

# **Towards Mainstreaming Social Accountability:**

## **Mapping of Participatory Planning in East Asia**

**A Study Conducted by  
PRIA Global Partnership  
in partnership with  
ANSA-SEA**

# Towards Mainstreaming Social Accountability:

## Mapping of Participatory Planning in East Asia

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## List of Abbreviations

ACT	Area Coordination Team
ADB	Asian Development Bank
AIP	Annual Investment Programme
APBD	Anggaran Pendapatan dan Belanja Daerah (Local Budget)
BAPPEDA	Badan Perencanaan Pembangunan Daerah (Planning Board)
BDC	Barangay Development Council
BDP	Barangay Development Plan
BLGU	Barangay Local Government Unit
BSPMC	Barangay Sub Project Management Committee
CBMS	Community Based Monitoring Systems
CBO	Community Based Organization
CC	Commune Council
CDD	Community Driven Development
CDP	Commune Development Plan
CDP	Comprehensive Development Plan
CEAC	Community Empowerment Activity Cycle
CF	Commune Fund
CIP	Commune Investment Plan
CLUP	Comprehensive Land Use Plans
CMDG	Cambodia Millennium Development Goal
COP	Council of Participatory Budgeting
COP	Community of Practice
COMECON	Council for Mutual Economic Assistance
CPP	Communist Party of Philippines
CSO	Civil Society Organization
DBM	Department of Budget and Management
DILG	Department of Interior and Local Government
DIW	District Integration Workshop
DND	Democracy Resource Center for National Development
DPBD	Development and Planning Board of District
DPPKA	Dnas Pendapatan Pengelolaan Keuangan dan Asset (Department of Finance)
DPRD	Dewan Perwakilan Rakyat Daerah (District legislative council)
DSWD	Department of Social Welfare and Development
FCR	Foundation for Contemporary Research
FGD	Focused Group Discussion
FKKB	Forum Kerukunan Keluarga Becak (association of Pedicab drivers)
FKKP	Forum of Coordination of Posyandu Activists
GDP	Gross Domestic Product
IDPG	Institute for Democratic Participation and Governance
IDP	Integrated Development Planning
INGO	International Non Government Organisation
IPGI	Indonesian Partnership on Local Governance Initiatives
JSDF-SIP	Japan Social Development Fund – Social Inclusion Project
JFPR	Japan Fund for Poverty Reduction
KALAHl	Kapit-Bisig Laban Sa Kahirapan- Comprehensive and Integrated Delivery of

CIDSS	Social Services
LCE	Local Chief Executive
LDC	Local Development Council
LDIP	Local Development Investment Plan
LGU	Local Government Unit
LKMD	Lembaga Ketahanan Masyarakat Desa (Village level planning committee)
LPDC	Local Planning and Development Coordinator
LPMK	Lembaga Pemberdayaan Masyarakat Kelurahan (Community Empowerment Board for Neighborhoods)
LPP	Local Planning Process
LPRAP	Local Poverty Reduction Action Plan
M&E	Monitoring And Evaluation
MCT	Municipal Coordination Team
MCUD	Ministry of Construction and Urban Development
MDG	Millennium Development Goal
MDP	Municipal Development Plan
MIAC	Municipal Inter-Agency Committee
MIBF	Municipal Inter- <i>Barangay</i> Forum
MLN	Municipal Learning Network
MLGU	Municipal Local Government Unit
MOA	Memorandum of Association
MOI	Ministry of Interior
MSD	Multi Stakeholders Dialogue
MTR	Mid Term Review
NCSC	National Committee for Support to the Communes/ <i>Sangkat</i>
NEDA	National Economic and Development Authority
NGO	Non Government Organization
NPA	New People's Army
NSO	National Statistics Office
NRM	Natural Resource Management
NSDP	National Strategic Development Plan
O&M	Operation And Maintenance
PACAP	Philippine-Australia Community Assistance Programme
PA 21	Philippine Agenda 21
PATTIRO	Pusat Telaah dan Informasi Regional (an NGO)
PBC	Commune Planning and Budgeting Committee
PDPFP	Provincial Development and Physical Framework Plan
PEM	Public Expenditure Management
PIU	Project Implementation Unit
PKP	Partido Komunista ng Pilipinas (Communist Party of Philippines)
PM	Project Manager
PNPM	Programme Nasional Pemberdayaan Masyarakat Mandiri (National Poverty Alleviation Programme)
PPA	Programme, Plans and Activities
PPP	Perencanaan pembangunan Partisipatif (Participatory Development Planning)
PSA	Participatory Situational Analysis
PSC	Project Steering Committee
PTCA	Parent Teacher Community Association
PUSO	Public Urban Service Organisation

PUSO	Public Utility Services Organisaton
RAPBD	Rancangan Anggaran Pendapatan Belanja Daerah (draft annual budget)
RKPD	Rencana Kerja Pemerintah Daerah (work plan)
RPJPD	Rancangan Pembangunan Jangka Panjang Daerah (long term development plan)
RPJMD	Rancangan Pembangunan Jangka Menengah Daerah (medium term development plan)
RPS	Rationalised Planning Process
RT	Rukun Tetangga (neighborhood harmonious)
RW	Rukun Warga (citizen harmonious)
SEILA	Not an acronym: transcription of Khmer word meaning “foundation stone”
SKPD	Satuan Kerja Pemerintah Daerah
SLP	Sustainable Livelihood Programme
SOMPIS	Solidaritas Masyarakat Pinggiran Surakarta (Solidarity of Marginalized Groups of Surakarta)
SP	Subproject
SPG	Subproject Groups
SRA	Social Reform Agenda
TWC	Technical Working Committee
UDRC	Urban Development Resource Centre
UDSP	Urban Development Sector Project
UNDP	United Nations Development Programme
USAID-DRSP	United States Agency for International Development- Democratic Reform Support Program
USSR	Union of Soviet Socialist Republics
VAT	Value Added Tax



# Section 1

# Chapter 1

## Introduction to Participatory Planning and Social Accountability

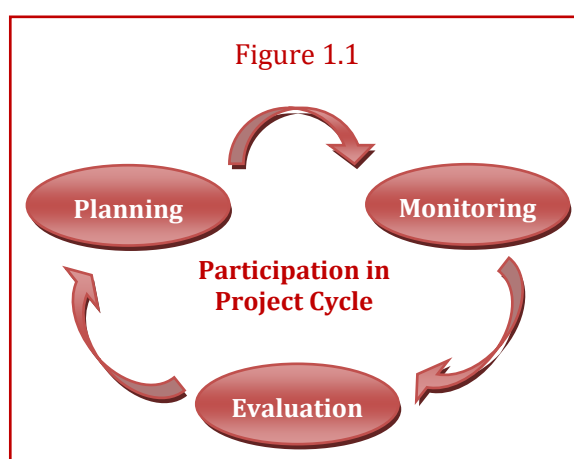
### 1. Conceptual Framework

Discussion on participatory planning inevitably invites a discussion on the deeper understanding and appreciation of participation. The understanding on participation has historical roots and travelled along many discourses in the last three decades. The idea here is not to present a full scale review of such discourses but to present an outline which has deeper connection to other concepts used in this research work.

Much of the discussion on participation in late 1970's and early 1980's was around popular participation variously known as participatory development, popular movement, people's participation and so on. The centrality was on 'conscientisation' of the 'oppressed'. Such terms were used by Paulo Frerie in his seminal work on "The Pedagogy of the Oppressed". A number of social activists started organising and conscientising the communities against the prevalent oppressions. This was reflected in a variety of movements around access and control over natural resources like land, water, forest etc. by the poor and indigenous people. Many environmental movements were developed putting centrality on people's participation in struggle against monopoly of the State.

The discussion on participation in 1990's experienced a much broader support from many bilateral and multilateral donors through international development aid. The experiences of mainstreaming participation in large-scale government delivered development projects began to be available by then. Many large scale projects that these agencies supported in developing countries argued the instrumental value of participation like enhancing cost-effectiveness with

contribution (labour, money, etc.) from the community. Several local innovations taking people's inputs had shown exemplary results in better utilisation of resources and wider ownership of development projects. Programmes focusing on afforestation (wasteland development), provision of drinking water (hand pump installation) and preventive health care (immunisation and ORT) showed promising results as participatory processes and structures at grassroots began to take hold (Tandon, 2007). These projects pointed out the value addition that participation of the beneficiaries could bring



about. It argued that if 'primary beneficiaries' of the project were involved the ownership and sustainability of the projects would be enhanced. A variety of user's committees like watershed committees, water user's association, village education committees etc. were seen as the primary vehicles for promoting participation. In order to 'manage' participation a gradual emphasis was given to participation in different stages of the 'project cycle' as explained in Figure 1.1. As the practices were deepened the discussion on beneficiary participation in monitoring and evaluation of projects designed by 'others' was further enriched through discussion and practice of participation in project planning. A lot of practices and methodologies evolved throughout the global south on participatory planning in the project contexts.

The 1990's saw many international agencies (especially Sida and USAID) formally adopt policies and procedures for mainstreaming participation (and empowerment too) in all the development programmes. The World Bank, which had already been incorporating local participatory structures and Participatory Rural Appraisal in many of its projects by then, formally adopted Participation Policy in 1994.

