porto Alegre, participatory budgeting is now practised to some degree in 80 cities throughout Brazil. Beginning in May 2000 the process will be applied at the state level, encompassing some 500 municipalities. (Goetz and Gaventa, 2001)

- *Influence*

  Being consulted and having presence does not necessarily lead to influence. Influence occurs when citizens' demands actually find their way into policies, programs and service delivery. Influence is visible when government begins to act on such demands and begins producing actual outputs. The challenge for citizens, then, is to remain vigilant so that commitments undertaken by governments are fulfilled and carried out in a transparent manner.

5. The Challenge of Citizen Participation in Local Governance

Deepening spaces for citizen participation in local governance is an on-going process. Ways of participating in governance processes have to adapt to new developments and contexts. With the onslaught of globalization, for instance, many government functions, especially in the economic sphere, tend to be internationalized and therefore, access to decision-making processes becomes more difficult. Concretely, globalization can mean that a national or local government has to serve multiple constituencies (i.e. domestic and transnational), the interests of which may run counter to one another.

There is no replacement, however, for intensifying work at the local and national levels. Citizens must not be misled into thinking that governments cannot and must not perform certain functions because governance is now increasingly globalised. Rather, voices must be raised so that they can be heard and heeded at all levels of governance.

"Raising voices" means citizens not only adapt to but actually shape developments. In this regard, capacities for engagement with government becomes crucial. More voices must be heard, more loudly, and mechanisms for inclusive participation have to be strengthened. It therefore becomes necessary for citizens' groups to consciously exercise internal democracy. With such democratic practice, participation ceases to become a mere question of "who speaks", and becomes a genuine reflection of social conditions that need to be changed. Networking among citizen groups is another strategy that helps to scale up participation.

B. GOOD GOVERNANCE

1. The Meaning of Government

Conventional wisdom says that "good government" should be "*of* the people, *by* the people and *for* the people". Yet practically it is impossible for all "the people" to be in government; neither can governments fully represent all "the people" all the time. The ancient Greeks evolved a system whereby a council of wise elders governed on behalf of "the people". Since then, the democratic (from the root 'demos', meaning 'the people') system of governance in which citizens choose representatives to govern on their behalf through regular, free and fair elections has become widely accepted as a norm around the world. And while different forms of government institutions have evolved over time, all

government institutions are anchored on the principle that elected representatives are accountable for their actions to the citizens who elected them and whom they represent.

As social institutions, governments are structured in a way that enables them to perform executive, legislative and judicial functions, in accordance with powers and authorities that are vested in government. Central to the modern notion of democracy is that these three arenas of state power should be separate and independent from each other, so that there exists an internal system of checks and balances to control the power of each.

Functions of Government

The functions and roles of government are numerous, but all governments, have to perform certain basic functions. A brief review of some of the roles and functions of the state would include such things as:

- Maintain effective and efficient public sector organisations to carry out duties
- Provide a framework in which public policy can be designed, formulated and implemented
- Maintain law and order
- Mobilize and manage resources and deploy these for the public good
- Promote and protect the rights of all
- Promote economic growth, development and welfare for all
- Provide collective public goods
- Maintain international diplomatic relations

The experience of "being governed" is varied both within and across countries. Experiences of how citizens are governed are defined by the individual and institutional capacities of governments to carry out their mandates as well as entrenched power relations and the social and economic conditions in which citizens live. It is generally recognized that reaching the poor presents governments with a particular challenge and some have made special efforts to achieve it. But government efforts to provide the best mix of public goods that limited public resources can afford have yet to benefit the poorest sectors of most societies.

What does a government do when it governs? It chooses, implements, and enforces policies that are embodied in a systems of laws and regulations. It produces routine regulatory actions. It issues licenses and permits; allocates access to government resources and subsidies; monitors compliance of companies, non-governmental organizations (NGOs), and individuals; and intervenes to stop activities that do not meet regulatory standards. It either produces public goods and services itself – such as roads, schools, and clinics – or contracts for these goods and services. Then it distributes access to governmental goods and services among the citizenry according to its own criteria of need and program eligibility. (Weaver 1997)

2.　"Good Government" – A Crisis of Legitimacy

Recent studies have pointed to the emerging "crisis in governance" and the need for constructing "new relationships between ordinary people and the institutions – especially those of government – which affect their lives" (Gaventa, 2001).

The study "Voices of the Poor" prepared for the World Development Report 2000/1 shows that poor people who participated in research exercises in 23 countries perceive large institutions – especially those of the state – to be distant, unaccountable and corrupt.

> From the perspective of poor people world wide, there is a crisis in governance. While the range of institutions that play important roles in poor people's lives is case, poor people are excluded from participation in governance. State institutions, whether represented by central ministries or local government are often neither responsive nor accountable to the poor….
> Narayan et al, 2000: 172

A 1999 study conducted by the Commonwealth Foundation in over 40 countries echoes this erosion of the confidence of citizens in their governments. Corruption, unresponsiveness to the needs of the poor, and the inaccessibility and impenetrability of public institutions were the principal reasons for this growing disillusionment with governments.

It may be argued that part of the reason for this crisis in governance – the crisis in the legitimacy of governments -- was also the changing expectations of citizens vis-a-vis government and their own roles in governance. As has been mentioned in the earlier section, together with the "roll-back" of direct state involvement in economic development came the flourishing of NGOs taking on community development and participation initiatives. Perceived as more responsive and more connected with the communities themselves, NGOs became effective substitutes for governments, delivering basic services and providing avenues for participation. Thus the experience in participatory *development* approaches gave rise to parallel expectations for equally participatory approaches in *governance*.

> The poor in Morro de Conceicao, Brazil said, "the responsibility for the problem is 90% on the government, but we vote badly, we do not monitor, we don't demand our rights, and are not active to demand a correct action by the government."
>
> …. In Jamaica, a young woman said, "the government let us down, too may promises – never fulfilling them… we want to have more influence over government."
>
> (Narayan, D. et al, 1999)

More and more, citizen participation became the cry even for activities that had traditionally been considered part of the "public sphere" – policy formulation, and decision-making in governance processes. Through their participation, citizens have begun opening up new mechanisms for exacting performance and accountability from their government institutions. The critical concern now is how to raise voice especially by those marginalized and socially excluded to ensure that government institutions respond to that voice.

Focus is now shifting, then, from the quality of local governments and their administrative and management capacities to how citizens, especially the poor, are able to influence and improve how local governments perform. This shift is at the conceptual core of what has broadly come to be referred to as governance. Governance has been defined as the "relationship between civil society and the state, between rulers and the ruled, the government and the governed" (McCartney, 1996:4).

Governance comprises the mechanisms, processes and institutions through which collective decisions are made and implemented, citizen, groups and communities pursue their visions, articulate their interests, exercise their legal rights, meet their obligations and mediate their differences. UNDP 1997:1

Within this context, governments are key stakeholders in any governance process as "governance is both a broad reform strategy, and a particular set of initiatives to strengthen the institutions of civil society with the objective of making government more accountable, more open and transparent, and more democratic" (Minogue 1997: 4).

Core Characteristics of Good Governance

1. Participation
2. Transparency
3. Responsiveness
4. Accountability
5. Legitimacy
6. Partnership
7. Rule of Law
8. Consensus Orientation
9. Equity
10. Effectiveness and Efficiency
11. Strategic Vision
12. Resource Prudence
13. Ecological Soundness
14. Empowering and Enabling
15. Spatial Grounding in Communities

UNDP 1997

3.   The Need for Responsive Governance

The "crisis of legitimacy" of government institutions in relation to the poorest and most marginalized sectors points to the need for re-configuring government institutions to involve citizens especially in the planning, production, and provision of public goods and services. There are several points relating directly to this:

- *Given limited public resources, there is a need for local governments to achieve effective public management.*

  There will never be enough resources in the public sphere. Thus it becomes all the more important that governments effectively manage these resources in the best possible way. This will mean that public resources will have to be managed to respond to citizens' priority needs. Directly connecting with citizens will allow for this to happen in a manner that can meaningfully draw from both local knowledge and experiences in an inclusive and participatory way.

- *Governments and public officials need to be accountable and transparent to citizens about their actions, particularly in relation to their public service mandates and the use of public resources.*

  Internal checks and balances are built into the way most governments are structured. However, these are never enough.   In fact, where individual and institutional capacities are weak, and where power relations are skewed in favor of elite interests, these internal systems can hardly be depended upon to exact performance, accountability and transparency of governments.

  > In Canar, Ecuador, the corrupt condition was summarized as: "The government does not really govern; the rich are the ones that govern." (Narayan et al, 1999).

  The need for external systems of accountability is ever greater. In order to make governments answerable for their actions, citizens will have to take the lead. For them to do so, they need to equip themselves with the relevant information, claim the right avenues to raise their concerns, feel that it is their right to ask the difficult questions, and expect that corrective actions are taken.

  > In Bosnia-Herzegovina, a young man said, "I still don't believe in the veracity of elections, but I always vote. It is necessary to work for democracy. And it is necessary to make accountable those who even today create chaos so that they will get richer." (Narayan, et al, 1999).

Active citizens can organize themselves, express their demands and even lobby for specific changes in policy or performance, whether governments invite them to do so or not. Governments may show that they are willing to engage with these citizen actions by opening up spaces for consultation, participation and joint decision-making, and by showing through their actions that citizens' inputs have been utilized. Or they may not, in which case citizens' actions are likely to result in upheaval and a reduction in governments' credibility. It is thus in governments' interest to create spaces and channels for participation because otherwise they risk their own credibility and legitimacy in the eyes of their citizens.

- *Governments need to play an enabling role in promoting and nurturing active citizenship.*

Over and above involving citizens in making decisions and exacting accountability, governments have the responsibility to create opportunities for citizens to continuously engage with them in an inclusionary and participatory manner. If governance is all about the relationship between the rulers and the ruled, then the quality of governance is defined by the constancy of engagement between citizens and their governments, as well as between governments and their citizens.

4. Mechanisms for Government Responsiveness

The challenge of realizing participatory governance is not the sole responsibility of governments. But there are many ways in which governments can help to contribute to this process.

- *Making government institutions work.*

Government institutions have been organized to achieve a more rational, impersonal and legitimate means of carrying out public administrative functions. In this sense, tax-paying citizens need to trust those in public office not to treat them in an arbitrary or corrupt manner but in a consistent, ordered, rule-bound way. If this is the spirit underpinning government as a social institution, then at the very least, governments should make government institutions work.

More than this, governments can redesign institutions and improve institutional structures and processes to enable the active participation of citizens in governance. This will formally institutionalize power sharing and decision-making in governments.

- *Creating other avenues for citizens to participate.*

Governments can strive for flexibility and innovation in the way they engender citizen participation in governance. They can create various channels for citizens to

engage in governance processes. These would include such things as task forces, joint committees, public assemblies, consultative meetings and feedback sessions, and ombudspersons. This necessarily implies that governments make available to citizens the information they need to meaningfully participate in these forums.

- *Being open and responding to other citizen initiatives.*

Recognizing that governments cannot possibly author all mechanisms for citizens to participate in governance processes, they should be open and receptive to all other initiatives. Being receptive is an important aspect of government responsiveness.

Citizen Foresight Project – Citizens Juries on Genetically Modified (GM) Foods – UK

A public deliberation in 1998 by a socially representative jury of 12 on the safety of genetically modified foods, initiated by civil society actors. Information was provided by a range of experts and stakeholders, and was processed and analysed by the jury. The jury challenged the UK government's lack of responsiveness on issues of environmental health and its lack of transparency on food-safety issues, and articulated to the government the public's sense of unease over GM foods and food safety in general.

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5.   The Challenge of Realizing Good Governance

Governments are only one of several kinds of stakeholders in the governance process. As such, it is incumbent on them to learn new ways of carrying on with their business – with their citizens as active partners in an on-going process. At the same time that they will have to constantly enable citizens to get involved in governance processes, they will also have to actively respond to citizens' demands for constant involvement. Just as active citizens have to be vigilant about securing their spaces and raising their voices in governance, mature governments have to be responsive and accountable to citizens who are their partners in governance.

SECTION TWO

CITIZEN PARTICIPATION IN LOCAL GOVERNANCE PLANNING

This section looks at how decentralisation offers opportunities for citizen participation in local governance, particularly in local planning. It examines the concept of planning and its definition. It goes on to look at what is at stake for local governments and for citizens, and ends by looking at capacity building initiatives, both within local governments and within civil society. The focus is on local authorities because, with the growing spread of decentralisation, they take on the responsibility of co-ordinating and integrating local level plans.

A. LOCAL GOVERNANCE AND DECENTRALISATION

1. The Definition of Decentralisation

Because there are so many types and sub-types of decentralisation, it is difficult to give an exact definition of its meaning. The various definitions of types and sub types of decentralisation can be confusing as Diane Conyers points out. She argues that it is more helpful to look at each system of decentralisation in its own context. Her general definition states that decentralisation involves:

"the transfer of power and / or authority to plan, make decisions and /or manage public functions from a higher level of government to a lower one." (Diane Conyers, 1990)

Decentralisation is generally regarded as being democratic and referred to as democratic decentralisation where the lower-level authorities are a) largely or wholly independent of the central government, and b) democratically elected. (James Manor, 1997)

Broadly any definition of decentralisation would indicate that it involves a transfer of authority to perform some service to the public from central government to some other individual or agency which is closer to the public to be served. The basis for such transfers is often territorial and may be driven by the desire to place authority at a lower level in the territorial hierarchy and thus geographically closer to service providers and clients. Whilst this is more common, transfers may also be made functionally whereby authority is transferred to an authority or an agency that is functionally specialised.

2. The Opportunities Offered By Decentralisation

Recently there has been a great push by governments of all political persuasions to introduce decentralisation reforms. Within the last decade, over 65 developing countries have undertaken one form or other of decentralisation. Given the 'crisis of legitimacy' that we have discussed already, these 'waves' of decentralisation pose a significant opportunity to change the shape and form of the relationship between the state and civil society. They open up a number of avenues and spaces for a dialogue between citizens

and their local authorities. When decentralisation occurs, and where it is democratic, central government is required to play new roles and to form new relationships with the local level governance institutions located at differing levels.

Decentralisation poses a challenge to the way we think about civil society, about 'the community', and the way we define 'the local'. It raises many questions and challenges concerning the way we participate in the decision making process, and the whole process and structure of development planning.

3. Types of Decentralisation

Decentralisation covers an enormously wide range of types and mechanisms of government. Most governments around the world practice some form or other of decentralisation. Whilst there a numerous different varieties, types and sub- types, generally four main types can be identified:

- *Federalism* - power shared and co-ordinated between central government and semi-independent territorial units, or states, whose existence, rights and autonomy are constitutionally protected. There are a wide variety of types of federalism, of which and devolution is the most powerful form.
- *Local Government Decentralisation* – this might constitute a whole variety of devolved local governments in rural or urban settings. It consists of officially established local government bodies who generally draw on local participation from grass roots structures.
- *Mixed De-concentration and Devolution* – here Line Ministries with field officers at local level are mixed with elected local government officials. This form is increasingly popular because a whole new system of local government does not have to be created; an existing de-concentrated field administration can be used.
- *De-concentrated field administration* - this involves the de-concentration of officials and responsibilities to the local area but still under central government control and central government funding.