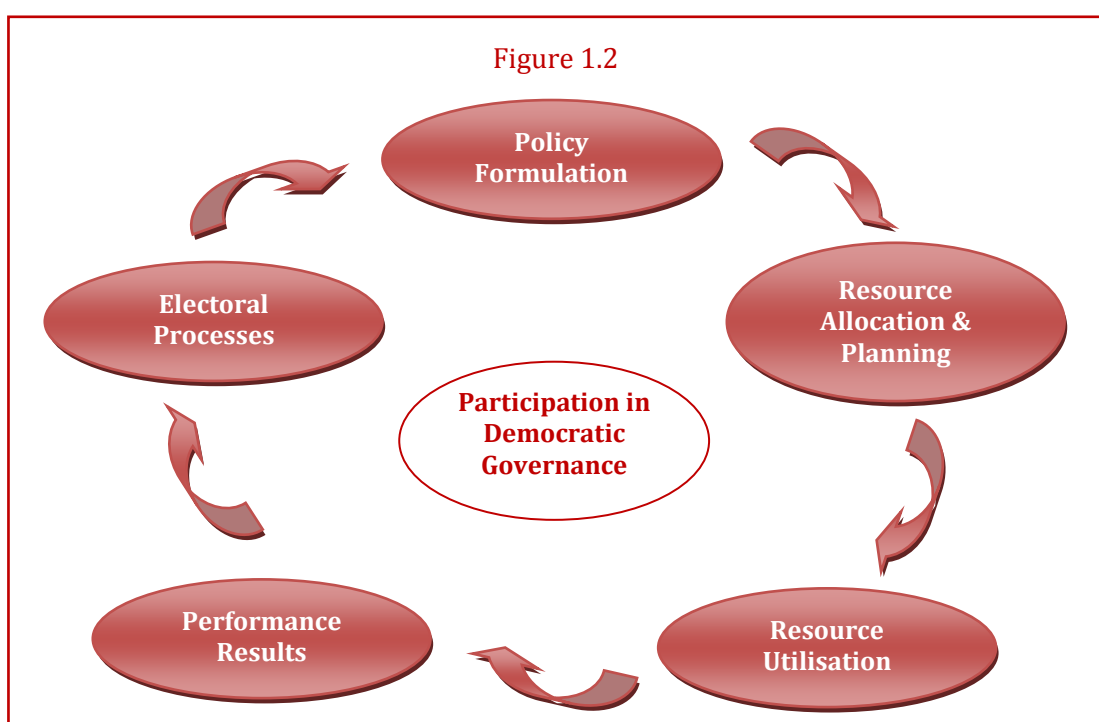
The discussion on participation from the mid-1990's and throughout 2000 was focused on participation in 'democracy building' and promoting 'good governance'. As the debate on democratic governance gained prominence it was inextricably associated with the concept and practice of citizenship. Bringing citizenship discourse at the centre stage also redefined the relationship between the State and citizens. One school of thought emphasised that when citizenship is conferred by the State, the citizens have the 'rights' to be claimed from the State and the State has the 'obligation' towards its citizens to fulfill those claims. However, another school of thoughts also enriched this debate by attaching 'active' and 'responsible' tags with the concept of citizenship. Here the citizens were viewed not only claimant or recipient of rights from the State but also an active and responsible contributor in building society and polity.

The concept of 'good governance' also embraced participation as one of the characteristics among many others. For quite some time the discussion on good governance remained technocratic and administrative. It was associated with several public administration reforms for the national and sub-national governments. There was less emphasis on the political reforms of the governance. It is only when democracy, participation and accountability were brought into the discussion the discourse was shifted from 'good' to 'democratic' governance.

The concept of democratic governance was further enhanced through the decentralisation processes and structures adopted by a large number of countries in the global south. A strong argument emerged that democratic decentralisation of authorities at the local level would enhance development effectiveness, inclusiveness and equity.

Figure 1.2 captures the imagination of democratic governance cycle which typically may start with an electoral process. One of the fundamental tenets of representative democracy is election where multiple parties (with exceptions) compete for political power to assume the responsibility to govern the society. Citizens have the power to elect such political regime as they think is capable of taking governance responsibilities. In a democracy it is also assumed that such political competitions take place on the basis of rational choices of the citizens where every political party will showcase their development agenda in the public domain (through electoral manifesto, political

campaigns and so on) and citizens prioritise their informed choice. Once a political party or coalition of several political parties is chosen by the majority citizens it sets in the democratic governance regime. The elected government then becomes responsible for developing and formulating policies in tune with the electoral promises, development agenda and emerging governance problems. The policies are the expression of governance and development priorities and need to be supported by appropriate resource allocations and planning on the ground. Once the resources are allocated through a budgetary process, the programmes are planned in details. It then becomes the responsibility of the governance regime to utilise the allocated resources as per plans. It is expected that the effective utilisation and spending of resources would bring in desired policy and programmatic changes and results. The political governance regime then showcases their achievements before they go to the citizenry again to ask for political support in the next electoral process.



However, it will be a naiveté to assume that this theory of democratic governance cycle is followed so rationally. In many countries there are several cleavages between each stage of the cycle with the next stage. Electoral promises are often forgotten; gaps exist between policy direction and appropriate resource allocation; allocated resources are diverted on other political considerations; leakages and corruptions impede development spending and results are not achieved as they have been expected.

In response to such rising crisis of democratic governance, three trends have emerged to address the problems (Cornwall and Coelho 2007).

- A neo-liberal market approach argues for the continued weakening of the state through a combination of decentralisation and privatisation. In such a formulation, the citizens are reduced to consumers with the relation to the market taking the lead.

- The second dominant view is from the liberal representative model which focuses on correcting the democratic institutions and parallelly emphasises multi-party electoral process. In this perspective, citizens are passive actors.
- The third view is called the ‘deepening democracy approach’, borrowing heavily from the participatory democracy tradition. In this, democracy moves beyond institutions to the community and thus participation is not equivalent to mere franchise. It is a regular and continuous effort such that the citizens become a part of the decision making.

Social Accountability derives its roots from this third view of ‘deepening democracy approach’. Accountability can be defined as the obligation of power-holders to account for or take responsibility for their actions. The power-holders are those who hold political, financial and administrative authority. The central idea behind democracy is that the people are ruled by those who are elected by themselves, so the former are their representatives. Thus the elected representatives are accountable to the people. However, over a century, elections have failed to serve its function and thus other mechanisms have been arrived at to claim accountability. World Bank states that ‘social accountability is about affirming and operationalising direct accountability between citizens and the State’. It includes a wide range of actions and that oversees that the State delivers as per people’s expectations and requirements.

The popularity of the concept and practice of social accountability is to augment the accountability of public institutions. However, in asking for it, it relies on citizen participation and civic engagement who demand accountability from the governance institutions.

The concept of social accountability has its roots in the right and responsibility that a citizen has been given in every democracy. It is them who are sovereign and form an essential element of State. In a democracy, these rights are enshrined in the constitution. Nevertheless, these rights have remained passive in many cases. What social accountability strives to achieve is making the citizens understand their civic rights and exercise them vis-à-vis the State. There is a range of initiatives which can be used to claim the same – starting from public pressure, protest, meetings between citizens and public officials, public hearings to presenting evidence to a corruption control agency, appealing to public ombudsmen or filing a case in the judiciary<sup>1</sup>.

Social accountability has three core elements, namely, information, voice and negotiation. It is essential to focus on the government and civil society. So many social accountability initiatives focus on strengthening bridging mechanisms – mechanisms for information exchange, dialogue, and negotiation – between citizens and the state.

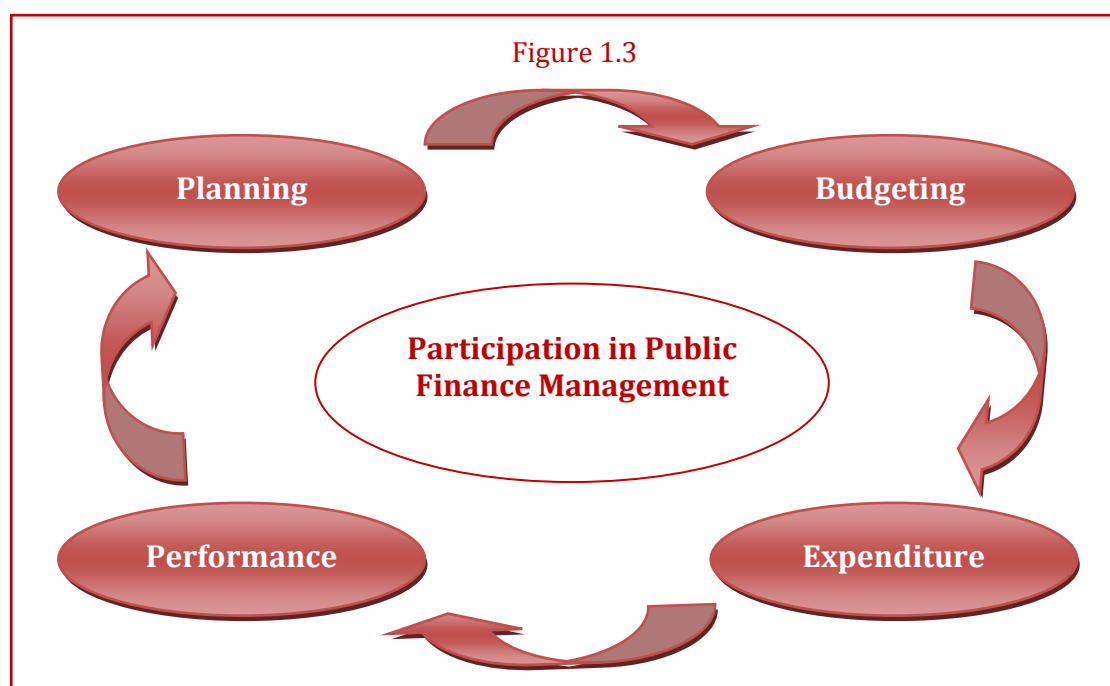
**Information:** Building credible information and making it public is a critical in holding public officials accountable; this includes reading into the supply-side information from government and service providers and also demand-side information from users of government services.

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<sup>1</sup> Both right to information and public interest litigation are instances of such mechanisms used popularly in many nations.

**Voice:** It is imperative to make the government understand citizen priorities better and for that the citizens need to express their needs and grievances in a more organised and mobilised manner. This requires to strengthen public debate forums, create rights awareness, build citizen confidence and make a channel for citizen-state dialogue.

**Negotiation:** It is the most crucial component to bring about social change. For this some kind of pressure needs to be exerted on the government be it through protest or peaceful means. This can bring the government to have dialogue with the people. Social accountability's singular importance and increasing acceptance is because it brings forth and increases negotiation power of those who are historically under-represented in formal political institutions such as women, youth, and poor people.



In this context, public finance management as presented in Figure 1.3 assumes an important arena of governance wherein practice of social accountability has enormous potential to improve governance and foster practice of citizenship, meaning deepening access to rights and entitlements by the citizens. Thus, planning as the first step for resource allocation in the public finance management cycle assumes importance. The next stage of challenge is how to ensure and institutionalise citizen participation in public finance management starting from its very first step i.e. planning.

Participatory planning has the potentials to alter the prevailing social power relations by involving citizens in decision-making. Historically, certain sections of society like the lower castes, tribals, indigenous people, and women in many parts of the world have not been part of the public sphere. Their functioning has been limited to the private sphere where their interaction has been rather restricted. This stiff separation between the private and public hinders the formation of an active civil society. This is what is altered through 'people's planning' which creates new civic and development culture transcending partisan considerations.

Table 1.1  
Differences between Conventional Planning and Participatory Planning

Characteristics	From “PROJECT” approach...	To “PROCESS” approach
FOCUS	Things	People
PLANNING	Top-down	Participatory
CHANGE	Linear, controlled	Iterative, uncontrollable
PEOPLE	“Beneficiary”	“Citizen”
BEHAVIOR	Dominating	Empowering
TYPICAL PROCEDURES	Logical framework	Negotiated principles and processes
ACCOUNTABILITY	Upwards	Downwards and 360 degrees
SPREAD	Replicated	Catalysed
OUTCOMES	Infrastructures, standardised	Relationships, diverse

Source: LogoLink, 2002

Some of the characteristics of participatory planning are:

*Tapping into local knowledge:* Participatory planning does not rely solely on the knowledge available from experts and extensive survey reports (such as the Census, District Gazettes and the National Sample Survey and the Economic Surveys etc.), rather it taps into the knowledge available with the community. Like with community input in providing water supply, it can be decided when would it be most appropriate time of supply, which is the most suitable location of a stand-post which can make the system most efficient. It also helps unearth invisible resources, like traditional water conservation practices in water-scarce agro-climatic regions, exotic fruits and herbs unknown to conventional experts.

*Direct involvement at various stages:* The involvement of the communities is not restricted to the early stages of data collection and decision-making. Communities are also actively involved in the stages following decision-making, from implementation through to the monitoring and maintenance of services and installations.

*Individuals develop their views through social interaction:* Conventional planning approaches tend to attach singular static interests and opinions to individuals and groups as opposed to participatory planning; it is an exercise in mutual learning through informing one another’s ideas, experience, expertise and interests. It recognises that interests are open to change.

*Multiplicity of interests:* It is important to remember that people have diverse interests and expectations, which are rooted in social constructs, such as family structures, gender roles and status, and these can be symbolic as well as material. An expert would use one interest per community as the guiding principle in policy formulating. The diversity of interests and needs can only be articulated by those who feel it within.

## 2. Goals and Objectives

Affiliated Networks for Social Accountability – East Asia and the Pacific (ANSA-EAP)<sup>2</sup> approached PRIA Global Partnership<sup>3</sup> to undertake a study on “Towards Mainstreaming

<sup>2</sup> Affiliated Networks for Social Accountability – East Asia and the Pacific (ANSA- EAP) is an initiative of the World Bank and its regional secretariat is housed in Ateneo School of Government, the Philippines.

<sup>3</sup> PRIA Global Partnership (PGP) is a division of Society for Participatory Research in Asia (PRIA), India.

Social Accountability: Mapping of Participatory Planning in East Asia". The study was conducted over a period from March 2010 to June 2010.

The overall goal of the study was to establish the importance of integrating the participatory planning element in the Public Finance Management (PFM) cycle and making it a potential tool for social accountability approach.

The specific objectives included:

- a) To develop a reasonably comprehensive mapping of participatory planning experiences in East Asian countries like the Philippines, Cambodia, Indonesia, Mongolia, Thailand, Vietnam, and Laos;
- b) To identify and enlist the range of stakeholders involved in the participatory planning processes with special emphasis on engagement between governments and citizens groups; and
- c) To identify and analyse the current gaps and challenges in relation to policy environment, institutional capacity, and practice in reality.

### 3. Methodology

Given the constraints related to available time and resources the research assignment relied on secondary literatures and information from the Philippines, Cambodia, Indonesia, Mongolia, Thailand, Vietnam, and Laos. However, field studies were undertaken in the Philippines, Cambodia and Indonesia to validate the analysis based on secondary data as well as to enrich the mapping exercise. Thus the analysis was supplemented by four case studies, one each from the Philippines, Cambodia, Indonesia, and Mongolia. In addition, a total of 7 short case studies were also prepared from 5 countries of East Asian region. To accomplish the task and to achieve the objectives, the following major activities were undertaken:

- a) *Developing a framework for analysis.* An initial framework for analysing the secondary literatures and documenting selected case studies were prepared, shared and agreed upon with ANSA-EAP.
- b) *Identifying relevant country practitioners.* For each selected country a list of practitioners were identified and contacted. In selected cases interviews were conducted through telephone/skype; still in other cases it was done through a mail questionnaire survey.
- c) *Analysis of secondary literatures.* Secondary literatures were accessed through internet search, library research, and by directly contacting the relevant practitioners; the collected literatures were analysed according to the agreed upon framework.
- d) *Documentation and analysis of case studies.* Four case studies (one each from the Philippines, Cambodia, Indonesia, and Mongolia) were selected for detailed documentation and analysis. Except for Mongolia, field visits were made to relevant locations/countries for analysing such cases and face-to-face interviews were conducted to enrich the analysis. The detailed case study analyses was supplemented by a number of short case studies from various East Asian countries.



- e) *Presentation of key findings in a validation workshop.* One-day validation workshop was organised by ANSA-EAP on 9 July 2010 in Phnom Penh, Cambodia where the results of the study were presented by the research team to participants from selected countries for validation. Prior to the validation workshop a draft report was shared with ANSA-EAP and initial comments were received. The research team in close coordination with ANSA-EAP identified the participants. The participants included the actors in the documented case studies, practitioners from civil society and donor agencies and other researchers. Each case study was presented for a detailed discussion and inputs from the participants were recorded. In the final session the comparative analysis and emerging lessons were presented for discussion. The workshop results focusing on lessons learned and proposed strategies for mainstreaming and institutionalisation of participatory planning in PFM cycle were integrated in the final report.

#### 4. Research Questions for Case Study Analysis

The following questions guided the analysis of case studies:

- a) What is the policy environment to support participatory planning? Is there any specific program?
- b) What triggered participatory planning (the problem)?
- c) Who initiated and initiator's role?
- d) Local government institutions and its role?
- e) Citizen's organisation building and its process?
- f) How did it help enforcing/ strengthening social accountability?
  - i) Access to information: about right to participate, availability of resources, sanctioning/ allocation of resources, expenditure of resources (financial, capital, natural and human)
  - ii) Citizen's voice in key decision-making (in prioritizing needs) especially of marginalized and poor
  - iii) Responsiveness of local and national governments to participatory planning process.
  - iv) Citizen's (primary stakeholders) involvement in monitoring (monitoring implementation of plan) and post implementation social audit
- g) How did it affect power relations (between elites and poor and between local government and citizens)
- h) What from this case can be applied to other areas and what was unique to this case?

## Chapter 2

# Participatory Planning Initiatives in East Asia: An Analytical Commentary

### 1. Backdrop

Planning for local development has always been considered to be an expert driven, top-down exercise. With the emergence of decentralised local governance in many countries the local governance institutions are now entrusted to plan, implement and deliver basic services to the citizens. One of the greatest advantages of these institutions is thought to be their close proximity to the citizens. They are also seen as the primary vehicles for enlisting citizen participation in governance. Thus, the mandate for these institutions to involve in local planning and the promise to engage citizens in the decision making process prompted many development actors to experiment participatory planning processes in the context of local governance. The challenge, however, is to institutionalise participatory planning in democratic governance processes including local development planning.

In East Asian countries, a fundamental transformation in the structure and process of governance is taking place. Before 1990s most of East Asian countries were highly centralised, whereas today sub national and local governments are most important vehicles of regional and local development. Important factors that are driving decentralisation in these East Asian countries are first economic growth, urbanisation and a second wave of democratisation. However, not all of these countries are at the same page of governance reform. While China has remained non-starter, Vietnam is still lagging too far behind. Philippines and Indonesia have been fast starters while Cambodia and Thailand have been cautious movers on path of decentralised governance (White 2005, 1).

Decentralisation is often hailed for moving government closer to its citizens and providing opportunities for participation in decision making (Wong 2005, 253). Enabling policies, programmes and institutions for participatory local planning is an important component of the reform process for decentralised governance in these East Asian countries. In this study we have analysed such policies, programmes and institutions of Cambodia, Indonesia, the Philippines and Mongolia in the context of social accountability and following sections will draw references mainly from these countries.

### 2. Contexts: Policies, Institutions and Programmes

#### (a) Policies

The legal frameworks to support participatory planning are in place for most of the East Asian countries but its design and enabling conditions to operationalise those frameworks vary. "Legal frameworks were important but not sufficient...more than the presence of legal

frameworks, enabling conditions at the local level make participatory planning happen...the variance in how these frameworks are actually experienced depends on a number of factors like the levels of organisation of civil society and the presence of champions with sufficient political will to make the intention of these frameworks real" (Logolink 2002, 35). Enabling conditions include the "degree to which CSOs and communities are prepared to take on the challenge of participatory approaches" (Logolink, 2002, 32). In Indonesia, the legal frameworks, although not as evolved as the Philippines have enabling conditions for citizen participation and therefore it is possible to be innovative at the local level. In the Philippines legal frameworks are supportive of community participation in local planning and enabling conditions also exist and hence we see a number of exemplars where participatory planning and enforcing social accountability has been experimented with. In Vietnam and Cambodia although legal frameworks are there but enabling conditions do not exist and hence planning is still largely non-participatory and social accountability practices are often non-existent.