4. The Legal Framework for Decentralisation

National governments need to be responsible for ensuring that well crafted and progressive legal reforms provide local institutions with adequate and appropriate powers to carry out the functions that are being decentralised to them. This requires that a whole range of enabling laws are enacted and implemented, and that these open the way for democratisation and empowerment of local institutions.

It is important that legislation is reviewed, rationalised and harmonised periodically so as to ensure that the laws are in sync with each other and that there are no contradictions between different laws. At the same time the centre needs to design appropriate instruments through which to carry out the monitoring, regulation and oversight of local authorities. Recent innovative examples of how central government can create enabling

legal frameworks for meaningful decentralisation have emerged in Bolivia, Brazil, India and the Philippines amongst other countries.

Case Studies: Government Frameworks for Participatory Planning

Participatory Local Government in the Philippines

The Local Government Code of 1991 establishes a Local Development Council (LDC) for every province, city, municipality, and barangay. The primary responsibility of the LDC's is to draft comprehensive multi sector development plans, including a comprehensive land-use plan for each local government unit concerned. At least one-fourth of the total membership of the LDC's should come from the NGO – POs (people's organisations) and private sectors. LDC's have become vehicles for these civil society organisations to mobilise people in the barangay to claim from government minimum basic services and to prioritise projects to be supported from local projects. A national network of NGO's, known as the BATMAN projects, has worked to strengthen local government and civil society interaction, and to strengthen participatory approaches such as PRA in barangay development planning.

Law of Popular Participation, Bolivia

The Law of Popular Participation (LPP) of 1994 empowers democratically elected municipal councils to design and implement local development policies and programmes, with finance transferred from the central government. In addition, the law empowers Community-Based Organisations (CBO's) known as Organizations Territorial de Base, to participate in the development of five-year municipal plans. These groups are given jurisdiction over a given territory and assigned rights and duties covering a range of social, infrastructural, productive and environmental matters. In addition, Vigilance Committees are set up to act as watchdogs on the municipal council, and to ensure that community projects and priorities are reflected in municipal budgets and expenditures.

Peoples Campaign for Decentralised Planning in Kerala

Among the various provisions for strengthening local governance (Panchayati Raj institutions) the 73rd Amendment in India called upon the Pachayti Raj Institutions to conduct local programmes of planning for social and economic justice. Local level planning has been most thoroughly undertaken in the state of Kerala. In 1994 the state enacted the Kerala Panchayti Raj Act and its State Planning Board initiated the Peoples Planning Campaign in an attempt to try and strengthen village level governance and empower local panchayats to draw up plans based on a participatory village-based planning process. Planning was supported through the mobilisation and the involvement of neighbourhood groups; training camps for thousands of resource persons from state, district and local levels, as well as for retired experts. 40% of the state budget was set aside for the support of projects planned and implemented locally.

Source: Goetz, and Gaventa, 2001.

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5.   The Advantages of Decentralisation

Many benefits are claimed to accrue from decentralisation because of its potential to shift the locus of power from the centre to the local level and improve the responsiveness, accountability and legitimacy of the state. Generally, it is argued that decentralisation is an essential element in improving the ability of states to

➢ redistribute resources in favour of the poor
➢ deliver services more effectively and responsively

➤ enhance accountability,
➤ enhance the participation of local people in the decision making process
➤ deepen democracy

One of the major claims of decentralisation is that it brings decision making and resource allocation closer to the people, and therefore enables people at the local level to participate in the local planning process. Decentralisation is also intricately linked to planning. Decentralising the responsibility for planning and/or implementation changes the extent to which particular individuals groups or organisations can influence both what is planned and what actually happens. Diane Conyers pointed out that it therefore affects the extent to which people benefit from 'development'. Questions of 'who benefits' are important to bear in mind

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The Benefits of Democratic Decentralisation

B.C. Smith, a prolific writer on decentralisation argued that the benefits of decentralisation are:

1. Political Education of the masses in terms of the role of political debate, the selection of representatives, and the nature of policies plans and budgets in a democracy.
2. Training in Political Leadership creating a seedbed for prospective political leaders to develop skills in policy making, political party operations and budgeting and resulting in the enhanced quality of national politicians.
3. Political Stability secured through participation in formal politics. Practices such as voting and actively supporting a political party strengthen trust in government create social harmony, community spirit and political stability. It is also a mechanism to prepare the populace for the profound social and economic changes associated with development.
4. Political Equality from greater political participation, reducing the likelihood of the concentration of power and broadening its distribution to poor and marginalised groups in society.
5. Accountability is enhanced because local representatives are more accessible to the populace and can thus be held more closely accountable for their policies and outcomes than distant national leaders. Voting in local elections is a unique mechanism for the populace to register its satisfaction or dissatisfaction with the performance of representatives.
6. Responsiveness of government is improved because local representatives are best placed to know the exact nature of local needs and how they can be met in a cost effective way.

Source: Turner and Hulme (1997) and adopted from B.C Smith (1985)

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6.   The Pitfalls of Decentralisation

It is also necessary to keep in mind the possible pitfalls of decentralisation. Not all decentralisation schemes seek to give power to the people. In some cases, decentralisation has been seen to reinforce the local power structure and cause local elites to capture more political power. It should thus be remembered that, by its very nature, decentralisation is inevitably a political process. This is because it concerns the redistribution of power and resources, and thus alters the balance of power in society.

Those involved in decentralisation initiatives world-wide are increasingly pointing out that for decentralisation to be meaningful, the political will and commitment of central government to the process is absolutely critical. Contrary to popular assumptions, decentralisation actually implies more from central government, its ministries and

institutions, rather than less. The creation of a conducive environment in which development can take place through the decentralisation process is a task which faces any government involved in decentralising its power

In his recent work, James Manor has shown that decentralisation has often come as a result of either pressure from donors or as a 'top-down' initiative of governments rather than pressure 'from below'. It is important to look at the motives that may lie behind the decision to decentralise. Such motives may include attempts by governments to:

- Further political power at local level
- Capture local support
- Channel money or patronage to particular sections of society
- Build political alliances
- Smooth out regional differences
- Dump responsibilities and costs for the provision of services

B. LOCAL PLANNING

1. Concepts and Definitions

There is much debate about the exact meaning of the word 'planning' and how it should be defined. Albert Waterston provided a simple definition in the mid 1960's. He saw planning as "an organised, conscious and continual attempt to select the best available alternatives to achieve specific goals" (Waterston 1965). Planning is concerned with the scheduling of activities in terms of the sequence of events of what should be done to achieve a particular goal. The definition of goals is an important part of the planning process itself, as is the process of weighing up or evaluating the alternative ways of achieving the objectives or meeting the goals. Planning therefore involves a continual process that involves making decisions about which problems (out of a large array of problems) should be tackled and in what order of priority. Consensus is required in making priorities because not all problems can be met at once given that resources are always limited.

There are many different types of planning. Often the term is used loosely, without clearly differentiating between the many different types of planning that exist, such as rural development planning and physical planning or town planning. Conyers argues that these different types of planning tend to be professionally and organisationally compartmentalised, but in reality, they are closely inter-related. Sectoral planning, for instance, is often the most common and pernicious type of comparmentalisation of planning that occurs. In the context of decentralisation, Conyers recommends that we consider the different types of planning together. She sees planning as an integral part of the overall process of both making and implementing decisions. (Conyers, D. 1990).

Planning is not just about the steps that are taken prior to implementation. Rather, it is a process, which involves the whole spectrum of activities that take place throughout the entire lifecycle of the plan, from initial conception through formulation and implementation to monitoring and evaluation. When we think of what planning means we also need to include all the resources and budgeting activities needed for servicing those plans, for on-going management and maintenance arrangements and for monitoring and evaluating them. These considerations are especially important in regard to the annual planning cycle that any local government authority has to go through.

Planning is not just concerned with the short term and the annual planning cycle. It has also to look into the future, to develop a vision of what we want our communities to be like, and a strategy for how to achieve development that is sustainable over the longer term. The planning process involves drawing up a strategy as to how we get out of our present problems and move step by step towards our vision of what we would like our cities, towns, wards and villages to look like in the future. So, where planning has been criticised as the composition of long and sometimes unrealistic "wish lists" of projects, which often remain un-funded and un-implemented, the challenge for local level planning is to move from lists of projects to integrated district development plans which respond to people's expressed needs.

In the 'real world' then, planning usually encompasses a complex mixture of elements stretching from the technical to the political, where numerous individuals and organisations from varying power bases interact, bargain and negotiate to achieve their goals. Planning does not take place in an 'ideal world'; it is always set in an existing context. It is sometimes forgotten that planning has both a technical and a social and political side to it.

Recent contributions on the meaning of planning by those involved in participatory planning see planning as "a negotiated social process" (de Roux 1998). For de Roux the focus of participatory planning should not be primarily the production of a plan, but rather the creation of 'spaces for dialogue' between a wide variety of actors in which diverse expectations, perceptions and interpretations regarding local problems and issues are expressed and negotiated. Power relations, de Roux argues, are likely to lead to confrontations of interest amongst these actors. However, this may in itself offer opportunities for learning. The social processes that we need to engage in to facilitate a collective analysis of our problems and reach consensus-based priorities can be complex and uncertain. This means that we need to conceive of planning as deliberative, iterative and flexible. Also, planning offers "a unique opportunity for technicians and community members to interact and join knowledges". (de Roux 1997 quoted in Blackburn, 2000).

2. Citizen Participation in Local Planning

2.1 What is at stake and what are the benefits?

> *"I refuse to accept the notion that man is mere flotsam and jetsam in the river of life, unable to influence the course of events that surround him".*
> *Martin Luther King*

Martin Luther King's vision was one in which we become involved in influencing the course of events around us. His words are an impassioned plea for us to make a contribution to the society in which we live rather than acting like passengers on the journey of life; passive and yet often discontented with the way our communities are. Engaging in a dialogue with those around us and with our local institutions, associations and organisations may enrich the quality of our lives of and by itself. It may help us to feel empowered, increase our sense of connection to each other and give us a greater sense of fulfilment in our lives

And yet, as people struggle to make ends meet in the hustle and bustle of their daily lives, why should they rise to meet the challenge of becoming involved ? As they decide how to respond, they need to consider exactly what is at stake, what benefits may be reaped from participating in the planning process and what the costs are.

2.2   What is at stake for citizens and for local governments?

	Citizens	Local Governments
What are the stereotypes of each other?	• 'Us' • Lay-people • Non-professionals • Lack knowledge	• 'Them' • Corrupt • Bureaucratic, • Slow and unresponsive • The experts
Why should they engage with the other?	• Put forward their interests • Get technical input • Representation • Lobby for resources • Be involved in deciding how their taxes are used • Building communities and increasing social capital	• Be responsive • Increased legitimacy - more votes • Increase collection of local revenue • Improved relationship with local residents – less hostility and complaints • Consensus building
What are the implications to each if they are to pursue a partnership?	• Learn local government language in order to influence decision making process • Enrich the quality of life and decrease feelings of alienation and powerlessness • Gain ownership • Harness locally existing knowledge, resources and capacities	• Understand local problems and priorities • Be prepared to do things in a different way • Build mechanisms for transparent accountability. • Strengthen internal capacity • Enhanced satisfaction with work

Conventional approaches to planning, especially in developing countries, tended to focus on projects as the main instruments of delivering development. No doubt, most of us can cite examples of "white elephant" projects, which lie unused and unwanted because our

involvement and support for them was missing. Yet planning is more than just implementing projects. If we think of planning only in terms of projects we may be tempted to see it as nothing to do with "us", as something purely technical and best left to "them", the technical experts. However, this kind of 'them' and 'us' thinking is not helpful. Clearly, plans and the actions that follow from them have consequences that directly affect all of us in the course of our everyday lives. Planning is about shaping the physical and social world we live in.

It can also mean challenging existing power relationships that may be deeply embedded and thus deepening the democratic process by helping to build the accountability and transparency of locally elected representatives to the people who elected them.

The resources with which to carry out plans are always limited; in poorer countries, they are sometimes almost non-existent. In this scenario people often lose interest in participating in making plans that always come to nothing. They lose confidence in the ability of their local institutions and their elected representatives to deliver on their promises. When people feel powerless to change the way things are; when they feel they have no chance to voice their concerns and be part of identifying solutions, they may use many ways to actively or passively express their resistance. Our response to this frustration may be to resist paying our local taxes or, it may find an outlet in more violent and anti-social behaviour.

The benefits of participating in planning are clearly wider than just 'better projects' and better service delivery and more resources. However, it is now recognised that participation has benefits that go beyond just being a means to an end. The act of participating may offer wider benefits to us and to society as a whole. Getting involved means taking responsibility for the way communities and neighbourhoods are. It means more than just casting an occasional vote in an election. It means doing something about existing problems, rather than just complaining about them and feeling powerless to change them. This may add considerably to the quality of people's lives, and to their feeling of being 'more in control' of their own destinies. Participating may empower citizens to speak up for their rights, and to express their wishes, fears and grievances. It may help people to feel more included and less alienated from the societies in which they live and give them a sense of pride in their communities and in themselves. It may also help people to live more meaningful and enriching lives, to understand and empathise with other people and their problems and be creative in finding solutions. These things in themselves may contribute to building better societies and healthier communities.

2.3   What are the Costs of Participation?

It is important that the the costs of participation are recognized. Issues of time effort and resources to participate are a major concern. In developing countries people often have to expend much more time and effort on just earning a living than in developed nations. This is often particularly true for women and for the poor. Therefore, those who provide resources in southern contexts (donor agencies etc) need to think about what investments would free up the time and energies of people so that participation does not

represent an excessive burden to them, and so that they can exercise that right without going hungry as a result.

Participatory processes take time and cost money to governments who want to convene them. Thus participatory processes need to be budgeted for if they are not going to frustrate expectations, and if they are to be meaningful. At the same time, development assistance agencies need to be aware of the constraints and costs of participation and to take responsibility for ensuring that they build participatory approaches in to their programmes and projects, and channel their funding accordingly. They also need to be aware of the dangers of creating parallel planning structures and of bypassing already existing planning structures. Rather, they should channel their funding through existing structures in such a way as to strengthen rather than weaken already existing local capacity.

SECTION THREE

MAKING PARTICIPATORY PLANNING HAPPEN

This section examines the practical issues involved in operationalizing participatory planning in local governance. It looks at who should be involved and how capacity for participation can be built. Some practical steps are also introduced and a few case studies are offered.