Cambodia is a comparatively newcomer in decentralisation reform process. Enactment of two laws namely, Law on the Election of Commune Councils and the Law on the Administration and Management of Communes/ Sangkats in the year 2001 was the beginning of decentralisation in the country. After the first commune council elections which took place in 2002, a number of supportive regulatory structures and mechanisms were established. Communes in Cambodia must follow bottom-up participatory planning process in order to address the needs and aspirations of the people. The Commune Law and its subsequent regulations mandate all communes to adopt and implement a five year Commune Development Plan (CDP). The Plan is to be prepared and approved by the councils in the first of the five years of their mandate, and must be reviewed and updated yearly. The CDP is meant to provide the framework for a multi-year Commune Investment Programme (CIP) and for the preparation of the annual budget. Being newcomer in decentralisation reform, institutions supporting participatory planning have not evolved and citizens are yet not aware of their rights and are not confident to participate in planning and holding local authorities accountable.

In Indonesia, the process of decentralisation and democratisation started with the end of Suharto regime in 1998. Democratisation led to decline of State control over society and increased demand for civil and political rights. Law No. 22 (1999) decentralises authority to the district and municipal level. Law No. 25 (1999) on central-local government financial relations stipulates that 25 per cent of the national revenue should be allocated as General Allocation Fund to local government. Act No.25 (2004) explicitly states that goal of planning is to optimise citizen participation. Government Regulation No. 8 (2008) on the regional planning process flowing from the Act No. 32 (2004) has detailed out the content and process of planning. Three kinds of plan documents are to be produced through bottom up planning process: a long term plan document for 20 years, mid term plan document for 5 year and annual plan document. Although decentralisation was introduced way back in 1999 with big bang detailed regulations to operationalise decentralised planning could be issued only in 2008.

Mongolia has undergone rapid transition from democratic centralism to democracy and market economy in early 1990s. New constitution of 1992 organises administrative units of Mongolia on the basis of self-governance and State management. Governor is the local representative of the central of higher levels of sub-national government whereas the assemblies at lower level elect the Assembly of higher level. Local self-governing bodies organise the participation of people in solving problems of local, larger territorial divisions

and national scale. Authorities at higher level do not take a decision on matters coming under the jurisdiction of local self-governing bodies. However, In Mongolia legal framework in terms of regulations on process of bottom up planning is still missing.

Current legal framework in the Philippines dates back to 1987 when new the constitution was ratified after downfall of Marcos regime. Local Government Code 1991 provided spaces for citizen participation. Local Development Councils (LDCs) at the *Barangay* (village), municipal, city and provincial levels are responsible to initiate and propose a comprehensive multi-sectoral five year development plan to be approved by local *Sanggunian* (legislative body); formulate public investment programmes; coordinate, monitor and evaluate the implementation of development programmes and projects. LDCs are also tasked to mobilise citizen participation in formulation of local plans and monitor and evaluate implementation of national and local programmes and projects.

Legal frameworks for citizen participation in planning are highly developed in the Philippines and Indonesia, while they are least developed in countries like Cambodia and Mongolia. However legal framework alone does not ensure participation in the planning and mainstreaming of social accountability at local level. Supportive government and non-government institutions and programmes are needed to operationalise this legal framework.

## **(b) Institutions**

Among these four countries, local institutions facilitating participatory planning is more developed in the Philippines and Indonesia, while those in Cambodia, Mongolia, Vietnam are still evolving.

Commune council is the most important institution in Cambodia, which initiates local planning. Members of these councils are directly elected. Each Council has 5,7,9 or 11 members, depending on the population of the commune. Every commune council has a commune chief who also acts as presiding commune councillor. Chief may also appoint advisory committees. In addition, the Ministry of Interior (MOI) requests each commune council to establish the following two committees namely Planning and Budgeting Committee (PBC) and Procurement Committee in order to receive funding. The PBC has a critical function in local public expenditure management and in which each village is represented by two persons (one man and one woman). PBC prepares Commune Investment Plans looking for the resources for each project. It also helps in preparation of draft budget for Commune/ Sangkat Fund which is submitted to commune council for adoption. These institutions are still evolving. Commune councillors do not find role for them in community mobilisation for planning although directly elected by people. People are often not fully aware about how different committees of commune function.

*Badan Perencanaan Pembangunan Daerah/BAPPEDA* (Regional Planning Agency) is the most important institution in Indonesia involved in local planning and budgeting process. BAPPEDA prepares draft of the planning documents and arranges *Muserembang* (multi stakeholder forum for planning). BAPPEDA consists mainly of administrative officials. This draft plan document becomes main basis of deliberations in the *Muserembang*. Later, The BAPPEDA chairman arranges final version of

RPJPD/RPJMD/RKPD, based on *Musrenbang*<sup>4</sup> result. DPPKA (Department of Finance), having expertise on public finance, prepares prediction budget. DPRD (legislative body) accords legal sanction to the annual plan budget document.

In the Philippines, Local Development Councils are the most important institution involved in local planning. These councils are headed by elected local chief executives, Captain at *Banrangay* level and Mayor at city level. Representatives of community, non-governmental organisations and local congressman are other members of these councils. LDCs may seek assistance from any official or agency in formulation of development plans and public investment programmes. These LDCs are also mandated to mobilise citizen participation in local development efforts. These LDCs meet at least once every six months or as often as necessary.

### (c) Programmes

In many East Asian countries participatory planning was introduced initially in programmes mainly focusing on poverty alleviation, supported primarily by multilateral funding agencies such as the World Bank, the Asian Development Bank (ADB) and the United Nations Development Programme (UNDP) sometimes prior to the enactment of decentralisation laws. Such programmes with community driven approach also helped strengthen local institutions and enabling policies for participatory planning and social accountability.

In Cambodia, UNDP funded SEILA programme launched in 1996 was aimed at poverty reduction in rural areas through design, implementation and continuous strengthening of decentralised systems for planning, financing and implementation of local development at the province and commune levels. The level of decentralisation made a quantum jump from programmatic level to institutional level when the effort was made to create commune councils as the lowest units of governance.

In the Philippines, KALAHYAN CIDSS (Kapit-Bisig Laban Sa Kahirapan- Comprehensive and Integrated Delivery of Social Services) is government's flagship poverty alleviation project which promotes community driven development. Implemented by the Department of Social Welfare and Development (DSWD) and supported by the World Bank, KALAHYAN CIDSS involves processes like participatory situational analysis, participatory development planning and resource allocation, organisational development and local structure enhancement, community mobilisation and volunteer development, social inclusion and community based monitoring and evaluation. The programme has also set up a grievance redressal system. Another programme, Japan Social Development Fund – Social Inclusion Project (JSDF-SIP) to address the social exclusion in poorest and conflict-affected areas has helped institutionalise participation in local planning.

Similarly, Indonesia has a major poverty reduction programme called Programme Nasional Pemberdayaan Masyarakat Mandiri (PNPM) designed to create employment, stimulate the local economy and to build community participation.

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<sup>4</sup> Musrenbang (Musyawarah Rencana Pembangunan) is a Multi Stakeholder Consultation Forum for Development Planning.

Mongolia too has Sustainable Livelihood Programme (SLP) which covers four activities, namely increase in quantity, quality and responsibility in the management of cattle; encouraging the community in development activities and planning; increasing access of rural communities to funding resources and securing the quality of programme implementation and increasing the capacity of the community.

These programmes have inbuilt components of encouraging community participation in planning and monitoring of projects. Detailed cases documented in this study show that these programmes have created a favourable background for future interventions in institutionalising participatory planning and social accountability. Earlier exposure of the community in participatory processes has made mobilisation and capacity building easier and more effective.

In Cambodia, enabling provisions such as accountability box, village planning meeting, reporting of meetings of commune councils etc. have not worked up to the expectation because of lack of awareness among people and CSOs are not active in organising and mobilising people. In Mongolia, detailed process of citizen participation in developmental planning at local level has not been laid out and institutions such as those in the Philippines and Indonesia have not been created, as yet. In Indonesia, decentralisation laws and government regulations on the regional planning process have detailed out processes and prescribed institutions for promoting participatory planning. This coupled with active presence of civil society and government champions in some areas have paid good results. These experiences need to be replicated in remaining parts of Indonesia too. In the Philippines too, enabling laws and regulations have rolled out processes and institutions to facilitate participatory planning. Aware citizenry and active civil society have made best use of these enabling laws, regulations, institutions and programmes. Local Development Councils have been effectively used for multi stakeholder negotiations and Community Based Monitoring Systems (CBMS) data has been used for planning as well as monitoring of previous plans.

Although legal frameworks and developmental programmes have made efforts to create an enabling environment for participatory planning in East Asian countries, best practices have emerged due to initiations of certain actors at national, sub-national and local levels. Following section mainly relates to cases selected in the mapping exercise.

### **3. Initiators and Stakeholders**

Initiatives for participatory planning may be a government initiative as can be seen in case of Cambodia and Mongolia or can be civil society initiated or can also be a joint initiative as is the case in the Philippines. However, it is seen in all the case studies from East Asian countries that other stakeholders also join in at some stage and contributed to enrich the process. If the initiative is local such as one in Pinbadao (the Philippines) and in Solo city (Indonesia) it is more likely to be sustainable and enhancing conditions for social accountability. Whereas if it is initiated from above or by an external agency like in Mongolia, sustainability will always be an issue.

There are five sets of actors involved in participatory planning in these countries at all levels: (a) national government, (b) local government authorities represented by officials and elected representatives who are the office bearers, (c) community represented by CBOs, citizen associations and also elected representatives who are not office bearers; (d) civil

society organisations represented by NGOs, media and academia and (e) donor agencies. While the governments at national level are responsible for providing resources as well as creating an enabling environment through the formulations of laws, policies, institutions and guidelines, the local governments are responsible for operationalising these legal-institutional frameworks and articulating community needs through elected representatives. Donor organisations provide resources through local governments and also provide expertise in formulating guidelines. CBOs, citizen leaders and elected representatives have a direct role in facilitating the articulation of community needs and priorities in planning. They also contribute resources in terms of labour, time and money and monitoring implementation of approved plans thereafter. CSOs advocate for creation of enabling policy environment and effective implementation of these frameworks, organise communities especially marginalised and mobilise them to participate in planning and monitoring implementation of approved plans. These actors or stakeholders can be seen playing all these roles and sometime more in the cases documented in this study.