A. Who should be involved and who should be responsible?

In order to embark upon this process, we need to be clear as to who should be involved, and whose responsibility it is to initiate it. Three major sets of actors are clearly involved, central government, local government and a variety of civil society organisations. In some developing country contexts, donors or the staff of donor-funded projects can also be involved, directly or indirectly, in local government planning. As we have seen in the context of decentralisation, central government clearly has a responsibility to create the legal and policy frameworks in which local government can operate meaningfully. It also has the responsibility to continue to provide a conducive and supportive environment for local government and to respond to its evolving needs as more participatory approaches to local planning are initiated. In the context of good governance and decentralisation, central government should thus supply the impetus through which local government is encouraged to initiate and apply more participatory approaches in planning.

Responsibility does not just lie with the state. Local government is responsible for using the state's legal and policy frameworks to initiate a variety of innovative approaches that engage ordinary citizens in their planning processes. It is clear however that responsibility does not just lie with "them" but also with "us". Yet there lies a real dilemma in thinking of citizen participation in the planning process as a responsibility. This dilemma arises because people not wish to participate, or they may be unable to do so or they might not be allowed to do so. The dilemma is especially critical because many donors appear to make the implicit assumption that citizens will participate, and that they should participate. This assumption is neither fair nor, often, is it practicable. What may be more important is that everyone has the right to be able to get involved if they want to.

B. How do we build Capacity?

"*Rebuilding relationships between citizens and their local governments means working both sides of the equation – that is, going beyond 'civil society' or 'state-based' approaches, to focus on their intersection through new forms of participation, responsiveness and accountability*" (John Gaventa, 2001)

This proposition requires us to work towards building the capacities of all the actors we have identified at "both ends of the street". We need to build institutional capacity within local government whilst at the same time working towards a more aware and active civic society which is prepared to engage with local government in a dialogue. What, broadly, are these capacities that we need to build in order that we focus on both a more active and engaged civil society which can express demands of the citizenry, and a more responsive and effective state which can deliver needed public services?

Whose Capacity?	Capacity for doing what?
Civil Society	- To engage in citizen learning - To engage in citizen education - To understand their duties - To understand the language of local government
Local government	- To be Responsive - To build capacity in human financial, capital and natural resource management - To put structures and systems in place which promote transparency and accountability - To learn how to work together - To understand their mandated duties. - To understand the language of civil society.

1. Local Government Capacity

For many years it has been recognised that the quality and effectiveness of our public institutions both at national and local levels is one of the single most important influences in determining the quality of our lives and whether our conditions of living improve, remain the same or deteriorate. This is true in both the developing and the developed world and in both urban and rural settings. Therefore the capacity of these institutions to respond to our needs is a matter of serious concern. It is through these institutions that public resources for our development are allocated, that plans are formulated and that action to address our problems takes place. However, it is not only what these authorities do (or do not do) that is important, but also about what they allow and support other groups to do. Building and strengthening the institutional capacity of our public authorities is critical in order that they effectively play their role in contributing to our self-sustaining development, and that they do so in a manner that responds to peoples expressed needs.

For local authorities to do this means that they have to be allowed to do so, want to do so, and be able to do so. What allows local authorities to do this are clear terms of reference prescribed by central government, a clear mandate from central government to follow these terms of reference, access to resources and services, an enabling environment (created by central government) and active support from constituents/ratepayers. What makes them want to do so is pressure from constituents/ratepayers, pressure from central government and a team of local authority Councillors and executive staff that is

committed to the goal. What makes them able to do so is a capable executive, capable Councillors, a sound revenue base, access to resources and services and an enabling environment (created by central government). From this we can see that the context in which our institutions operate is an important factor in the design of any Programme to build institutional capacity. Capacity building is not easy or simple, nor is it a magic recipe.

Broadly speaking, capacity building programmes within local government authorities are aimed at developing and improving performance in four key areas; financial, capital, natural and human resource management. An example from Zimbabwe cites all the major areas of activity undertaken by the local authority as areas in capacity needs to be built:

- **Promoting Civic Participation:** promote civic responsibilities and initiatives and then respond to civic demands as articulated by elected bodies.
- **Creating an Environment Conductive to Increasing Local Productivity:** generate an environment in which local initiatives lead to increasing production per household and the achievement of self-sustaining livelihoods.
- **Creating an Environment Conducive to the Provision of Demanded Services:** generate an environment conducive to the provision of services in response to effective demand and articulated grievances.
- **Sustainable Management of Natural Resources:** carry out their responsibilities for promoting self-sustaining land use.
- **District Development Planning:** plan strategically through a participatory area-based process that develops criteria for self-sustaining development.
- **Implementation Planning, Execution, Monitoring and Taking Corrective Action:** plan implementation and then execute and monitor projects and activities so as to meet demands for transparent accountability and ensure the taking of corrective action and effective implementation.
- **Systems for Assessing Corporate Performance:** develop systems for routine and continuous assessment of corporate performance and its improvement through internal generation of resources.
- **Human Resources Management and Development:** develop human and managerial resources and thereby systematically build the capacity of Councillors and staff.
- **Financial Management:** develop financial management procedures to cope with both increasing responsibilities and demands for transparent accountability.
- **Capital Assets Management:** improve management of capital assets.

(Adapted from The Rural District Council Capacity Building Programme, Mashonaland East PST Revised Logical Framework, Zimbabwe, 2000)

From this we can see that there is a huge menu of possibilities for building the capacity and skills of our public institutions, their staff and our elected representatives. The case study from Zimbabwe gives one example of how such a vast array of issues was tackled.

Case Study: The Rural District Councils Capacity Building Programme, Zimbabwe

This Capacity Building Programme used a 'Learning-by- Doing' process approach in an attempt to engender a performance enhancing change in the way Rural District Council's (RDC's) performed their functions. It was based on the premise that potential capacities are realised when people have the opportunity to 'do' and then to reflect upon the consequence of what they have done and take appropriate corrective action. Grants were provided to RDC's to implement local development projects and to conduct training sessions with Councillors, Council Committees and local communities. Facilitators worked with RDCs as they used these grants to engage them in a critical analysis of the consequences of their action and to support them as they searched for solutions to the problems which arose.

A key revelation was the recognition of a causal link between poorly defined functions, inconsistent structures, non-transparent systems and budgets that lacked transparency and accountability. RDC's lacked clarity as to their central role as agents of local development. As a result of being unable to define their core functions, Committees of Council had never fully defined the activities for which they should be responsible and, were unable to relate these to the annual budget. No Committee knew which part of the budget it was responsible for. Few development activities were actually taking place because the limited resources were largely swallowed up by recurrent expenditures.

This analysis led to a radical restructuring of the Committees of Council based on an analysis of what their core functions were as derived from the RDC Act. It was subsequently possible for Council Committees to identify their terms of reference and to become clearer as to their roles. Work then began on improving the many systems that operationalised these structures. Each Committee was able to identify the technical staff it needed to service it, and began to pressurise the executive to service their Committees with better quality information and advice. This heightened awareness on the part of Councillors and Committees led them to begin to realise the crisis they faced in terms of the low the calibre of their executive staff. Newly formed HRD Committees began the process of critically examining RDC staff, and searching for solutions as to how to deal with these problems

A critical discovery was the pivotal role of the budget. As Committees became clearer about their roles, they began to see which parts of the plan and budget they should be responsible for implementing and monitoring. They also began to see just how much was being swallowed on recurrent expenditures and how few actual development activities were taking place. RDC's began work to restructure the Budget format in order that it correlate with the functions of each Committee, become more transparent, easier to understand, and more orientated towards development outputs. Crucially, work on improving the process of budgeting bought to the fore the whole issue of how the RDC's planned and how these plans originated. Major issues about what to do with the sub-district planning structures and how to make the planning process more participatory are now clearly on the table. However, in the current political context, these remain unresolved. (Adapted in Bishop, E. 2001)

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2.   Citizenship Learning

At the 'other end of the street', the last few decades has seen a tremendous growth in new and innovative participatory techniques which empower citizens to learn how to become more active, more aware and more articulate in expressing their needs. Many of these innovations have evolved from the growing spread and popularity of Participatory Rural Appraisal (PRA) approaches. PRA methods seek to promote strengthen and encourage people and their communities to contribute to planning for the sustainable development of their communities and participate in shaping the direction of their own well being

There are literally hundreds of different participatory techniques in use around the world and more are being developed and tried all the time. The information which is generated through these participatory techniques can enable local people (rural or urban, northern and southern) to express, share and jointly analyse their local conditions and become more active in looking for appropriate solutions and influencing the decision making arena.

The Principles of Participatory Rural Appraisal

A Reversal of Learning: to learn from local people, directly, on the site, and face-to-face, gaining insight from their local physical, technical and social knowledge. Using an interactive rather than an extractive approach.

Learning rapidly and progressively with conscious exploration, flexible use of methods, opportunism, improvisation, iteration and cross-checking

Offsetting biases: being relaxed and not rushing, listening not lecturing, probing instead of passing on to the next topic, and seeking out the poorer people and women and learning their concerns and priorities.

Optimising trade-offs: relating the costs of learning to the usefulness of information, with trade-offs between quality, relevance, accuracy and timeliness.

Triangulating and cross checking information by assessing and comparing findings from many different sources, places, times, groups, etc.

Seeking Diversity: deliberately looking for and learning from exceptions, contradictions, anomalies, dissenters etc.

They do it: facilitating investigation, analysis presentation and learning by local people themselves so that they generate and own the outcome and also learn. This is also known as "handing over the stick/ pen /chalk' etc)

Self–Critical Awareness: facilitators continually and critically examine their own behaviour and welcome errors as offering the chance to learn.

Personal Responsibility: PRA practitioners take personal responsibility for their actions and use theor own best judgement, rather than relying on manuals or rigid rules.

Sharing of Information and ideas between local people themselves and between outsiders and local people as well as between facilitators and outside practitioners

(Extracted from Robert Chambers "Participatory Rural Appraisal (PRA): Analysis of Experience". World Development. Vol. 22, No. 9. 1994)

Amongst the many discoveries of PRA has been that local people have a greater capacity to map, model, observe, quantify, estimate, compare, rank, score and diagram then outsiders have generally supposed them capable of. A further discovery has been that local people who are already familiar with a PRA approach and methods are themselves good facilitators and often better than outsiders. Participatory diagramming and visual sharing are common elements in much PRA. By using a model, diagram or locally available units (such as stones, seeds or small fruits) for ranking, scoring, counting or quantification, all who are present can see, point to, discuss, manipulate and alter physical objects or representations. Triangulation takes place as people cross-check and correct each other. Learning is progressive and the information is visible, semi-permanent and public. It is checked, verified, amended, added to and owned by the participants (Robert Chambers 1994)

Information generation and information gathering are increasingly recognised as crucial first steps in the process of building active citizen learning. By gathering information and

then engaging in a critical analysis of the root causes of the problems that exist participation can be built into the way that decisions are made, resources allocated and actions taken.

MKSS – India

In Rajasthan, a community based organisation called the Mazdoor Kisan Shakti Sangathan (the Association for the Empowerment of Workers and Peasants) has led the way in agitating for the right to information. Since 1994 the MKSS has introduced the idea of local audits. Their work involves gathering extensive information on local development projects, particularly the employment generation schemes targeted at the poor. The information is compiled and compared with that from local government documents about the amounts sanctioned and actually spent on inputs – including labour, for local public works. Then a series of public hearings are held and the information is posted in public places. Villagers, labourers, contractors and suppliers gather to discover the discrepancies between what is due to them, what has actually been received by them and what construction has actually taken place. Discrepancies are noted, and officials are asked to return missing sums. In 1997 the MKSS won the right for citizens to obtain copies of the panchayat records within four days. In 2000 a revision of the local government act has endowed village assemblies with the right to audit local spending, and to demand and investigation by District officials in cases of mis-spending. (Goetz and Gaventa, 2001).

The local planning process usually starts with people in their local communities, villages, and neighbourhoods asking themselves what problems they currently face and which of these are the most pressing. In developing a generally accepted a consensus on what the chief problem is, the development of criteria can enable all those involved in the planning process to rank in order of importance first their problems and then their solutions.

Methods such as matrix ranking and scoring can help people to investigate their own criteria between different options, and to reach decisions on priority issues. This method, developed by PRA practitioners, involves drawing up a simple matrix in which a series of like things are listed along the top of the matrix and a number of criteria down the side. Participants are asked to generate the criteria, and then to score their preferences for each of the items against these. The resulting scores can be used to evaluate a range of things.

However, a plan should not just deal with the symptoms of a problem, but the causes of the problem. In exploring what the root problem is, people need to ask themselves why the problem exists. Techniques such as Problem and Solution Trees can help to get people thinking about the root causes of their problems and to identify a range of possible solutions. Problem tree analysis provides a way to name, cluster and present problems and solutions that people identify to these. These techniques can also be used to solicit many different opinions about issues.

In the UK 'Planning for Real' is an exciting and innovative cluster of techniques which has been developed by Tony Gibson and the Neighbourhood Initiatives Foundation. These techniques offer a tool kit based on the use of 3 dimensional models of the local neighbourhood with movable flip cards which allow people to explore possibilities, sort out options, rank priorities, share out responsibilities and map out a plan of action. These tool kits have been used in urban regeneration areas, in schools and in low income housing estates across Britain.

3.   Joint Initiatives

Exciting new initiatives are being developed to create new partnerships between both the state and civil society. These joint state/ civil society initiatives offer a means by which both sets of actors can come together to collectively analyse problems and look for solutions. These new forms of partnership offer the hope that lay people and technocrats can forge closer links and better understand each other.

Social auditing and community based indicators are two participative techniques which are jointly initiated by the state and civil society. Developed mainly in the UK but being experimented with in India, social auditing is a consultative technique for measuring, understanding, reporting and (ultimately) improving the social performance of an organisation or activity. In the UK it has been used as part of the Local Agenda 21 Forum. This is a partnership that brings together council officers, Councillors, voluntary organisations, community representatives and local businesses to try and arrive at a new and more structured focus to improved delivery of sustainable development objectives.

Community based indicators measure, simplify and communicate issues that are important to local people so that the issues get taken seriously and action results. Community based indicators can make local government sit up and take notice of issues. These techniques can be instrumental in delivering tangible outcomes. In addition they can assist in building the competency and responsibility of those involved.

In other settings the focus has been on enabling existing government officials to engage with citizens in a more participatory manner and to promote accountability of elected officials to citizens.