In Cambodia, it is the village chief who convenes meeting for planning in the village and mobilises citizen for participation. Other councillors consolidate village plans and give final shape to Commune Development Plan. Community made financial contribution of nearly ten per cent in the projects and also contributed labour. NGOs also made financial commitment for funding development projects at commune level.

IPGI, a forum on participatory governance with administrative officials, civil society activists and academicians as its members, was the main initiator of participatory planning in Surakarta (Solo). IPGI advocated successfully with the city government and convinced senior officials to try out participatory planning and budgeting to solve long standing problems of social conflict and poverty. Mayoral decisions on promoting participatory planning in 2001 and 2002 gave fillip to such efforts. Later, arrival of democratically elected Mayor in 2005 fastened this process. Reformist Mayor passed local regulations on planning and budgeting paving way for participatory processes and invited all stakeholders to the *Muserembang* and other decision-making forums. *Muserembang* process has given role to all stakeholders in the planning process in Indonesia.

In Mongolia, initiation came from above. Asian Development Bank (ADB) and Government of Mongolia initiated Community Driven Development projects for urban poor in *ger* areas, which focused on involvement of community in planning, implementation, maintenance and monitoring of these development projects. ADB involved local NGOs and consultants for mobilisation and capacity building of community and local officials. Ministry of Construction and Urban Development (MCUD) served as main executing agency for the project. There was a project steering committee comprising representatives from Ministry of Finance, MCUD, local governments, public urban service organisations, and NGOs.

In the Philippines it was a local initiative supported by international, national and regional agencies. Mayor, the chief executive of municipality, wanted participatory processes in local planning. Other than the Municipality, government agencies such as Department of Social Welfare and Development (DSWD) and Department of Interior and Local Government (DILG), local NGO, Institute for Democratic Participation and Governance (IDPG) and Philippine-Australia Community Assistance Programme (PACAP) were the collaborators. Municipality was the primary implementer of the

project on embedding elements of social accountability through community driven development (CDD) approach. DSWD provided technical inputs regarding CDD technology. DILG provided technical inputs on the local planning process (LPP) and rationalised planning process (RPS). PACAP provided the grant fund and IDPG carried out secretariat functions and community organising for this project.

Several tools and techniques have been employed for local planning as well as enforcing downward accountability by the above mentioned actors in East Asian countries covered in this study.

#### 4. Tools and Techniques

These tools and techniques can be categorised into (a) need assessment tools (b) mobilisation tools (c) negotiation tools (d) monitoring tools. While need assessment tools such as participatory situational analysis in the Philippines and need assessment survey by commune councillors in Cambodia help assess the condition of the locality and communities residing in the locality and also help to understand what needs to be done to improve the existing situation. Mobilisational tools such as organising sectoral groups in Indonesia and forming and networking savings groups in Mongolia help organise communities and participate in the planning process. Negotiation tools such as District Integration Workshops in Cambodia, Municipal Learning Network in Philippines and *Musrenbang* in Indonesia help bringing different stakeholders at one platform where negotiation takes place while prioritising identified need to prepare a draft plan. Monitoring tools such as CBMS in the Philippines helps assess how projects/ programmes and activities are implemented and with what results.

In Cambodia, commune committee triangulates the demands made by people in village plans by carrying out need assessment plan for the villages. The commune councillors go from village to village and hold meetings with the community and prepare a database on the needs of the community. They collect information on the five indicators namely service delivery, economic, security, social and natural resource management. Needs assessment is then matched with the plans prepared by the villages and then the Commune Development Plan is finalised.

*Musrenbang*, a multi-stakeholder forum for development planning is an important Indonesian innovation. In this forum, the government and citizen formulate and decide together about programme priority that will be financed. *Musrenbang* is the main source for developing various plans – long term, middle term, or annual term. The planning documents are the main reference for allocating budget. Solo city has gone a step ahead of the official *Musrenbang* based planning. Planning is a formal agenda every year but emergency issues may also crop up and the multi-stakeholder approach in solving territorial and sectoral problems on regular basis is quite useful. Organising and capacitating various sectoral groups like pedicab drivers, street singers, street vendors, women and disabled persons to participate in *Museranbang* is an important strategy adopted by CSOs in the Solo city.

Establishment of saving groups is an important community mobilisation strategy employed in the community driven development project for poor in *ger* areas. The project provides support and training to establish savings groups, to form together larger legally registered CBOs of 200-300 household. These CBOs are then involved in planning, implementation, maintenance and monitoring of development sub-projects.



In the Philippines, Community Based Monitoring System (CBMS) is used to generate information for local planning. CBMS intends to fill the information gaps in diagnosing the extent of poverty at the local level, determining the causes of poverty, formulating policies and programmes, identifying eligible programme beneficiaries, and assessing the impact of policies and programmes. CBMS adopts a set of core indicators that cover on the basis of the multi-dimensional aspects of poverty and have been confined largely to output and impact indicators. Another tool used in Pinabacdao municipality of the Philippines is Participatory Situation Analysis (PSA). The status of the *Barangay* in terms of various development sectors is presented and analysed by the community and officials through PSA and it is facilitated by trained community facilitators. Creation of a learning network at the municipality level is an important innovation. Government officials, elected representatives and citizen leaders are members of this network and regularly meet to learn together and exchange views on participatory processes and development related issues.

In Cambodia provision for sharing of meeting minutes of the commune council in the village meetings as well as village notice board and accountability boxes are important tool to promote downward accountability. To handle complaints of the people, government in Cambodia has introduced 'accountability boxes' in each commune across the country. People deposit anonymous complaints about misuse of commune fund or poor quality of projects or poor service delivery. Boxes are opened monthly by the officials of provincial authorities. In Indonesia, proactive disclosure of budget information in the form of poster displayed at important public spaces is an important exercise to promote downward accountability. Modeled by NGOs, local government has adopted this method of proactive disclosure.

Similar proactive disclosure and access to information is witnessed in community driven *ger* areas project in Mongolia. Sub-project accounts in the project are open and available for inspection by the community. The community is engaged through various participatory techniques e.g. maps, venn diagrammes and flow diagramme to determine their level of satisfaction with the sub-project. Sports days are organised once a month among two *bag* communities to enhance transparency of activities and to support knowledge and information sharing. During such activities, local communities publicise their activities by introducing their information boards and learnt from others about how to organise and update their information boards to disseminate up-to-date news and activities about their group as well as their sub-projects.

Most of above mentioned tools and techniques promote participation in planning and social accountability. East Asian countries may learn from each other, adapt and adopt these tools and techniques to strengthen local governance.

## 5. Steps and Processes

While in the Philippines and Indonesia, detailed processes of participatory planning have been outlined through enactment of laws and through departmental regulations, such details are not evident in Cambodia, Mongolia and Vietnam. In Indonesia and Philippines we witness local regulations on planning process.

In Cambodia, all communes prepare a five-year Commune Development Plan (CDP). The Plan is to be prepared and approved by the councils in the first of the five years of their mandate, and must be reviewed and updated yearly. The CDP is meant to provide the

framework for a multi-year Commune Investment Programme (CIP) and for the preparation of the annual budget. Communes facilitate in preparation of CDPs by initiating the bottom-up process at the village level. Village chief (nominated by commune council in each village) convenes the planning meeting in the month of July every year. All the villagers are informed about the meeting. Sometimes these meetings are attended by commune council members and officials of the government but their presence is not mandatory. The participants in the planning meet prioritise the development needs of the village and sent it to commune council. Commune council then meets to discuss the plan send by the villages, thereafter, it prioritises the projects (infrastructure as well as service delivery) for the whole commune, which is named as Commune Development Plan. Once the CDP is finalised, commune council sends it to District Integration Workshop for consolidation of CDPs at the district level. Similar exercise is carried out in India by District Planning Committee, which consolidates and integrates plans prepared by rural local self-governing units and urban local self-governing institutions. In the District Integration Workshop, commune councilors formally interact with other agencies involved in local development and articulate local demands of infrastructure and services. Commune Planning and Budgeting Committee (PBC) prepares CIPs to look for resources for each of the projects. PBC also helps in preparation of draft budget for Commune/*Sangkat* Fund which is submitted to commune council for adoption. The District Integration Workshop not only discusses integration of commune, line department and aid agency development plans for the next year but also reflects on the implementation of development activities in the previous year. Some of the projects, which are not approved by DIWs are being taken up for implementation with the help of Commune/*Sangkat* Fund.

In Indonesia BAPPEDA is to consolidate and synchronise all five kind of inputs: (a) government priority at provincial and national level, (b) Mayor's initiatives (vision and mission), (c) evaluation of previous annual development plan, (d) people's aspiration (*Musrenbang*), legislative's aspiration/input and prepare a draft plan. A long-term city strategic plan (for 20 years) and mid term city strategic plan (for 5 years) are prepared on the basis of Mayor's vision and mission. Each line department also has to prepare their own strategic plans. Mid-term plan is then divided into action plans. These action plans become the base document for the BAPPEDA to begin the annual planning and budgeting process. There are two lines of participation: first sectoral and second territorial. Sector based discussion is held first within different groups such as group of artisans, educationist etc. Later different groups discuss together and finally sector based discussion is held at the city level. Participation in territorial planning starts from smallest neighbourhood unit RT and RW. At this level all households are involved. In the *Musrenbang* at the *Kelurahan* (village) level representatives of these RT and RW participate and proposals from these *Kelurahans* are then consolidated and discussed in the *Musrenbang* at *Kecamatan* (sub-municipal) level where representatives of *Kelurahan* also participate. In the discussions in *Musrenbang* at different levels, any citizens other than formally invited representatives can participate without right to vote. These two lines of participatory processes produce documents of issues and proposed activities. All such documents are sent to concerned departments. Forum (SKPD) within each department synchronises these proposals with line department activities and draft plan and budget for each department is prepared. All such draft departmental plans are consolidated to prepare a draft city plan (RKPD), which is presented and discussed during city level *Musrenbang*. In this city-level *Musrenbang* it is decided what will be the funding distribution between city government and provincial government for the

various activities. Outcome of this *Musrenbang* is the draft with different components: city level budget funded by local government budget, regulatory basis and proposals that will be funded by other stakeholders (community, NGOs, private sector). With this Draft Consolidated Plan (RKPD) fixing the specificities, budgeting process begins. Budgeting is a technocratic process entailing matching the draft plan with two policy documents (a) general policy on budget (b) prediction budget<sup>5</sup> of all department made by BAPPEDA and Department of Finance. This process results into draft of final city budget (RAPBD) in which activities of each line department with definite budget are given. A public hearing is organised before it is sent to legislative council (DPRD) for legal sanction. Once such sanction is obtained this document is called Annual Plan Budget Document (APBD).