Report Cards, Mumbai, Bangalore, Calcutta : India
This is a system of formal large-scale quantitative surveys of client satisfaction with public services. These have been conducted in low-income neighbourhoods in several major Indian cities. The objective character of the surveys is stressed by the organisations that have adopted this approach: they are large random sample surveys sometimes stratified by geographical area or household type, which generate 'report cards' on the perceived quality and appropriateness of a range of urban services. They are used to put pressure on elected officials by demonstrating the extent of public dissatisfaction, in the hope that this will result in heightened responsiveness on the part of public servants responsible for the service areas identified. The surveys are also used to educate and mobilise the media, other public interest groups, and the citizenry at large. (Goetz and Gaventa, 2001)

C.   What does one need to know in order to get started?

Participatory planning for local governance can be an initiative of civil society to raise "voice" in a way that will allow for local governments to respond to their needs and aspirations, especially of those most marginalized. Alternatively, participatory planning can also be an initiative of local governments themselves, to create spaces for citizens to raise and express their voices and influence how governments respond to citizens' needs. A third case, while certainly not the most common, is where participatory local

governance planning is a joint initiative of civil society and local governments alike, once this has been decided as the best way of taking participatory governance forward.

In any of these three modes, the first guiding principle for assessing how best to operationalise participatory local governance planning is knowing what the opportunities are for raising citizen voice and/or creating spaces for citizen participation in local governance planning processes.

If through their participation in local governance planning processes, citizens are to make their local governments more accountable, more open and transparent, and more democratic, then citizens will have to equip themselves with the basic knowledge that will allow them to do so effectively.

There are basic questions to which citizens need to find out the answers in order to engage successfully with their local planning processes. These can be summarised as:

- Who are the important actors?
- What are they meant to do?
- How much (or What resources?) do they have with which to do it?
- How, where and when do they do it?
- Who needs to know what?

1.   Who are the important actors?

The very first step is to know who is who in local government, what their post is and how involved they are in the planning process. There will be other actors outside local government who may also be important players in local planning – perhaps NGOs, representatives of donor projects or programmes, academic institutions or the media.

2.   What are they meant to do?

Learning about who and which offices are supposed to do what in local governments is merely the first step. Citizens also need to learn about the duties and responsibilities local governments are mandated to carry out. Usually, this is a complex network of functions in all branches of government. But getting familiarised with this web of duties and responsibilities puts citizens' groups in a better position to effectively influence and participate in local government planning processes. A better knowledge of these mandates will make it easier for citizens' groups to raise the right issues and concerns with the right persons in local governments, and better approaches can be mapped to exact greater openness, responsiveness accountability and transparency.

It is also useful to know what decisions need to be made, and the kinds of technical and compliance standards which local governments usually need to observe in taking these decisions. Village local governments, for example, are legally obliged to maintain certain infrastructure such as roads, thus it would be useful to know what the officially-

recognised "technical standards" for village roads are. These technical standards would usually refer to the width of the road, the type of material used in the road, and in some cases, there are even recommended costs per kilometre of village roads that village local governments would have to comply with. Beyond this example for infrastructure, there may also be other compliance standards that local governments have to meet. For instance, personnel ratios which stipulate numbers of personnel (in health, agriculture and social welfare) compared to the population being served, or a cap on the resources a local government can appropriate for the personnel services of full-time civil service staff in relation to the entire local government's budget.

Often, these technical and compliance standards are not readily available from one source, so learning about these can be a challenge in itself. However, all bureaucracies are built around regularised patterns of behaviours, these standards are part and parcel of most of them. A working knowledge of these standards will help citizens' groups take greater action in the arena of holding their local governments accountable and transparent.

The Philippine Local Government Code

Section 17 of the Philippines' Local Government Code makes it mandatory for all village governments in the Philippines to deliver the following basic services:

- Agricultural support services which include planting materials distribution system and operation of farm produce collection and buying stations;
- Health and social welfare services which include maintenance of village health centre and day-care centre;
- Services and facilities related to general hygiene and sanitation, beautification, and solid waste collection;
- Maintenance of village justice systems;
- Maintenance of village roads and bridges and water supply systems;
- Infrastructure facilities such as multi-purpose hall, multi-purpose pavement, plaza, sports centre, and other similar facilities;
- Information and reading centre; and
- Satellite or public market, where viable.

The Code thus requires all villages to formulate an Annual Development Plan that will outline the various priorities that the village government will be pursuing in

---

3.   What resources do they have with which to do it?

Part and parcel of knowing about the kinds of decisions that local governments are supposed to make, is to be clear on the levels of resources that are available to local governments to carry out decisions that are eventually made. Citizens groups will have to learn the various types of income that form part of local governments' operating budgets. And equally important, citizens groups will have to make themselves familiar with the various expense items that local governments are expected to [appropriate their

incomes on. are supposed to spend their incomes on Some of these expense items are legally set at central level. Only a proportion of local governments' total income can be allocated at their discretion and the rest has to go on certain items as set down in formulae which are generally published in laws or constitutions and often take into account factors like size of population in the area, income poverty headcount, etc.

As mandated by the Philippine Local Government Code, all villages in the country need to prepare an Annual Budget in support of their Annual Development Plans, that indicates income and expenditures as follows:
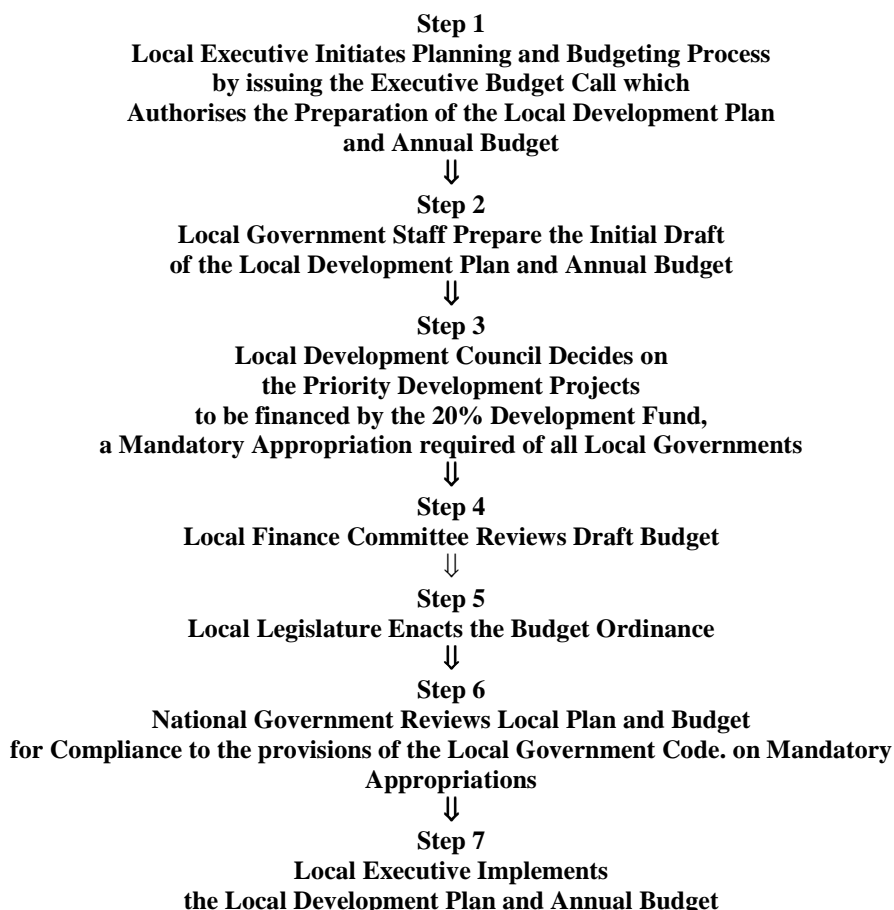
Village Local Government
Annual Budget
(in Philippine Pesos)

Income	
Internal Revenue Allotments	P
Mandatory Aid from Higher Levels of Local Governments	
Other Locally Generated Revenues	*P*
Total Income	P
	P_____
Expenditures	
Personnel Services	
Maintenance and Other Operating Expenses	
Capital Outlays	P
Other Mandatory Appropriations	P
20% Development Fund	P
10% Youth Development Fund	P
5% Calamity Fund	P
Total.Expenditures	P
	P
	P_____

---

4. How, where and when do they do it?

Another critical aspect that citizens groups will have to learn about are the actual processes that local governments follow in making decisions. Decision making processes in local governments are often acomplex circuit of processes and sub-processes but there is usually a major process into which all other sub-processes feed into. It is useful for citizens' groups to know the decision making processes of local governments in order that citizen participation can be calibrated in the right amounts and in the right fora at the right times.

Philippine Local Planning and Budgeting Process
As provided by the Local Government Code

Step 1
Local Executive Initiates Planning and Budgeting Process
by issuing the Executive Budget Call which
Authorises the Preparation of the Local Development Plan
and Annual Budget
⇓
Step 2
Local Government Staff Prepare the Initial Draft
of the Local Development Plan and Annual Budget
⇓
Step 3
Local Development Council Decides on
the Priority Development Projects
to be financed by the 20% Development Fund,
a Mandatory Appropriation required of all Local Governments
⇓
Step 4
Local Finance Committee Reviews Draft Budget
⇓
Step 5
Local Legislature Enacts the Budget Ordinance
⇓
Step 6
National Government Reviews Local Plan and Budget
for Compliance to the provisions of the Local Government Code. on Mandatory
Appropriations
⇓
Step 7
Local Executive Implements
the Local Development Plan and Annual Budget

In the process outlined above, the Local Government Code provides for direct citizen participation in Steps 3 and 4.

In Step 3, citizen participation is insured through the Local Development Council (LDC). The LDC is a local special body constituted at the local level with no less than 25% of its membership composed of self-selected representatives from non-government organisations operating in the locality and is organised to assist the local legislature set the direction of economic and social development.

In Step 4, the meetings of the Local Finance Committee to deliberate on the proposed Annual Budget is an open meeting and members of the public are allowed to sit in on these deliberations.

5. Who needs to know what?

All stakeholders in participatory local governance processes need to have the basic knowledge set discussed in the previous section. Not perhaps all at once, but as much of it as possible, wherever possible.

Local governments will have to have this basic knowledge set. And while this may seem to be a fairly obvious assumption, it is an assumption that may not always be justified. In fact, many local governments need to educate themselves on the basics of local planning and planning processes. This is especially true where information flows within the government bureaucracies are not very effective, or where there are major weaknesses or ambiguities in existing policy environments. Where this is the case, citizens may be surprised at the relative receptivity of local governments to initiatives from citizens to participate in these planning processes.

Civil society groups are doubly challenged to have the basic knowledge set on local planning and planning processes Partly this isis an issue about the obstacles that they face in accessing the information they need. It is also partly aboutthe In addition, because local govt counterparts are often ignorant about processes, Civil Society Organisations that want to interact with them have the task of first educating them about how these processes should work. Civil society performs a linking pin function between /citizens and local governments. On the one hand, they have a role to play in helping educate citizens about their roles in governance in general, and participation in local governance planning in particular. And on the other hand, together with the communities and citizens, they perform an advocacy function vis-à-vis the local governments, to exact responsive, transparent and accountable governance.

Local Governments		Civil Society Groups	Communities /Citizens
	⇐ Advocacy	⇒ Citizen Education	
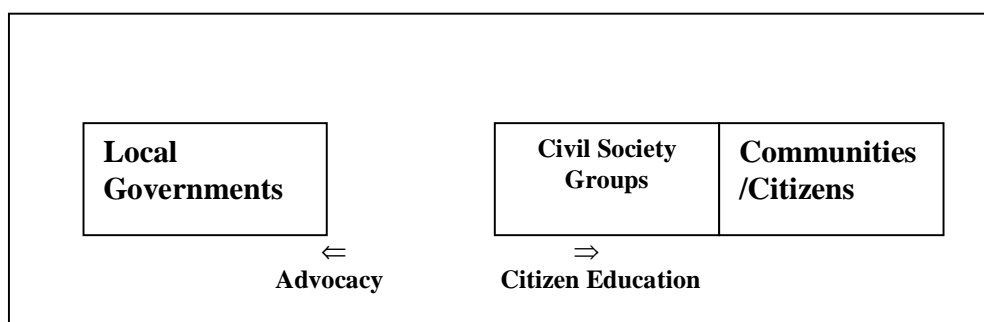
While the policy and enabling frameworks will differ from country to country, the key consideration is for both local governments as well as citizens groups to know the operating frameworks within which they operate. This is the fundamental first step towards identifying the opportunities that can be opened up as spaces for citizens to raise

their voices, or for local governments to create spaces for citizens to participate in local planning processes.

D.   How does one identify the Opportunities for Participatory Local Planning?

The key to identifying opportunities for participatory local governance planning is knowing how to use local planning processes to claim or create the spaces for citizen participation. And while it may be true that most local government planning processes are bound by certain provisions of laws, administrative issuances, formal decrees and the like, claiming or creating the spaces for citizen participation need not necessarily mean that laws that inform local planning processes need to be violated. Neither should it presuppose that laws have to be repealed or amended before a local planning processes can be made more participatory.

> "There are two ways of interpreting the law. One way is to consider what is not explicitly allowed as prohibited by the law. This is a more limiting way of interpreting the law. I have always chosen a more creative interpretation of the law:
> *"What is not prohibited by the law is, in fact, allowed."*
>
> Roberto Pagdanganan, Former Governor, Province of Bulacan, Philippines

Citizen participation then does not necessarily involve breaking, challenging or changing laws; and does not constitute an attempt by civil society to take over local government functions.   On the other hand, while there are cases where it has involved local government co-opting or taking over civil society initiatives, it does not necessarily lead to this. Participatory local planning processes should be able to bring together citizens and local governments in a relationship of citizen voice and government responsiveness, in ways which respect the spaces, identities and ways of working of each party.

A few examples of how this has been done in the Philippines might help to illustrate this. The local planning process mandated by the Local Government Code has been described as a seven-step process. Two of these steps legally mandate the participation of citizens – through the Local Development Council as a mechanism for including citizens in deciding on the priority development projects, as well as through meetings that have been mandated as being open to the public. These provisions might be specific to the Philippines. But the ways in which citizens' groups have used them to their advantage do provide insights and lessons that are more widely applicable to citizens' groups attempting to democratise the planning process everywhere."