Mongolia is producing two types of planning - land use planning and urban planning. Land use planning in a market economy is new to Mongolia. Before 1990s the land use planning was mainly directed in the agricultural areas of the country. In the cities, the planning was mainly concerning the urban planning and development. Ideally, the land use plans and urban plans should be well coordinated and the urban planning should be produced strictly based on the land use planning. However, in Mongolia, the land use plans and urban plans are not really coordinated and often there are situations that the urban plans are not following the land use plans. In the CDD project in *ger* areas, Urban Development Resource Centre (UDRC) facilitated participatory planning workshops for interested community groups to identify and prioritise community needs and helped ensure that the planning process was inclusive. With facilitation by UDRC, voluntary community groups (savings groups and CBOs) identified and prioritised needs and developed a comprehensive plan for mitigating identified problems. The community group or a nominated sub-project committee then developed proposal and budget for the priority sub-project with assistance from UDRC and community mobiliser. The proposal must include both an operational and maintenance (O&M) plan and a monitoring and evaluation (M&E) plan. After the sub-project proposal is evaluated and approved, the community group manages the implementation of the sub-project, including (i) handling the funds; (ii) procuring materials and transportation; and (iii) hiring contractors, laborers, and/or consultants.

In the Philippines, the formulation of the development plans at various levels follow a dynamic combination of 'top-down' and 'bottom-up' process. This means, for example, that Comprehensive Land Use Plans (CLUPs) should be based on analysis of *barangay* situation. At the same time, *barangay* development plans should be guided by the overall thrust of the municipality as defined in the CLUP and Municipal Development Plans. The policies, programmes, and projects proposed by LDCs are submitted to the *sanggunian* concerned for appropriate action. The local development plans approved by their respective *sanggunian* is integrated with the development plans of the next higher level of LDC. The Department of Budget and Management furnishes the various LDCs information on financial resources and budgetary allocations applicable to their respective jurisdictions to guide them in their planning functions. For harmonisation and synchronisation of local planning, investment programming, revenue administration, budgeting and expenditure management, Local Planning and Development Coordinators (LPDC), Local Budget Officers and Local Treasurers update their respective planning databases from January to March every year and LPDCs

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<sup>5</sup> Department of Finance (DPPKA) prepares prediction budget of 10 sectors every year and deliver them to line departments. It is based on prediction of local revenue and strategic plan.

analyse the planning environment. LPDCs formulate the guidelines for reconstituting the LDC and Local Chief Executives (LCE) convene their reconstituted LDCs. Comprehensive Development Plan (CDP) is prepared following a process of analysis of the existing situation, goal, strategies and objective/target setting, and culminating in the identification of strategic Programme, Plans and Activities (PPAs). LDCs also prioritise and match PPAs with available financing resources, in the process of formulating the multi-year Local Development Investment Plan. LDCs cut out the Annual Investment Programme (AIP) from the current slice of LDIP, which upon approval of the *sanggunian*, serves as the basis for preparing the executive budget. In Pinabacdao this process was complemented by participatory situational analysis. The initial step involved orientation at the *barangay* level where the objectives and process were shared. In the PSA process status of *barangay* in terms of various development sectors was analysed. A visioning exercise was conducted describing what the community perceives to be the role and picture of *barangay* in long term. Based on the analysis of the situation and vision of *barangay* programmes, projects and activities were identified and prioritised.

While in case of Indonesia and the Philippines we see that the needs and priorities identified by people become the basis of draft plan and budget and then it also gets validated by local assemblies. Whereas in case of Cambodia once the draft plan, investment programme and budget is prepared on the basis of village and commune meetings, there is no process of validation by assembly of people or by assembly of people's representatives. Similar is the case in Mongolia.

Observing different steps and processes of participatory planning in above mentioned countries, the following lessons emerge:

- A combination of bottom up and top down processes enhance the ownership of the planning process among all stakeholders.
- Integration and aggregation of village/commune level plans with district level plans ensure tapping resources from higher tier of governments.
- 'Activity Mapping' across different levels of governance institutions holds key in effective participatory planning – e.g. commune council, district council and provincial council in Cambodia.
- Widening the consultative processes at the planning stage makes the process inclusive and acceptable e.g. neighbourhood based discussion as well as 'sectoral' or 'interest' group discussion in Indonesia.
- Combination and compatibility of long-term strategic plans, mid-term plans and annual plans have ensured sustainability of the processes and policies.
- Revalidation of 'draft plan' by the community and their elected representatives ensures 'double accountability'.
- Continuity of participation in planning-implementation-monitoring-assessment/evaluation ensures social accountability and produces better developmental outcomes.

## 6. Impact on Social Accountability

Participatory planning in East Asian countries, wherever practiced in real sense, has made positive impact on strengthening and institutionalising social accountability. Participatory planning has led to dissemination of information including information on

planning process, budget allocations and assessment of previous performances. It has also set up and strengthened grievance redressal by making available a system, giving it publicity, ensuring effectiveness of that system and responsiveness of authorities in addressing registered grievances.

Participatory planning is possible only when information, particularly regarding available resources, achievement of previous plans, existing socio-economic status of people are available to all stakeholders. "In Indonesia's *Kecamatan* Development Plan, village committees must report back to the general village assembly at least twice during sub-project implementation to discuss progress and financial status" (Wong 2005, 253). Although such mechanism is not available at the city level, executive has to send quarterly report to the legislative (DPRD) whose members are directly elected by people. Similarly, Commune Administration Law in Cambodia provides that minutes of commune meetings are to be sent to village chiefs and are to be disseminated in village meetings. However it seems this provision is not being implemented, as people are not aware of such minutes. Similarly, community monitoring has increased in Solo City (Indonesia), Pinabacdao (the Philippines) and Erdenet (Mongolia) where sense of ownership has enhanced due to participation in the planning process. In Solo city, women groups were actively monitoring implementation of annual budget at *Kecamatan* and neighborhood levels. Similarly, in Pinabacdao, senior citizens are quite active in implementation and monitoring of projects identified during planning process. In rural areas of Indonesia and the Philippines "each village forms an independent committee responsible for overseeing contracts, procurement, finances and implementation of development projects. These committees must report on financial status and physical progress at various stages. Provincial journalists and NGOs are also invited to act as watchdog over the proper use of public development funds. Together these mechanisms provide a system of checks and balances to help keep local governments accountable" (Ibid). However, this mechanism is effectively functional only where community is mobilised to participate in affairs of local governments. In case of Mongolia, monitoring and evaluation (M&E) is a necessary component of the sub-project proposals and CBOs carry out those functions.

Impact of participatory planning could also be seen in registering and redressal of grievances. In Solo city, earlier people did not have confidence in administration and did not approach officials even if they had any grievances. But now they know whom to approach for what and are registering their complaints and following them up. In Pinabacdao also, government officials felt a substantial increase in number of complaints. People there, are also going to higher-level authorities with their complaints against the local level authorities.

## 7. Issues and Challenges

The analysis of four case studies from Indonesia, the Philippines, Mongolia and Cambodia also highlights a number of challenges with regard to institutionalising social accountability in participatory planning process. Some of them are described below.

### (i) Capacity Gaps

All stakeholders in participatory planning should have basic knowledge and skills needed to make it happen. It is observed in East Asian countries, local governments have

not prepared themselves in acquiring such basic knowledge, tools and techniques of participatory planning process. There are also gaps in flow of information. Similarly CSOs do not have capacity in technical aspects of planning, for example in urban planning. Some of them are also not well versed with government procedures and do not possess the necessary skills to negotiate and engage with government authorities.

## (ii) Low Participation

Despite enactment of decentralisation laws and regulations promoting participatory local planning in East Asian countries, discernible gap in administrative capacity and commitment to facilitate participation, lack of community awareness and mobilisation, participation in planning and implementation of development projects is still very low barring a few good practices. “Effective and inclusionary participatory planning exercises require careful thought on who participates, the mechanisms for and organisations/ institutions through which participation is realised, and what spaces and language are used to ensure the quality of participation” (Logolink 2002, 31). Apart from a general low level of participation, attendance and articulation of demands by the most marginalised sections of society is still very weak in these countries. Democratising participation and accountability is a big challenge. In case of Mongolia, detailed process of participatory planning has not been laid out by government and hence peoples participation in planning is not witnessed.

In Cambodia, the plan meetings are organised in July, which is not an appropriate period from the viewpoint of participation. July is the rainy season when paddy is sown and majority of males are busy in agricultural fields away from usual places of meeting. Participation in planning is very sporadic and infrequent as people are not literate and do not realise the importance of planning process. In most of the villages the village chief prepares plan on his/her own. Wherever, NGOs and traditional associations like faith based organisations are mobilising people, participation is better. In Indonesia too, apart from districts and cities where civil society and academia are involved in community mobilisation, participation in planning process is still low and marginalised groups hardly take part in the discussion and put forward their demand. Facilitation of *Musrenbang* process is also not very effective in terms of generating active participation from marginalised sections. Many government technical institutions responsible for preparing plan and budget documents do not participate in *Musrenbang* at *Kecamatan* level and hence are not in touch with needs and concerns of community. In the Philippines participation of people largely ends with identification of programmes and projects and do not continue further at the stage of implementation and monitoring of local plans.