The BATMAN Consortium consists of some 39 non-government organisations that have come together to pursue citizen participation in local governance. Individually, each of these organisations has been involved in various participatory development programs at

the village level. Responding to the requests from progressive elected village officials, these NGOs started to intervene in local governance processes, notably in local planning and budgeting. What they have done and continue to do in villages throughout the Philippines is to intervene at different points within the seven-step local government planning process in order to claim spaces for ordinary citizens to participate in the decision-making process.
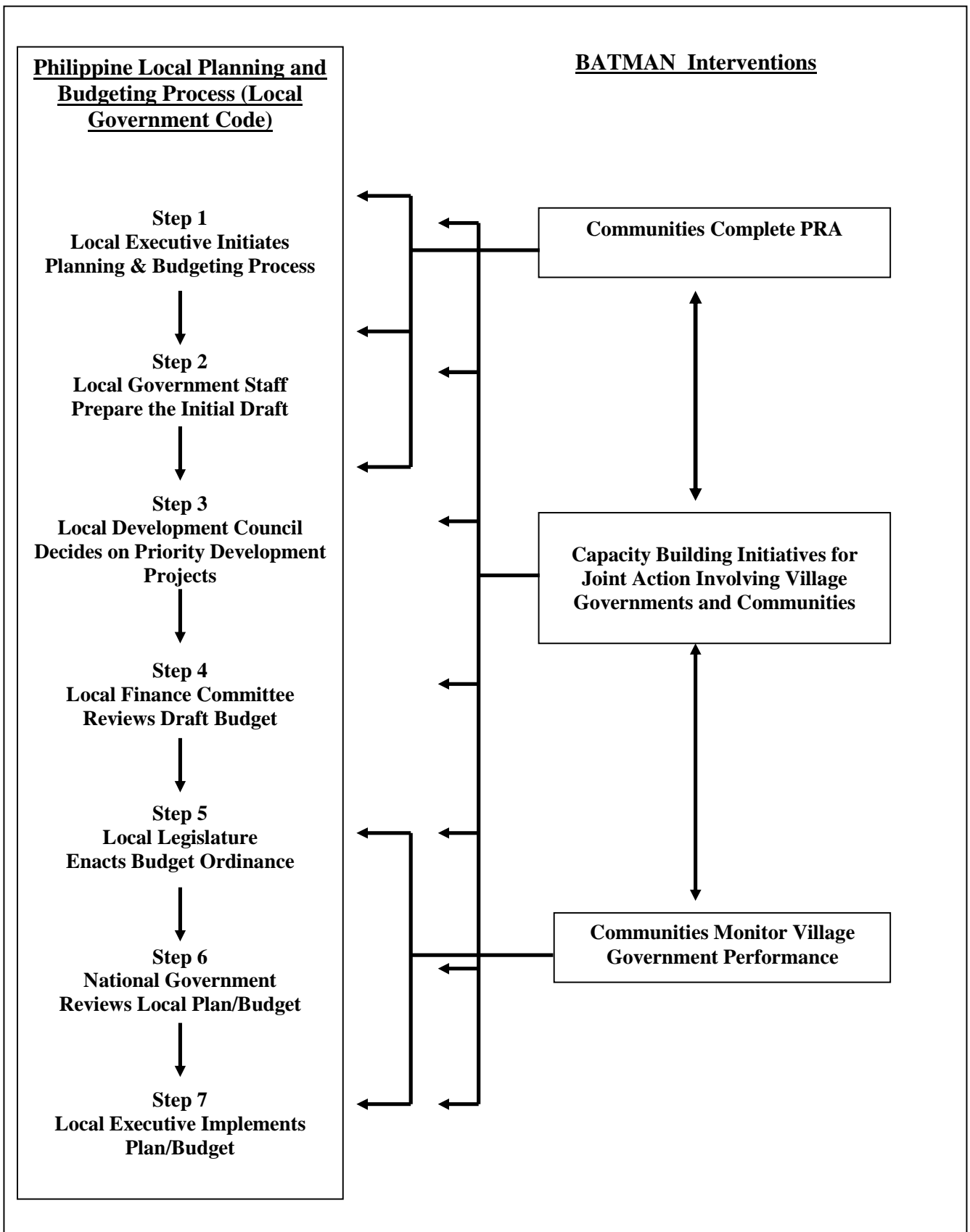
The BATMAN Consortium intervention is a three-part intervention that includes:

- Raising citizen voice at the critical decision-making points in the seven-step process.
- Building capacity of village governments to take and pursue joint action with their citizens.
- Strengthening the capacities of citizens to monitor the performance of their village governments.

All these interventions are woven into the seven-step process of local government planning already described above. The interventions sought simply to bring about greater citizen participation in local governance planning processes.

The BATMAN case exemplifies how citizen participation can help make local govt more effective, as well as how it can help people to claim their right to participate . The figure below better illustrates how exactly these interventions have intervaced with the seven-step local government planning processes to weave in citizen participation for local governance.

The figure below illustrates how these interventions have interfaced with the seven-step local government planning processes to weave in citizen participation for local governance at every opportunity.

Philippine Local Planning and Budgeting Process (Local Government Code)

BATMAN Interventions

Step 1
Local Executive Initiates Planning & Budgeting Process

Communities Complete PRA

Step 2
Local Government Staff Prepare the Initial Draft

Step 3
Local Development Council Decides on Priority Development Projects

Capacity Building Initiatives for Joint Action Involving Village Governments and Communities

Step 4
Local Finance Committee Reviews Draft Budget

Step 5
Local Legislature Enacts Budget Ordinance

Step 6
National Government Reviews Local Plan/Budget

Communities Monitor Village Government Performance

Step 7
Local Executive Implements Plan/Budget

SECTION FOUR
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B.   Other Resources, In Alphabetical Order

Bandyopadhyay, B
People's Participation in Planning: Kerala Experiment
Sept 1997,
Economic and Political Weekly, Vol. 32, No 39: 2450-2454.
Economic and Political Weekly, Hitkari House, 284 Shahid Bhagatsingh Road, Mumbai, 400 001, India.   Tel: 269 6072/73.   Fax: (022) 269 6072.   E-mail: epwl@shakti.ncst.ernet.in

The real import of Article 243-G of the 73rd Constitutional Amendment, which defines the powers, authority and responsibilities of the panchayats, has not been appreciated in most states in India. Little effort has been made to involve the mass of the people in the planning process or in the setting of plan priorities. The Kerala model of a people's campaign for decentralised planning aims to resolve this issue. This article looks at what

has been achieved, how the movement can be sustained, and what type of institutional framework should be in place to carry on a planning process involving popular participation.

Blackburn, J and De Toma, C

Scaling-down as the Key to Scaling-Up? The Role of Participatory Muncipal Planning in Bolivia's Law of Popular Participation in *Who Changes? Institutionalising Participation in Development*
1998
Available from: Intermediate Technology Development Group (ITDG) Publishing, 103-105 Southampton Row, London WC1B 4HL, UK. Tel +44(0)20 7436 9761. Fax +44(0)20 7436 2013. Email: itpubs@itpubs.org.uk. Website address: www.itpubs.org.uk
Order books online at www.developmentbookshop.co.uk.

This paper analyses the recent spread of participatory methodologies in Bolivia in the context of the profound politico-structural changes set in motion by the Law of Popular Participation. Enacted in May 1994, this law requires that participatory planning be facilitated by local institutions throughout the country. The authors consider the potentials and limitations of PRA and related methodologies as a tool for political empowerment in the context of the law. Particular emphasis is placed on the role of participatory methodologies in i) strengthening the political potential of new local institutions and wider popular movements; ii) forcing the state to reformulate its more conventional development planning procedures; iii) allowing NGOs with expertise in participatory methodologies to exercise greater influence over government at all levels. The authors conclude that despite evident administrative bottlenecks and cooptation, the Law of Popular Participation is seen to provide a context for users of participatory methodologies to move from micro- to macro-influencing strategies.

Burgess, P, Hall, S, Mawson, J and Pearce, G
Devolved Approaches to Local Governance: Policy and practice in Neighbourhood Management
January 2001
YPS in association with the Joseph Rowntree Foundation, Layerthorpe, York.
Order full report from: http://www.jrf.org.uk/bookshop/details.asp?pubID=338 or contact York Publishing Services Ltd., 64 Hallfield Road, Layerthorpe, York, YO3 7ZQ, UK. Tel: 01904 431213. Fax: 01904 430868. Email: enquiries@yps.ymn.co.uk. Price: £6.

Recent policy initiatives focusing on local government modernisation and neighbourhood management seek to reinvigorate local democracy and ensure that government is more responsive to local needs. Such policies could mark profound changes in the way our communities are governed, but what are the practical implications? Drawing upon research findings of current practice and the authors' direct experience, this report presents an overview of the issues faced by public, private and voluntary organisations,

community groups and residents engaged in neighbourhood renewal and management. The analysis suggests that more attention needs to be given to issues of organisational and cultural change, capacity building and the hidden costs of implementing these new agendas.

Burns, Danny and Taylor, Marilyn
Auditing Community Participation: An Assessment Handbook
July 2000
The Policy Press in association with the Joseph Rowntree Foundation
Price: £13.95
Available from: York Publishing Services Ltd., 64 Hallfield Road, Layerthorpe, York, YO3 7ZQ, UK. Tel: 01904 431213. Fax: 01904 430868. Email: enquiries@yps.ymn.co.uk.
Or order online from: http://www.jrf.org.uk/bookshop/details.asp?pubID=292

Government rhetoric increasingly emphasises the importance of community participation in area regeneration programmes; however, it is far less clear how much those involved are able to effectively influence practice and future policy making. This report looks at ways of assessing levels of community involvement through an audit of participation, so that communities themselves can positively facilitate learning and dialogue for partners and partnerships. The handbook provides tools and appraisal exercises for measuring: the history and pattern of participation; the quality of participation strategies adopted by partners and partnerships; the capacity within partner organisations to support community participation; the capacity within communities to participate effectively; and the impact of participation and its outcomes. The handbook will be of interest to those involved in community-led regeneration groups, policy makers, local authorities and regional and national government, as well as anyone with an interest in community-led regeneration practice. A companion volume evaluating current levels of community involvement and sustainable development, *Reflecting Realities: Participants' Perspectives on Integrated Communities* is also available.

Churches National Housing Coalition and The Housing Corporation (CNHC)
Community-Led Estate Regeneration Handbook.
October 2000 (revised, extended and reprinted July 2001).
Available from: Keith Proctor, CNHC, 1 Seymour Terrace, Bridgetown, Totnes, Devon, TQ9 5AQ. Tel: 01803 863 363.

This inspiring handbook is an essential practical guide for residents, professionals and all those involved in Estate Regeneration. It features 5 success stories of Estate Regeneration in Plymouth, London, Liverpool, Walsall and Bradford, written by resident leaders with first hand experience of transforming their Estate. It also contains simple to follow guidance by experienced professionals and voluntary experts on key issues (eg. rural regeneration, crime and drugs prevention, jobs and training, funding, management, New Deal for Communities, partnerships), as well as useful basic information and a

contact short list. It is widely recognised that the residents are not the problem but the key to the solution. This book illustrates that theory, and helps turn it into good and successful practice.

Clark, Peter and Pozzoni with Gaventa, John and Nierras, Rose
Learning Initiative on Citizen Participation and Local Governance.   Annotated Bibliography.
2001
Prepared for the Ford Foundation, LOGO Programme Officers' Retreat, Buxted Park, Sussex, England, June 13-15 2001.
Download from:
Available from: Participation Resource Centre, IDS, University of Sussex, Brighton, BN1 9RE.   Tel: +44 (0) 1273 877263.   Fax: +44(0) 1273 877335.   E-mail: participation@ids.ac.uk.

Clarke, Michael and Stewart, John
Community Governance, Community Leadership and the New Local Government
1998
YPS in association with the Joseph Rowntree Foundation, Layerthorpe, York.
Download long summary from:
http://www.jrf.org.uk/knowledge/findings/government/lgr119.asp
Order full report from: http://www.jrf.org.uk/bookshop/order.asp or contact York Publishing Services Ltd., 64 Hallfield Road, Layerthorpe, York, YO3 7ZQ, UK. Tel: 01904 431213. Fax: 01904 430868. Email: enquiries@yps.ymn.co.uk. Price: £10.95.

The report defines community governance and analyses the reasons for change in the role of local authorities. It argues that existing structures and ways of working are inadequate for the new circumstances, since they are designed mainly for the delivery of services. It elaborates six principles which underlie community governance. First, the local authority should be concerned with the overall welfare of the area rather than merely with service provision. Second, the local authority's role in community governance is only justified if it is close to and empowers the communities within and the citizens who constitute them. Third, the local authority must recognise the contribution of other organisations and enable, rather than control, that contribution. Fourth, the local authority should ensure that the whole range of the resources in the community is used to the full for the good of its area.   Fifth, to ensure the best use of those resources the local authority needs to review how needs are best met and act in different ways to meet them. Finally, in showing leadership the local authority must seek to reconcile, balance and judge the diversity of views and interests. The common theme underlying these principles is the need for power to be exercised as close as possible to citizens and local communities. The final part of the report examines the changes required from central government, the Local Government Association and local authorities.

Collins, Kendra
Participatory Evaluation in Programmes Involving Governance Decentralisation: A Methodological Note
June 1996
UNDP Management & Governance Network (MAGNET), Management Development and Governance Division, United Nations Development Programme
Download from: http://magnet.undp.org/Docs/dec/EVALUATE.HTM
E-mail: aboutundp@undp.org

In the last twenty years or so the changing aims and settings of development assistance have rendered obsolete conventional approaches to the planning and management of development activities. This is particularly true of programmes and projects involving some form of governance decentralisation to local communities where, by definition, frequently the aim is to surrender to the periphery elements of authority and responsibility formerly held by the centre, including those attached to programmes of assistance themselves. This paper presents arguments to support these propositions, and outlines an alternative approach which it is suggested is better suited to managing programmes involving governance decentralisation. In particular, it examines alternative approaches to the evaluation of the performance of such programmes, drawing on the current work being done in the development of participatory evaluation tools and techniques. The paper does not profess to outline a pre- determined methodology for evaluating decentralised projects or programmes but rather suggests a framework which can and should be further defined, strengthened and debated. The views expressed in the paper are those of the author and do not necessarily represent the views of the United Nations Development Programme.

Commonwealth Foundation in partnership with the World Alliance for Citizenship (CIVICUS)
Citizens and Governance: Civil Society in the New Millennium
September 1999
Available from The Commonwealth Foundation, Marlborough House, Pall Mall, London, SW1Y 5HY, UK. Tel: +44 171 930 3783. Fax: +44 171 839 8157. Email: geninfo@commonwealth.int. Website address: www.commonwealthfoundation.com.

Planned and managed by the Commonwealth Foundation and coordinated by a taskforce, the *Civil Society in the New Millennium Project* collected answers to questions about civil society from thousands of citizens in 47 Commonwealth countries. Questions concerned ideal conceptions of a 'good' society, the appropriate roles of citizens, the state and other sectors of society, and factors which would enable citizens to contribute effectively to societal development. The aim of the project was to identify ways to strengthen, promote, encourage and catalyse the wide variety of initiatives taken by citizens to address issues and problems in their everyday lives. The report provides insights into the nature of civil society, the relationship between civil society and the state and, especially, the relationship between individual citizens and the state.

Development Assistance Committee (DAC). Organisation for Economic Cooperation and Development (OECD).

Final Report of the Ad Hoc Working Group on Participatory Development and Good Governance. Parts I and II.
1997
Download from: http://www1.oecd.org/dac/htm/pubs/p-pdgg.htm
A 1997 publication of the DAC Expert Group on Evaluation, **Evaluation of Programs Promoting Participatory Development and Good Governance: Synthesis Report** is also available at this URL.

FinAid

Development Co-operation of NGOs Manual - Toolbox: Working Sheets for Planning Analyses
August 1999
http://global.finland.fi/english/projects/ngo/sheets.htm
Department for International Development Co-operation, Ministry for Foreign Affairs of Finland,   Information Unit, P.O.Box 176, FIN-00161 Helsinki, Finland. Tel: +358 9 1341 6370/1341 6349. Fax: +358 9 1341 6375. E-mail: kyoinfo@formin.fi

These Project Planning Guidelines form the second part of the Development Co-operation Manual for Non-governmental Organisations (NGOs). This part of the manual is a toolkit for project planners. It aims to provide clear and systematic tools for various project analyses and participatory planning processes in order to enable the creative use of the most important planning tool – common sense. The procedures are not intended to be followed mechanically; depending on the project other relevant approaches may also be applied as long as they lead to well-justified and sustainable projects. Even when the procedures presented in this guideline are used, they have to be tailored to the needs of the project in question. Depending on the project, only some of the proposed steps may be relevant. A working group of Finnish NGOs has guided and commented on the preparation process of this manual.

Gaventa, J
Towards Participatory Local Governance: Six Propositions for Discussion
2001
Institute of Development Studies, University of Sussex.
Download   full   text   document   from:
http://www.ids.ac.uk/ids/particip/research/localgov.html
Or available from Participation Resource Centre, IDS, University of Sussex, Brighton, BN1 9RE. Tel: +44 (0) 1273 877263. Fax: +44(0) 1273 877335. E-mail: participation@ids.ac.uk.

Increased interest and attention to decentralisation and democracy have brought to the fore issues of strengthening citizen participation in local governance. The paper raises six propositions that point to the importance of work in this field, whilst at the same time highlighting critical challenges for such work. Widespread engagement with issues of participation and local governance creates enormous opportunities for re-defining and deepening meanings of democracy, for linking civil society and government reforms in new ways, and for extending the rights of inclusive citizenship. However, it is argued that such a project must rise to the challenge of ensuring that pro-poor and social justice outcomes are promoted, new models and approaches are developed in unfavourable enabling conditions, an overly narrow focus on the local is avoided, and the agenda is not co-opted for less progressive goals. This paper is based on a presentation made for the Ford Foundation LOGO Programme Officers' Retreat, Buxted Park, England, 13-15 June 2001.

Gibson, Tony
The Power in Our Hands: Neighbourhood Based-World Shaking. Foreword by Lord Scarman.
1996
Jon Carpenter Publishing
Available from: Jon Carpenter Publishing, The Spendlove Centre, Charlbury, Oxfordshire OX7 3PQ, UK. Tel: + 44 (0) 1608 811969.
Or order online from the Neighbourhood Initiatives Foundation:
http://www.nifonline.org.uk/

Drawing on his first-hand experience working alongside East Enders in the blitz, with Sicilian refugees, with both sides in the Chinese civil war, and with groups taking shape in different parts of Africa, Europe and the Caribbean, Gibson tells a story of *ordinary* people doing *extraordinary* things. This book is about people and power, providing invaluable information about how the grassroots can effect real change. Containing many small sections, the book is designed to be read in spare moments. Tony Gibson has initiated a number of award-winning community self-help schemes in the UK and set up the Neighbourhood Initiatives Foundation, as well as writing and producing for the BBC and writing numerous books. *The Power in Our Hands* will be enjoyed by anyone wishing to initiate a community enterprise, as well as by government officials.

Gibson T
Making It Happen: A User's Guide to The Neighbourhood Action Packs
No Year
Neighbourhood Initiatives Foundation, and Joseph Rowntree Foundation.
Available from: Neighbourhood Initiatives Foundation, The Poplars, Lightmoor, Telford TF3 3QN. Tel: 0870 7700339/01952 590777. Fax: 01952 591771. Website address:
http://www.nifonline.org.uk/

Neighbourhood Action Packs have been developed with the help of 'professionals' and other 'local experts', to facilitate decision-making about the neighbourhood. They can be used to work out step-by-step what has to be done and who is best placed to do it, drawing on the knowledge of 'experts' of both kinds. This guide, written by Tony Gibson who has pioneered 'Planning for Real', a unique process of community consultation, explains the methodology underlying the approach, and provides guidance on how to use three dimensional models and other back-up materials to involve communities in decision-making. Topics covered include relations between locals and council or government representatives, education for neighbourhood change in schools, finding out about local needs and resources, doing local research, and planning action. The NIF has produced about 40 packs and publications guided by the philosophy that the people who live and work in neighbourhoods are the real experts. The Neighbourhood Action Packs are aimed at 'northern' country settings, but most of the issues involved are common to other settings as well.

Goetz, Anne Marie and Gaventa, John (with Andrea Cornwall, Richard Crook, Linda Ehrichs, Kate Hamilton, Joanna Howard, Robert Jenkins, Peter John, Julie Lewis, Benjamin Powis, Neil McGarvey, Mel Speight, Elizabeth Stewart and Gerry Stoker)
Bringing Citizen Voice and Client Focus into Service Delivery
July 2001
Institute of Development Studies. Working Paper No. 138.
Full text document available at: www.ids.ac.uk/ids/particip/bookshop/wp/wp138.pdf
Or available from Participation Resource Centre, IDS, University of Sussex, Brighton, BN1 9RE. Tel: +44 (0) 1273 877263. Fax: +44(0) 1273 877335. E-mail: participation@ids.ac.uk.

This study, commissioned by the UK's Department for International Development (DFID), explores efforts to improve the responsiveness of public service providers to the needs of service users, particularly the poorest users. It examines over sixty case studies, drawn from developing and developed countries around the world, of public-sector reforms to foster stronger client focus in service delivery, and civil-society initiatives to demand improved services. The authors are concerned particularly with identifying means of amplifying citizen 'voice' so that engagement with the state moves beyond consultative processes to more direct forms of influence over policy and spending decisions. The study concludes with policy relevant findings on ways of enhancing citizen voice in decision-making, planning, and monitoring of public services.

Gonzalez, Eleanor
Decentralization and Political Participation in the Philippines: Experiences and Issues in Societal Transformation
February 2000 Work in Progress
Institute for Popular Democracy, Philippines.
Download from: http://www.ipd.ph/pub/wip/decentralization-e_gonzales.shtml

Institute for Popular Democracy, 45 Matimtiman Street, Teachers Village, Quezon City, Metro Manila, Philippines. Tel: (63-2) 434-6674. Fax (63-2) 921-8049. E-mail info@ipd.ph. Website address: www.ipd.ph

Decentralization and the development of civil society are two key ways of empowering people and communities and changing centralised forms of governance. This paper describes the rise of NGOs in the Philippines and decentralisation initiatives of the Aquino administration. Collaboration between NGOs and local government units are critically examined and their impact on governance and community empowerment. Finally, the authors propose a number of policy recommendations.

Henderson, Paul and Mayo, Marjorie
Urban Regeneration: A Training and Education Framework for Participation
October 1998
Publisher: The Policy Press
Price: £10.95
Order online from: http://www.jrf.org.uk/bookshop/details.asp?pubID=171. Or contact York Publishing Services Ltd., 64 Hallfield Road, Layerthorpe, York, YO3 7ZQ, UK. Fax +44 (0)1904 430868.

If regeneration programmes are to be effective and sustainable, then policy-makers and professionals, as well as community members, need training to work effectively in partnerships.   Drawing on interviews with members of community groups and professionals working in regeneration areas, this report provides an overview of current training provision. It looks at the need for training, the gaps in provision, the constraints facing both providers and possible participants, and the role existing networks might play in the exchange of information and skills.

Institute of Development Studies
Bringing Citizen Voice and Client Focus into Service Delivery. Case Studies
2001.
Full text document available at www.ids.ac.uk/ids/particip/research/socpol.html
Or available from Participation Resource Centre, IDS, University of Sussex, Brighton, BN1 9RE. Tel: +44 (0) 1273 877263. Fax: +44(0) 1273 877335. E-mail: participation@ids.ac.uk.

Across different types of public service, the potential for citizen voice, and varying degrees of public sector responsiveness, can be surmised from features of service design and delivery. Such features include the complexity of the technology involved in the service, the remoteness, geographical, social and educational, of providers, the extent to which the service is a shared good or an individually consumable product, and the social and environmental consequences of dramatic service break-down.   These issues are explored in these full text case studies of 14 different types of 'voice' or 'responsiveness' mechanisms.

Institute of Politics and Governance (IPG), Quezon City, Philippines and Friederich Ebert Stiftung (FES)
Balangay: An Introductory Course on Barangay Governance
2000
Available from: Available from Institute for Politics and Governance (IPG), 44 Maginhawa Street, Quezon City, Metro-Manila, Philippines. Tel: ++63-2-4361942. Fax: ++63-2-4362041. E-mail: ipg@pacific.net.ph. Website address: www.pacific.net.ph/~ipg.
Also available from FES, Friedrich-Ebert-Stiftung, Ortigas P.O. Box 12271, 1605 Pasig City, Metro-Manila, Philippines. Tel: ++63-2-6346919, 6377186. Fax: ++63-2-6320697. E-mail: fesphils@info.com.ph. Website address http://www.fes.org.ph

This manual reflects the principles of local governance espoused by a group of education and development oriented NGOs in partnership with the Friedrich Ebert Stiftung. The manual had its origins in a pilot training programme for local governance in which the NGO group placed grassroots participation at the centre of local governance. In this manual, the basic orientation course of the barangay (local administrative unit) training programme is outlined. Links are made between grassroots participation in local governance and participatory democracy in national policy.

International Budget Project of the Center on Budget and Policy Priorities in Washington has a number of papers on participatory budgeting. See particularly:
Wampler, Brian
A Guide to Participatory Budgeting
October 2000
http://dev.forumone.com/ibp/resources/library/topics.f1ml?id=2&name=Budget%20Guides%20and%20Training%20Materials
View the site map at the following URL for a listing of resources: http://www.internationalbudget.org/sitemap.htm
Website addresses: http://www.internationalbudget.org and www.cbpp.org
Hard copies available from Rocío Campos, Programme Associate, International Budget Project of the Center on Budget and Policy Priorities, 820 First St, NE, Suite 510, Washington, DC, 20002. Tel: 202 408 1080 Ext.365. Fax: 202 408 1056. E-mail: campos@cbpp.org. General e-mail: info@internationalbudget.org

This paper examines Brazilian participatory budgeting programs designed to incorporate citizens into the policymaking process, spur administrative reform, and distribute public resources to low-income neighborhoods. The guide explores the mechanisms of participatory budgeting, the results of this approach, and its potential applicability elsewhere.

International Development Research Centre (IDRC), Ottowa, Canada
Local Governance and Sustainability: Tools for Assessment and Decision-Making.
July 1997
Prepared for a workshop of the Training and Research Partners for Habitat Caucus Habitat II NGO Forum, Istanbul June 1996.
Download from: http://www.idrc.ca/socdev/pub/documents/tools.html
Assessment of Social Policy Reforms Program Initiative, IDRC, Box 8500, Ottowa, Canada, KIG 3H9. Tel: (613) 236 6163. Fax: (613) 56 7748.

Paper setting out various initiatives by IDRC and other organisations in the area of participatory sustainable development planning, with contact details for further information.

International Fund for Agricultural Development (IFAD), Asian NGO Coalition for Agrarian Reform and Rural Development (ANGOC) and International Institute of Rural Reconstruction (IIRR).
Enhancing Ownership and Sustainability: A Resource Book on Participation.
April 2001.
Available from: International Institute of Rural Reconstruction, Y.C. James Yen Center, Biga, Silang, Cavite, 4118 Philippines. Tel.: +63 46 414 2417. Fax No. +63 46 414 2420.   Email: Bookstore@iirr.org.   Website address: www.iirr.org (still under construction). Price: US$15.00 (excluding p & p).

New participatory tools for learning and action are constantly being developed and tested in the field. These experiences yield valuable lessons for improving project delivery and effectiveness, and for increasing sensitivity to local indigenous participatory processes and gender concerns. This 335 page resource book on participatory processes and their management, describes a broad range of first-hand, field-tested experiences with participatory approaches in the context of projects funded by IFAD, NGOs and governments in the Asia and Pacific area. It also contains details of some of the newer approaches that are being tried in the region. It is assumed that the reader is already familiar with the use of tools like PRA/PLA/PME and is now interested in second generation issues related to project design, training and measurement of impact associated with the use of participatory processes. The book was originally designed for use in IFAD-supported initiatives, but the range and nature of topics would make it useful to local governments units, NGOs and networks of community-based institutions and anyone dedicated to helping the rural poor overcome their lack of freedom of choice of action. The book is copyright free, although authors and source should be acknowledged when using material.

International Institute for Environment and Development (IIED), UK. Human Settlements and Sustainable Agriculture Programmes.

International Workshop on the Use of Participatory Approaches and Methods in Urban Areas

January 1995

Available from: IIED, 3 Endsleigh Street, London, WC1H 0DD, UK. Tel: +44 (0) 20 7388-2117.   Fax: +44 (0)20 7388-2826. Email: mailbox@iied.org. Website address: http://www.iied.org

The primary objective of the workshop was for the small group of experienced participants, from both the urban and rural traditions, to explore the problems and prospects associated with developing and applying participatory approaches in urban areas, and to clarify key issues and opportunities for future action. This paper summarises the results. Sections include: Characteristics of Urban Participatory Approaches (internal and external constraints/strengths, the role of facilitators, methods used, actors involved, challenges and lessons, etc.); Emerging Issues and Questions; SWOT (Strengths, Weaknesses, Opportunities and Threats) Analysis on the Use of Participatory Approaches in Urban Areas; and Methodologies and Strategies; Capacity Strengthening and Training; and How to Institutionalise a Participatory Approach.

Jalal, Jennifer

Strengthening Participation in Local Governance: The Use of Participatory Methods

1999

SEARCH, Bangalore in collaboration with IDS.

Proceedings of a workshop, Koppa, 16 - 19 March, 1999.

Available from: Participation Resource Centre, IDS, University of Sussex, Brighton, BN1 9RE. Tel: +44 (0) 1273 877263. Fax: +44(0) 1273 877335. E-mail: participation@ids.ac.uk.

This workshop report describes the sharing and analysis of experiences by key NGOs and training centres who are beginning to use participatory methods in relation to governance in India, the Philippines, Nepal, Bangladesh and the UK. This includes participatory processes to strengthen self-governance institutions, micro planning and priority setting, monitoring local budgets, citizen monitoring and evaluation of local governance, training newly-elected representatives and leadership training for community members.