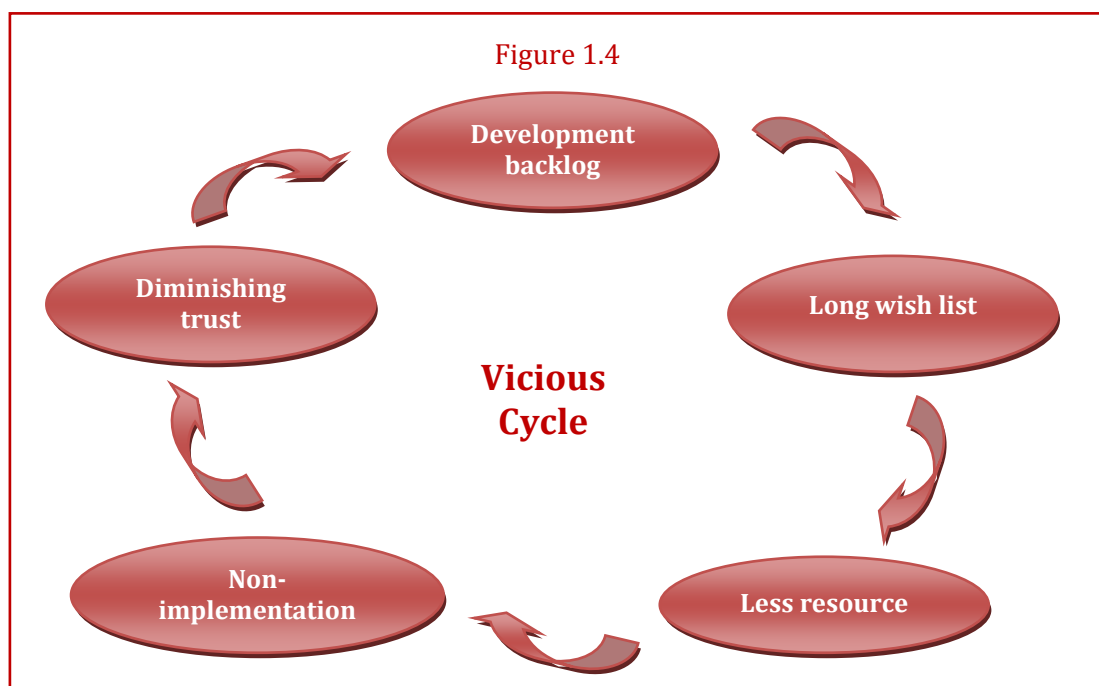
However, as witnessed in the cases documented as part of this study, community awareness, mobilisation, acceptance of people’s genuine demands enhances participation. In India, it has been witnessed that community meetings at sub-village (ward) level prior to meetings of village assembly has enhanced participation substantially.

## (iii) Long Wish List

As explained in Figure 3, in most East Asian countries there is big gap between aspirations of the people and resources available to the local governments. The

development backlog, coupled with lack of community's awareness about the available resource envelop leads to people proposing long wish lists, which are not realistic. Non-realisation of these demands has a negative impact on participation and confidence in the local governments.

It is also seen in Cambodia that not all demands of people articulated in the plan are met. People get disappointed when their demands related to education, health and livelihood are not approved but they have also accepted the fact that government has limited resources and all demands can not be met. However, this demotivates them and they become reluctant to participate in the planning meetings in the next year. Non-participation of people can also be seen when it comes to giving their land for road construction and irrigation canals. Commune councilors convene consultative meetings to convince them of the needs of the projects for development of the community. In Indonesia a large proportion of annual budget goes in maintaining the administrative structure, which is huge, and hence only 20-30 per cent funds are available for development works. Number of projects demanded exceeds the budget estimation and hence it is impossible to fund all those projects. These proposals are micro in nature and are not converted into strategic proposal.



#### (iv) Weak Downward Accountability

Despite sporadic effort to enforce downward accountability, corruption, clientelism and bureaucratic capture is common trend in East Asian countries. Although in some countries freedom of information act are in place but providing information is still seen as a favour. Accountability mechanisms are not optimally used by the people due to lack of awareness, accessibility and appropriate action. "Countervailing powers representing a broader range of public interests, such as the media and NGOs, are generally less developed in local jurisdictions... with limited resources, low capacity, weak links to national networks, and significant government interference in their activities, local

NGOs still tend to play a restricted role in holding local governments accountable” (Edgardo 2005, 240).

In Cambodia, role of commune is limited to making plans while implementation is done by other agencies. However, there is role for commune in monitoring and evaluation which is carried out through a committee on monitoring and evaluation. Despite this mechanism of monitoring, there are several complaints of citizens especially related to service delivery like health and livelihood projects etc. Accountability boxes are hardly used as these are far away from their homes and people are not aware of availability of such boxes. Accountability mechanisms in Indonesia are not fully operational and utilised. While Freedom of Information Act has come into place, only some NGOs and activists have made use of it. Only where people are organised and mobilised, they monitor implementation of projects and register their complaints if any. Freedom of Information law is still in draft stage and has not been enacted so far in the Philippines. Without access to relevant documents and records people cannot make local governments accountable.

Above mentioned issues and challenges are interlinked and create a vicious cycle. Interventions at any stage of this cycle may help institutionalise participation in planning process at local level and making local authorities accountable to its citizens.

## 8. Strategies

### (i) Improvise Legal Frameworks

Enabling legal framework for decentralised participatory planning to empower the local governance institutions and providing space for civic engagement is necessary requirement for mainstreaming social accountability through participatory planning. Although such legal frameworks exist in most of East Asian countries, it is important that these need to be reviewed, rationalised and harmonised periodically so that laws are in sync with each other and that there are no contradictions between different laws (Logolink, 2002 16). At the same time, advocating for enactment of new laws, policies and guidelines wherever lacking needs to be part of this strategy. These laws need to be followed with appropriate rules and regulations detailing out procedures and responsibilities. Legal mechanisms need to be established enabling citizens to hold local authorities accountable.

### (ii) Space and Resources to CSOs

Democracy in East Asian countries is yet to be matured and often lacks healthy democratic traditions. Hence, inculcating participation and demand for accountability depends on civil society intervention in the form of collectivisation and mobilisation. However, we observe that in many of these countries invited spaces and resources for civil society action are highly constrained. While spaces and resources for CSOs in Cambodia, Vietnam, Mangolia are almost non-existent, these are highly constrained in Thailand and Indonesia. Ideological, ethnic and religious conflict has further constrained these spaces. For example, certain regions of Indonesia and the Philippines are facing ideological or religious extremism making it difficult for people to assemble and to freely express their opinions. Cambodia and Vietnam has faced internal conflicts in the past. “Civil society work in Cambodia is still in its formative stages because democracy is relatively new and the country has to make up for its lack of



professionals, a legacy of the Khmer Rouge era. In the Philippines, the NGOs had little funding support to enable them to participate effectively in Local Development Councils, and the groups that participated in Local Development Councils did not have the skills and technical expertise needed to fulfill their mandates. Similarly, lack of funds has impaired citizens' report card projects in the Philippines" (World Bank 2005, 28-29). Cases of good practices documented under this study also establish the need to strengthen civil society for mainstreaming social accountability through participatory planning. In Solo city there is vibrant civil society and a long tradition of civic action, mostly against the authoritarian regime of Suharto. Similarly in Pinabacdao participatory planning and downward accountability was possible because civil society partnered with local authority and played instrumental role in mobilisation and capacity building of the community. However these types of sporadic interventions are also highly dependent on resources from international donor agencies who many times are more concerned about efficiency rather than sustainability of participatory processes and accountability mechanisms. And hence a national policy providing space to CSOs followed by appropriate budgetary support is necessary to mainstream social accountability through participatory planning. Induction of NGO representatives in Local Development Councils in the Philippines, engaging NGOs in India as technical support institutions in comprehensive district planning are good exemplars. Regional and national network of CSOs promoting participation and social accountability may be useful. "Local civil society groups may be more effective in promoting accountability if they can rely on the capacity and power deriving from their national network" (Edgardo 2005, 251). At the same time, capacity building of CSOs in facilitating participatory planning, in technical aspects of planning and in engaging with other stakeholders is also desired.

### **(iii) Sensitising and Capacitating**

Policy frameworks can only be effective when government officials and elected representatives, apart from CSOs, are committed and have capacity to facilitate participatory planning. Capacity building includes "understanding the contexts within which participatory planning happens, planning capacities (technical, integrated, facilitating participation of various sectors), and knowing how to work in teams, lobbying and negotiating so that plans are integrated...and covers the range from re-orienting people to actual skill building." (Logolink 2002,40).

Otherwise local misinterpretation, manipulation and non-compliance will make national laws ineffective as is happening currently in many East Asian countries. In Solo city and Pinabacdao municipality cases Mayors are reformists and there are few more champions in government and civil society who have advocated for and facilitated participatory planning and have also promoted community monitoring of implementation of local plans. Such commitments and capacities come from participation in exposure visits, training programmes and dialogues with different stakeholders on the relevance of participatory planning and downward accountability. Ensuring active participation from those who are attending meetings for planning and especially from marginalised groups needs effective facilitation skills that need to be created at the local level. Creating a cadre of citizen leaders capable of organising, educating and mobilising community, through cascade model of training of trainers could be good approach of capacity building. Capacity building programme within local government authorities should be aimed at "developing and improving performance in four key areas; financial, capital, natural and human resource management" (Logolink 2002,25)

#### **(iv) Multi-Stakeholders Collaboration**

A broad collaborative partnership among different stakeholders: local authorities (represented by government officials and elected representatives), community (represented by CBOs/ citizen leaders) and CSOs (NGOs, academia and media) needs to be created at national, sub-national and local level which will work towards advocating enabling policy framework and most importantly towards effective implementation of framework to institutionalise participatory planning. Such collaboration can be seen in the form of 'Municipal Learning Network' in Pinabacdao, the Philippines. Usefulness of such multi-stakeholder approach is also established from experiences in other parts of the world. For example, in South Africa "the Foundation for Contemporary Research (FCR) was requested by one municipality to carry out Integrated Development Planning (IDP)... FCR organised the IDP Forum as a forum of all stakeholders. The FCR built the capacities of the IDP Forum to negotiate with the council, particularly around the community needs that the integrated development plans would have to address and respond to" (Logolink 2002, 17). In operations of Council of Participatory Budgeting (COP), which is deliberative body representing citizens and experts, in Porto Alegre, Brazil this multi-stakeholder approach is visible. "The executive drives the COP process by coordinating meetings, setting the agenda, having its departments present information before along interventions from the Councilors to seek clarifications" (Wagle 2003, 2). Collaborative and multi-stakeholder approach will not only help understand the local development needs and priorities from different perspectives but will also address concerns of each other. In such a collaborative action, one stakeholder complements efforts of other and strengths of all partners will be made use for common good.