KAISAHAN, Philippines

Angkinin ang Kuanlaran: Participatory Approach in Local Development Planning in the Philippines

Video: 25 minutes (English subtitles)
2000
Available from Tomasito Villarin, KAISAHAN Tungo sa Kaunlaran ng Kanayunan at Repormang Pansakahan (KAISAHAN), 43 Masikap St., Brgy. Pinyahan, Diliman, Quezon City, The Philippines.   Tel: 928-2085, 433-0760.   Fax: 928-6158.   E: kaisahan@philonline.com or kaisahan@codewan.com.ph

Farmer communities of Sta. Josefa, a fifth class municipality in Agusan del Sur, take centre stage in this 25-minute video. It highlights the value of people's participation in the local development planning process in the Philippines, a result of the 1991 Local Government Code, which provided a mandate for democratisation at the village level. The video explores the different participatory tools used to identify, prioritise and analyse problems, and which facilitate the communities in making their own development plans. Also featured is the willingness of local government units to lead communities in making claims through the participatory planning process, as seen in the experience of Toboso, Negros Occidental. This video features the partnership and interplay of the roles of vital community actors, such as non-governmental organisations, people's organisations and local government units, in assisting the communities to achieve socio-economic advancements. Importantly, it highlights the commitment to building empowered and sustainable communities.

Kerala State Planning Board
The People's Campaign for Planning in Kerala
Download from: http://203.129.253.2/kspb/people.htm.

An introduction to the campaign plus links to sections on: Experience of Centralised Planning; Obstcales to Genuine Decentralisation; The Developmental Challenges of Kerala; The Objectives of People's Campaign; The Campaign through Phases.

Kikula, IS, Dalal-Clayton, B, Comoro, C and Kiwasila, H
A Survey of Some Current Approaches to Participatory Planning at District Level. Volume One.
July 1999
Report prepared by the Institute of Resource Assessment (IRA) of the University of Dar-Es-Salaam and the International Institute of Environment and Development (IIED), UK for the Ministry of Local Government and Regional Administration and the United Nations Development Programme.
Contact: IIED, 3 Endsleigh Street, London, WC1H 0DD, UK. Tel: +44 (0) 20 7388-2117.   Fax: +44 (0)20 7388-2826. Email: mailbox@iied.org.   Website address: http://www.iied.org

The objective of the study, which this report summarises, was to identify best practices in, and enhance capacity for, participatory planning, management and sustainable development at local government levels (districts, wards and villages) in Tanzania. Generalised shortcomings of the district planning process were to be highlighted along the way. A case study approach was taken, based on the experiences of the donor agencies at district level, complemented by a document review and discussions with stakeholders. The report is constructed as follows: general approaches to planning (top-down and participatory); approaches to participation in rural planning adopted in other African countries; the experiences of district planning in Tanzania; district planning in the context of local government reform; scenarios of participatory planning processes in rural development programmes in Tanzania; best practices in participatory planning; and conclusions and ways forward.

Lefevre, P, Kolsteren, P, De Wael, M, Byekwaso, F, Beghin, I
Comprehensive Participatory Planning and Evaluation
2001
International Fund for Agricultural Development (IFAD)
http://www.ifad.org/pub/bsf/cppe/cppe.pdf
International Fund for Agricultural Development, Via del Serafico, 107 - 00142 Rome, Italy
Tel: 39-0654591. Fax: +39-065043463. E-mail: ifad@ifad.org.

The earlier evaluation is built into the project cycle the better. Over the last few years, agencies have sought increased stakeholder participation in the planning of development projects and programmes. Written at the request of the Belgian Survival Fund for the Third World Joint Programme to assist individuals and organizations in planning and evaluating interventions in a flexible, comprehensive and participatory manner, this brochure: describes a participatory approach aimed at guiding collective thinking and ensuring that relevant interventions are developed on the basis of the perceived needs and problems of beneficiaries and on local capacities and lessons from experience; provides a set of guidelines and tools for flexible, process-oriented, comprehensive and participatory project planning and evaluation

Lingayah, Sanjiv, MacGillivray, Alex and Helqvist, Marcus
Working From Below: Techniques to Strengthen Local Governance in India
1999
New Economics Foundation, London
Download from:
http://www.neweconomics.org/default.asp?strRequest=pubs&strContext=pubdetails&intPubID=8
New Economics Foundation, Cinnamon House, 6-8 Cole House, London, SE1 4YH. Tel: + 44 171 407 7447. Fax: + 44 171 407 6473. E-mail: info@neweconomics.org. Website address: http://www.neweconomics.org/

This report is about innovative ways of strengthening local governance in India. Drawing from various case studies, the conceptual underpinnings of participation in local governance are examined and four objectives of techniques for participation provided. In particular, the report explores the potential of two participatory techniques developed mainly in the UK - community-based indicators and social auditing - in helping foster participation in local governance in India. The authors looks critically at these techniques, at their strengths and weaknesses, particularly in the context of the local governance structure in India, the panchayat raj institutions. Successes in enhancing local governance through participation are highlighted, and an explanation provided as to where precisely these techniques work and why. The authors recognise a huge 'scaling-up' challenge and acknowledge the need for robust guidelines to help new practitioners choose and use appropriate participatory techniques that might play a part in changing governance in India.

Liporada, Cesar D
Sourcebook on Effective Partnership for Local Governance
1996
PhilDHRRA - PCHRD (Philippine Partnership for the Development of Human Resources in Rural Areas - Philippines-Canadian Human Resource Development Program)
Price: PhP 100
Available from: PhilDHRRA, 59 Salvador St. Loyola Hts., 1108 Quezon City, Philippines. Tel: (02)436-0702, (02)426-6740. Fax: (02)426-0385. E-mail: Information Officer: info@phildhrra.org; Local Governance Unit: locgov@phildhrra.org. Website address: www.phildhrra.org.ph

Published in part by PhilDHRRA, a national network of 64 NGOs, this sourcebook is designed for non-governmental organisations (NGOs) and people's organisations (POs) whose work involves active participation in local governance. It draws on the experiences of both the Local Government Units (LGUs) and NGOs/POs involved in PhilDHRRA's Provincial Strategic Development Program (PSDP) in the provinces of South Catabato, Negros Oriental, Camarines Sur and Iloilo. Additional materials have been obtained from various fora, consultations, trainings, workshops and written documents from both government and non-government institutions. The book is divided into 3 parts: Global and National Context of Local Governance; The Local Government Code and Participatory Local Governance; and Local Public Administration and Governance.

Neigbourhood Initiatives Foundation (NIF)
Planning for Real - The Video
1997
Running Time: 17 minutes
Available from: Neighbourhood Initiatives Foundation, The Poplars, Lightmoor, Telford TF3 3QN. Tel: 0870 7700339/01952 590777. Fax: 01952 591771. Website address: http://www.nifonline.org.uk/

This short film is intended to provide a glimpse of The Neighbourhood Initiatives Foundation and an insight into the origins and value of "Planning for Real". As a tool for involving local people in the planning, decision making and implementation of neighbourhood regeneration, "Planning for Real" has few rivals. What this film also demonstrates is how "Planning for Real" can improve the way in which residents, officers and councillors can work together to implement change. This film contains two case studies of "Planning for Real" exercises and first hand views of residents and local officers.

Neighbourhood Initiatives Foundation
Planning for Real Community Pack
Updated 2000
Available from: Neighbourhood Initiatives Foundation, The Poplars, Lightmoor, Telford TF3 3QN. Tel: 0870 7700339/01952 590777. Fax: 01952 591771. Website address: http://www.nifonline.org.uk/

The pack includes advice on running a 'Planning for Real' exercise, instructions on model making, masters of a variety of house styles for the model, masters of the suggestion cards and 'Now, Soon, Later' charts for prioritising suggestions and drawing up an 'Action Plan'.

New Economics Foundation, London with members of the UK Community Participation Network.
Participation Works! 21 Techniques of Community Participation for the 21st Century
1998
Download from:
http://www.neweconomics.org/default.asp?strRequest=pubs&strContext=pubdetails&intPubID=16
Or mail The Centre for Participation, New Economics Foundation, Cinnamon House, 6-8 Cole Street, London SE1 4YH. Tel: 020 7407 7447 extn. 250. Fax: 020 7407 6473. E-mail: richard.murray@neweconomics.org. £7 individuals (£12 institutions), bulk order £25 for 5 copies. Website Address: http://www.neweconomics.org/

This short book contains 21 techniques of participation from around the world, giving ideas for choosing between them, using them effectively and where to go for more information. Included are practitioner explanations of techniques such as: action planning, citizens juries, community indicators, enspirited envisioning, future search, participatory appraisal, participatory theatre, planning for real and lots more.

Oldenburg, Philip
Non-Governmental Organisations and Panchayati Raj
1999

National Resource Centre on Panchayati Raj, Society for Participatory Research in Asia (PRIA), New Delhi, India
Occasional paper no. 5
Available from: PRIA, 42 Tughlakabad, Institutional Area, New Delhi, 110062, India. Tel: 91 11 608 1908/608 9559. Fax: 91 11 608 0183. Email: publication@pria.org. Website address: www.pria.org

The author of this report visited 12 project sites in India where participatory bottom-up planning processes were initiated by local NGOs in collaboration and partnership with local communities and Panchayati Raj Institutions. The first part of the report raises questions on this process, emphasising that if 'local self-government' is to be fulfilled as a democratic ideal, then the elected bodies have to be given encompassing responsibility over local matters and be held accountable for these matters by their voters. In reflecting on the role that NGOs can play in these new institutions of representative government, the author argues that NGOs can have comfortable and fruitful partnerships with the institutions of government, and that NGO support to Panchayats is vital in this process of reinvigorating grassroots governance. The second part of the report focuses on a summary of a one and a half day long discussion between NGO staff active in strengthening Panchayati Raj Institutions, present or former government officials and Ford Foundation staff. Discussion centered around Panchayati Raj Institutions in their present administrative structure, availability of resources, participatory micro planning, NGOs' involvement and access to information, among others.

Pard, S
Micro Planning: Participatory Planning For Self-Reliant Panchayats
Year?
Society for Participatory Research in Asia (PRIA) in collaboration with Rural Technology and Development Centre (RTDC), India.
Available from: PRIA, 42 Tughlakabad, Institutional Area, New Delhi, 110062, India. Tel: 91 11 608 1908/608 9559. Fax: 91 11 608 0183. Email: publication@pria.org. Website address: www.pria.org

This report describes a micro-planning intervention which took place in the Balh valley area of Mandi district in the state of Himal Pradesh, India. The 73rd Constitutional Amendment established panchayats as units of local self-governance, making provision for them to devise plans for economic development and social justice. This micro-planning exercise, of one year's duration, focussed on the Kehar panchayat, with the aim of maximising people's participation in the planning process. The team sought to develop and operationalise a concrete model of bottom-up planning with Gram Panchayats, along with a simple methodology/frameworks for participation which could be replicated elsewhere. It was considered crucial to ensure that the micro plan made optimal use of scarce resources in different production sectors, and emphasised women, the poor and lower classes. The report describes the context in which the exercise took place, the five phases of the micro-planning process, and provides an overall assessment of the intervention.

Peterman, William
Neighbourhood Planning and Community-Based Development
2000
Sage, London.
ISBN 0761911995

This book should be of interest to individuals who are directly involved in neighbourhood planning and development activities. With case studies that include the issues of gentrification, public housing, government-sponsored development of sports facilities, housing management control and racial diversity, the book recommends tools for successful neighbourhood-based planning and development.'

Plummer, Jannelle
Municipalities and Community Participation: A Sourcebook for Capacity Building
2000
Earthscan (Published in association with DFID).
Available from: Earthscan, Freepost 1, 120 Pentonville Road, London, N1 9BR. Fax: 020 7278 1142. Telephone Littlehampton Book Services on (01903) 828 800. E-mail: orders@lbsltd.co.uk.
Or order online at: http://www.earthscan.co.uk/asp/bookdetails.asp?key=3177.

Increasingly, governments and donors are advocating the participation of poor communities in the delivery of urban services and infrastructure. Yet local authorities responsible for implementing participatory policies often do not have the skills, organisations or resources needed, or an adequate idea of the capacity required. This sourcebook provides invaluable practical guidance for municipal officials, and others working in urban development and poverty reduction, on the range of issues to be addressed in planning and managing cities with community participation. It explains the key elements of participation, identifies common constraints and opportunities, describes the vehicles for moving participation forward and outlines the capacity building needed for a municipality to achieve participatory goals. Jannelle Plummer is an Urban Poverty Consultant based in South Africa and formerly a development officer with DFID. Contents: Introduction; A Strategic Framework for Municipal Capacity Building; The External Operating Context; The Elements of Participation; The Vehicles of Participation; Internal Capacity of the Municipality; Management Capacity of the Municipality; Framework for Action; Appendix and References

Porter, Doug and Onyach-Olaa, Martin
Inclusive Planning and Allocation for Rural Services
February 1999
Download from:
 http://www.uncdf.org/local_governance/reports/risks/background/03.html
Also available from: Development in Practice, Feb 1999, Vol. 9, Nos. 1 & 2.

This paper draws on experience from Uganda. Uganda is committed to decentralisation. This commitment is transforming the way services are planned and financed, and new associations between local government, NGOs and private sector agencies are being created. Much attention has been focussed on the adoption of various techniques - such as participatory rural appraisal - through which direct and intensive forms of participation can be encouraged in decentralised planning. This trend is critically examined and potential unintended consequences are highlighted. A broader concept of accountability is outlined to illustrate a more inclusive approach to planning and allocation for more equity and sustainability in rural services.

PRIA (Society for Participatory Research in Asia)
Citizens and Governance: Civil Society in the New Millennium
1999
Available from: PRIA, 42 Tughlakabad, Institutional Area, New Delhi, 110062, India. Tel: 91 11 608 1908/608 9559. Fax: 91 11 608 0183. Email: publication@pria.org. Website address: www.pria.org

This study captures the hopes and aspirations, concerns and needs of ordinary Indian citizens throughout the country. It posed the following three basic questions. 1. What is your view of a 'good society'? To what extent does such a society exist today? 2. In such a 'good society', what roles are best played by citizens and what roles are best played by state institutions and other sectors? 3. What would enable citizens to play their roles more effectively in the development of such a society in the future? More than 2000 ordinary citizens who normally remain invisible shared their opinions and perceptions. 19 clusters from different regions of the country were included in the study. First the questions were posed to ordinary citizens in each cluster, and then their responses were taken to citizen leaders of the same cluster. Their combined opinions were shared with citizens in positions of authority with the power to do something about the concerns of ordinary citizens. The story told in this report, in narrative form, presents opinions of citizens about their needs and the manner in which they would like those needs to be addressed. Citizen's voices expect to participate in determining their own future in an ongoing and sustained manner. These voices can provide ideas to policy makers, public leaders and development workers about how to strengthen different aspects of governance, so as to enable citizens to address their concerns in a sustainable manner.

The study concludes by summarising the elements of a good society, and provides some recommendations to help activists create a bridge between citizens and the state.

PRIA (Society for Participatory Research in Asia)
Strengthening Grassroots Collaboration
November 1998
Participation and Governance, Vol. 5, no. 14
Available from: PRIA, 42 Tughlakabad, Institutional Area, New Delhi, 110062, India. Tel: 91 11 608 1908/608 9559. Fax: 91 11 608 0183. Email: publication@pria.org. Website address: www.pria.org

This issue of *Participation and Governance* is devoted to the notion of collaboration within a single group of stakeholders - that of grassroots or community organisations (COs). The articles in this issue focus on the relationship between the different stakeholders. Three important categories of COs are identified - the project initiated sectoral committee; the locally driven and issue-specific groups and, in the Indian context, the Panchayati Raj institutions (PRIs) - and it is asserted that collaboration between the three could have great potential. The first article argues for existing local institutions, such as panchayats, to be strengthened and made sustainable rather than creating new but parallel COs. The second describes some successful collaborative between multiple stakeholders to address poverty; the lessons learnt can be applied to collaboration between COs. The last article explores the type of linkages that currently exist between COs and reasons for establishing better collaboration.

PRIA (Society for Participatory Research in Asia)
Functioning of Gram Panchayat and Gram Sabha
1998
Occasional Paper no. 2
Available from: PRIA, National Resource Centre on Panchayati Raj, 42 Tughlakabad, Institutional Area, New Delhi, 110062, India. Tel: 91 11 608 1908/608 9559. Fax: 91 11 608 0183. Email: publication@pria.org. Website address: www.pria.org

This paper assesses the functioning of Gram Panchayat (GP) and Gram Sabhas (GS), based on the study of 195 GP and 155 GS. It points to: (i) the uneven participation of weaker sections of society in both GP and GS; (ii) the lack of clear information about the date, place and agenda of the meetings, which leads to low levels of attendance; (iii) the absence from the agenda of issues related with social justice, conflicts and disputes in the village, and local planning. The paper maintains that due the lack of clear guidelines on the devolution of power and authority to GP, these have become mere implementors of government schemes. The poor functioning of GP and GS is mainly due to the absence of clear understanding about their role and to the inadequate financial resources at their disposal. The paper argues that to achieve democratic decentralisation and strong grass-roots democracy, the GP and GS need to be strengthened. Greater devolution of power is needed together with a change in attitude of government functionaries towards GP and

greater understanding of the importance of GS. Efforts should also be made to develop the competency and skills of panchayat members to allow them to carry out their functions more effectively.

PRIA (Society for Participatory Research in Asia)
Women's Leadership in Gram Panchayats
1998
Occasional Paper no. 3
Available from: PRIA, National Resource Centre on Panchayati Raj, 42 Tughlakabad, Institutional Area, New Delhi, 110062, India. Tel: 91 11 608 1908/608 9559. Fax: 91 11 608 0183. Email: publication@pria.org. Website address: www.pria.org

The enactment of the 73rd Amendment Act in 1992 provides for one third seat reservation for women candidates in Panchayati Raj Institutions with the vision to empower women. This paper explores the extent to which women are able to successfully utilise the empowerment opportunity provided to them, by looking at their experiences in governance and the factors that hinder or promote their participation in the political process. The paper traces historically the leadership and participation of Indian women in the formal and informal political structure and process. It presents the profile of elected women members Panchayati and their experience in governance. Finally, an account of effective leadership of women representatives is given by drawing on cases studies from four states.

Romeo, Leonardo
Decentralized Development Planning: Issues and Early Lessons from UNCDF-Supported LDF programmes
1998
United Nations Capital Development Fund (UNCDF)

Download document from:
http://www.uncdf.org/local_governance/reports/risks/background/02.html
PDF version: http://uncdf.org/local_governance/reports/pdf/lr_ddp.pdf

United Nations Capital Development Fund (UNCDF).
Cape Town Symposium on Decentralisation and Local Governance in Africa
March 2001.
Download Final Report from:
http://www.uncdf.org/capetown/docs_statements/DLGA_toc.html Download symposium Documents and Statements from:
 http://www.uncdf.org/capetown/docs_statements/index.html
United Nations Capital Development Fund, Two UN Plaza, 26th Floor, New York, NY 10017.   Fax: 212/ 906-6479. E-mail: info@uncdf.org

The symposium on "Good Governance and Decentralisation in Africa", held in Cape Town in   March 2001, co-hosted by the UNDCF, together with the School of Government of the University of the Western Cape and in partnership with the UNDP, Ford Foundation and Government of Japan, brought together a wide array of policy experts, practitioners and researchers from Africa. Amongst the aims of the symposium was a sharing of experiences on the challenges of administrative decentralisation in the 21st century. In that respect, it was widely accepted by participants that African states have much to learn   (both positively and negatively) from the experiences of their neighbors. It was also agreed that the models evolving in many African states are generally more appropriate to the continent than those imported in an unadapted form from more developed nations. In addition to providing a platform for wide ranging debate, the symposium also provided directions regarding the establishment or strengthening of ongoing regional for a and research networks.

United Nations Human Settlements Programme - UNHCS (Habitat)
Policy Paper on Women and Urban Governance (Draft)
November 2000
Download from http://www.unchs.org/govern/docs.htm in Word and PDF format
Or contact: Ali Shabou, UN-Habitat, P.O. Box 30030, Nairobi, Kenya. Tel: (254 2) 623141. Fax: (254 2) 624265. Email: Ali.Shabou@unchs.org

The status of women in cities is of concern given that women are in a much more vulnerable position than are men. At present 22-23% of households in cities are headed by women, and many of them are poor. In both the North and South, women remain unequal to men in terms of employment opportunities, access to resources and representation. Yet, although women are key players at the local level in household livelihood strategies and residential organisations, they are subject to exclusion from critical decision-making forums. Policy on women and urban governance should address two aspects: women's increased representation in local decision-making; and greater attention to issues of concern to women.   Both are examined in this policy paper, which also reviews current efforts to address them. The norms of the Global Campaign for Good Urban Governance are then used as a lens to focus on the policy issues with which the paper concludes. Chapters include: Issues that Affect Women; Women in the Decision-Making Process; Existing Commitments, Actions and Experience, Gender and the Norms of Good Governance, and Conclusions and Policy Issues.

United Nations Human Settlements Programme (UNHCS-Habitat)
Participatory Urban Governance: Practical Approaches, Regional Trends and UMP Experiences (UMP No. 25)
Download from: http://www.unchs.org/en/publicationssearch_query.asp

This paper provides a practical overview of the various dimensions of participatory urban governance and the **tools** used in city consultations. It also contributes to the debate on the norms of good urban governance.

UNDP's Management & Governance Network (MAGNET), Local Initiative Facility for Urban Environment (LIFE).
Participatory Local Governance, LIFE's Method and Experience, 1992-1997.
Technical Advisory Paper 1.
1998
United Nations Development Programme (UNDP)
Download from: http://magnet.undp.org/Docs/dec/LIFE.pdf

Analyses the method and experience of the UNDP Local Initiative Facility for Urban Environment (LIFE) from September 1992 to May 1997. It reviews the LIFE process as a facilitator of participatory local governance through "local-local" dialogue—the participatory method at the heart of the process. Although these development activities focus on the urban environment, the method is neutral—and can be applied to any sector where multiple stakeholders have an interest in an agreed upon development strategy, implementation and sustainable outcome.

Valderrama, Camilo and Hamilton, Kate
Strengthening Participation in Local Governance: Report of the Workshop Held At IDS, 21-24 June, 1999
1999
Participation Group, Institute of Development Studies, University of Sussex, UK.
Download full text document from:
http://www.ids.ac.uk/ids/particip/research/citizen/govwkrp.pdf
Available from: Participation Resource Centre, IDS, University of Sussex, Brighton, BN1 9RE. Tel: +44 (0) 1273 877263. Fax: +44(0) 1273 877335. E-mail: participation@ids.ac.uk.

This report highlights key discussion points that emerged from a workshop on 'Strengthening Participation in Local Governance'. Conceptual issues around participation, governance, citizenship and decentralisation are discussed. Country presentations highlight various experiences in strengthening participation in local governance: these include looking at the context (particularly with respect to existing legal frameworks), the dynamics of participation, strategies and approaches that are employed to overcome barriers, and the key lessons and proposed ways forward for future research. Lessons and challenges from previous research as well as a summary of action plans for collaboration and future research are also presented.

Valderrama, Camilo and Gaventa, John
Participation, Citizenship and Local Governance. Background note prepared for Strengthening Participation in Local Governance Workshop, IDS June 21-24 1999
1999
Download full text document from:
http://www.ids.ac.uk/ids/particip/research/citizen/gavval.pdf
Available from: Participation Resource Centre, IDS, University of Sussex, Brighton, BN1 9RE. Tel: +44 (0) 1273 877263. Fax: +44(0) 1273 877335. E-mail: participation@ids.ac.uk.

This paper explores literature related to the dynamics and methods of strengthening community-based participation in the context of programmes for democratic decentralisation. It specifically examines the merging of two distinct traditions of participation, social/project and political, and looks at the linking of development with the state, and a concept of governance that is accountable to civil society. In so doing, the authors demonstrate the emergence of a new definition of participation as citizenship, and contend that such new forms of citizen participation can best be seen at the local level, where 'grassroots' interact with those of governance and the state. Barriers to citizen participation in local governance are discussed, such as: power relations; no previous history of grassroots/citizen organisations; weak or non-existent participatory skills; lack of will at both central and local government level; the level of participation; and the paucity of financial resources at local level. Ways in which these obstacles can be overcome are subsequently suggested, including participatory planning, citizen education and awareness building, and training and sensitising of local officials. The paper concludes with an illustration of a successful experience of citizen participation (participatory budgeting in Latin America), and a brief discussion of issues for further research.

VeneKlasen, Lisa with Miller, Valerie
The Action Guide for Advocacy and Citizen Participation
Forthcoming in 2002
Global Women in Politics
Available from: Global Women in Politics, The Asia Foundation, 1779 Massachusetts Ave, NW, Suite 815, Washington, DC 20036, USA. Tel: (1-202) 588-9420. Fax: (1-202) 588-9409. E--mail: Gwip@dc.asiafound.org.

Combining the approaches of citizen organizing, popular education, participatory research, human rights lobbying, and gender theory, *The Action Guide for Advocacy and Citizen Participation* provides the framework for Global Women In Politics advocacy, training and technical assistance. This resource guide, written by Lisa VeneKlasen, Assistant Director of GWIP, assists trainers and activists in planning and developing actions, strategies, and training

in advocacy. The Guide presents concepts, tools, and step-by-step strategies on a range of issues using concrete examples coupled with broader analysis. Topics include: power, political consciousness and analysis, strategic planning, problem identification, lobbying, media strategies, and coalition building.

Villarin, Tom S
People Empowerment: A Guide to NGO-PO Partnership with Local Governments
1996
Available from Tomasito Villarin, KAISAHAN Tungo sa Kaunlaran ng Kanayunan at Repormang Pansakahan (KAISAHAN), 43 Masikap St., Brgy. Pinyahan, Diliman, Quezon City, The Philippines. Tel: 928-2085, 433-0760. Fax: 928-6158. E: kaisahan@philonline.com or kaisahan@codewan.com.ph
Copies also available from: FES, Friedrich-Ebert-Stiftung, Ortigas P.O. Box 12271, 1605 Pasig City, Metro-Manila, Philippines. Tel: ++63-2-6346919, 6377186. Fax: ++63-2-6320697. E-mail: fesphils@info.com.ph. Website address: http://www.fes.org.ph/local.htm

This book provides an insight into the role that Non Governmental Organisations (NGOs) and People's Organisations (POs) play in local governance in the Philippines. It explains the features of the Local Government Code (LGC) of 1991, which serves as the foundation for the new relationship NGOs and POs have with local governments enabling communities to have a voice in the decision making processes of government. In addition, it describes modes of NGO and PO partnership with local governments, the principles of the partnership, local initiatives and referendum, the Recall Process, prospects and perspectives for the 1991 LGC, and it finishes with a review of the LGC.

Walker, P, Lewis, J, Lingayah, S, Sommer, F
Prove It: Measuring the Effect of Neighbourhood Renewal on Local People
2000
New Economics Foundation
Website address: http://www.neweconomics.org/
Download full report from:
http://www.neweconomics.org/default.asp?strRequest=pubs&strContext=pubdetails&intPubID=2
Hard copy available from info@groundwork.org.uk. Tel: 0121 236 8565. More information can be found at www.groundwork.org.uk or www.community.barclays.com

It is no longer enough to justify neighbourhood renewal projects in physical terms: trees planted; amenities created etc. Attention has switched to the effect of these projects on local people and the relationships that exist in their communities - otherwise known as 'social capital'. The impacts on 'social capital' are crucial but notoriously difficult to measure. Barclays SiteSavers, a national scheme sponsored by Barclays PLC, has been working in partnership with Groundwork and the New Economics Foundation to pioneer a new approach to measuring social capital. This handbook is the result. It provides a

method for measuring the effect of community projects on local people, on the relationships between them and on their quality of life. It also offers an introduction to the idea of social capital. This handbook will have wide appeal in regeneration, local government and community development circles, and will be of special interest to those connected to projects and activities who need to 'prove it!' when it comes to their impact.

Wates, Nick

The Community Planning Handbook: How People Can Shape their Cities, Towns and Villages in Any Part of the World.

Published in association with The Urban Design Group, The Prince of Wales' Foundation for Architecture, South Bank University, and the UK Department for International Development

Price: £14.95

Available from Earthscan, Freepost 1, 120 Pentonville Road, London, N1 9BR. Fax: 020 7278 1142. Telephone Littlehampton Book Services on (01903) 828 800. E-mail: orders@lbsltd.co.uk.

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An accessible how-to-do-it style, with tips, checklists and sample documents help readers to get started quickly, learn from others' experience and select the approach best suited to their situation. The glossary, bibliography and contact details allow them to find further resources and information. This handbook is essential for all those involved in shaping their local environment, planners, architects, community workers, local authorities and residents, and a useful reference for students. Contents: Why Get Involved?; Getting Started; General Principles A-Z; Methods A-Z; Scenarios A-Z; Useful Formats; Useful Checklists; Glossary; Publications and Film A-Z; Contacts A-Z. For more information on community planning please visit The Community Planning Website (based on this book): http://www.communityplanning.net

World Bank

The Online Sourcebook on Decentralization and Local Government

http://www.ciesin.org/decentralization/Entryway/english_contents.html

Centre for International Earth Science Information Network (CIESIN), Columbia University

A large and detailed online sourcebook containing sections on: General Information; Issues in Programme Design; Case Studies; Tools for Practitioners; and Participatory Methods.

Please order the documents below directly from the publishers.
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