#### **(v) Fiscal Devolution to Local Governments**

As mentioned earlier, confidence of people in many East Asian countries get eroded if important items of their 'wish list' are not accepted during the formulation and approval of local plans. Situation can be improved by strengthening decentralised financing. "Pitfall of many decentralised planning processes worldwide has been lack of resources to implement the resulting plans. Community Driven Development projects tackle this problem by providing finances directly from the national level to local level to implement community-identified priority projects." (Wong 2005, 259). Development backlog in several countries in East Asia region can be addressed through increasing resource envelopes for local governments. Provision of block grants or untied funds directly to local level will also attract additional financing from local government, non-government, private sources and from community. In Solo, corporates, donor organisations, NGOs and also community financially support local projects. Similarly, municipality of Pinabacdao successfully organised a donor forum to mobilise additional resources for projects identified during planning process. Incumbent Mayors of both cities have been instrumental in inviting resource providers. Plan documents prepared thorough participatory processes have proved to be an important tool for negotiating with potential resource providers. "In Cambodia, under the Rural Investment and Local Governance (RILG) Project, district integration workshops provide actors to fund projects identified through the local planning process" (Ibid, p.259). Apart from increased allocation of resources to local governments, reliable and predictable schedule of disbursement of these resources need to be followed by the national governments. Financial devolution to local governments will not only enhance participation in local planning but also increase legitimacy of local governments.

# **Section 2**

## **Detailed Case Studies**

# Participatory Planning in Indonesia: Case Study of Surakarta (Solo), Central Java, Indonesia

## 1. Introduction

Citizen participation in planning and budgeting is relatively new in Indonesia. Under Suharto's highly centralised 'New Order'<sup>1</sup> regime, local service delivery agencies were administrative instruments of remote national ministries and un-responsive to the individual priorities and problems of varied local communities (Dixon and Hakim 2009, 120). Centralisation of authority and responsibilities and concentration of power in bureaucracy created a culture of command and control with little concerns for citizen's preferences and needs. (Shah and Thompson 2004, 31). In providing a political basis for this highly centralised political arrangement, the Suharto government channeled much of its energy into weakening local power. In doing so, one important strategy was the institutionalisation of a highly centralised and bureaucratic local government (Pratikno 2005, 59).

With the stepping down of Suharto in 1998, the process of democratisation and decentralisation started in Indonesia. Under the democratisation process, state control over the society declined significantly and civil rights like individual freedom of expression started being recognised. State's declaration of support for decentralisation and democratisation in 1999 was the beginning of decentralisation process. Since 1999 a number of new laws including those on political party, election systems, local government and government regulations were promulgated. Law No. 22 (1999) decentralises authority to the district and municipal level more than to the provincial level. The authority of the national government is limited to five areas of public affairs: international relations, defence, monetary policy, religion and the judiciary. The law also strengthens the position of the parliament at the district and municipal levels, giving it the right to determine local regulations and elect the head of region without any interference from the central government. Law No. 25 (1999) on central-local government financial relations stipulates that at least 25 per cent of the national revenue should be allocated to local governments as General Allocation Fund. 10 per cent of the General Allocation Fund is for Province and 90 per cent is for *kabupaten* (rural district)/ city. This law has also introduced sharing of revenues generated from natural resources such as oil, mining, forestry and fishery between central and local governments.

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<sup>1</sup> 'New Order' is the term coined by former Indonesian President Suharto to characterise his regime as he came to power in 1966. Suharto used this term to contrast his rule with that of his predecessor, Sukarno (dubbed the "Old Order," or *Orde Lama*). The term "New Order" in more recent times has become synonymous with the Suharto years (1965–1998).

This process of democratisation and decentralisation set in motion a fundamental reshaping of local planning, budgeting and other aspects of public finance management. The desired reform include unifying the budget, simplifying treasury function, increasing planning and financial management transparency, linking planning to budgeting and making these performance based, and preparing budgets within a medium term expenditure framework (USAID-DSRP2006, 98).

## **2. Policy and Legal Frameworks**

Following Acts have been the basis for participatory planning and budgeting in Indonesia in recent years: (i) Act No. 17 (2003) about the State finances, especially Article 17-20; (ii) Act No. 25 (2004) about national planning system, especially Article 21-27; (iii) Act No. 32 (2004) about local governance, especially Article 150-154 and Article 179-199; (iv) Act No. 33 (2004) about financial balance between central and local governments, especially Article 66-86. Public Financial Management is also regulated by Act No. 1 (2004) about the State treasury (Suhirman 2005, 22).

Under the Law No. 32 (2004) on local government the number of obligatory functions is 16 but there is a lack of clarity on division of responsibilities. The major funding source for local governments is the General Allocation Funds mentioned in the previous section. Some local governments also get revenues through a mechanism for sharing of revenues from natural resources. Law No. 32 (2004) has significantly improved the conditions for accountability of regional governments, direct election of regional heads being the most important improvement. Previously, regional parliaments' had the power to impeach executive heads based on their accountability reports. This mechanism was mainly used to seek rents and under Law No. 32 (2004) regional parliaments no longer have this power.

However, above-mentioned Acts do not regulate the substance and process of planning and budgeting in detail and the more detailed processes are to be given in regulations flowing from these Acts. One of the most important Government Regulation No. 8 (2008) on the regional planning process flowing from the Act No. 32 (2004) has detailed out the content and process of planning. It provides normative goals for development planning and seeks to make it an inclusive process. It also strengthens the integration of development planning to spatial planning<sup>2</sup> and of planning with budgeting through medium-term expenditure framework. Government Regulation No. 59 (2007) has also introduced some notable elaborations or changes. These relate to civil society funding and civil society participation. The regulation clarifies that regional governments cannot continuously provide funding or other support to the same non-government organisations. This same regulation also obligates the regional government to review the General Budget Policy in an open way, involving civil society. This openness allows civil society to assess the survival of project proposals made in through bottom-up process (Suhirman 2009, 2).

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<sup>2</sup>Spatial planning includes all levels of land use planning including urban planning, regional planning, environmental planning etc.

### 3. Surakarta: An Introduction

Surakarta, also known as Solo, is one of the important cities in Indonesia. It is regarded as the cultural and trading center of Java. Established in the 18<sup>th</sup> century, when the capital of the Mataram Kartasura Kingdom was moved to a village known as Solo in 1745. Solo became the capital city of the new Kingdom called Surakarta Hadiningrat. After Indonesian independence in 1945, the formal political position of Surakarta kingdom ended.

Modern Surakarta is situated in the province of Central Java and is a middle-sized city having population slightly over 750,000 at night, which rises to 1 million during the day (Pratikno, 2005, 62). A vast majority of population are Javanese with minority ethnic groups being Chinese, Arab and Indian. Economic inequality, feudalistic attitude is part of Solonese society. Minority Chinese ethnic group dominates the textile and batik painting industries, the most important business activities in Solo. The majority of indigenous Javanese are poor. Therefore, relations between the Javanese majority and Chinese minority have been problematic throughout the history of Surakarta. Chinese minority and senior bureaucrats are perceived as responsible for poverty problem in Surakarta leading to society's distrust of the government. Symbols of government and the ethnic Chinese have been the main targets of social and political violence.

#### (a) Local Governance Structure in Surakarta

There are two layers of government below the municipal government which are known as the *kecamatan* (sub-district or sub-municipal) government and the *kelurahan* (village) government. Surakarta is divided into 5 sub-districts (*kecamatan*): Banjarsari, Jebres, Laweyan, Pasar Kliwon, and Serengan. The Surakarta municipality controls 11 important public affairs including education, health, social services and land administration.

#### (b) Planning and Budgeting Process

##### Practice Before 1999

Before the political reform in 1999, representative body called LKMD (Lembaga Ketahanan Masyarakat Desa) used to decide development planning at the village level. The members of this institution were appointed by the village head who was also the head of LKMD. There was no obligation to include villagers in the planning process resulting in the village head monopolising the entire process. For the formulation of municipal planning and budgeting, the proposals of the village governments were compiled at the sub-municipal (*kecamatan*) government level. This level of government had to prioritise programmes based on the village's proposals. Since no village representatives were involved, bureaucrats of the sub-municipal governments had full freedom to decide, regardless of proposals sent by the village governments. The proposals of the sub-municipal governments were then submitted to the municipal government and discussed in the meeting of the municipal planning body, consisting of all sectoral agencies and the heads of sub-municipal governments. In a centralistic political system, the bureaucracy at the municipal government level could easily ignore proposals of the sub-municipality governments. Based on the plans formulated, the municipal budgeting committee, consisting of bureaucrats and council members, drafted

budget and presented before the municipal council. The council, dominated by political party of the government, approved whatever was proposed by the committee. Thus the planning process was of a top-down nature in practice although officially it was proclaimed to be bottom up.

## The Change: Causes and Initiatives

Between 1911 and 1998, Surakarta witnessed at least 11 major riots relating to economic disparities, political and social issues. The most serious violence surrounding the downfall of the Suharto regime in 1998 resulted in loss of US\$ 58,823,529. Approximately 10,000 people lost their jobs and it also created unemployment for around 50,000 to 70,000 people (Kartono 2004). Until 2000, CSOs in Surakarta were unable to convince the municipal bureaucracies and politicians to be more open to a participatory planning and budgeting. Following the riots and violence in 1998-99, CSOs argued that the political crisis was caused by centralised policy-making process, which excluded people over three decades. Community participation in local planning process was seen as a mechanism to overcome the socio-economic inequalities and mutual distrust.

Following political reform in 1999, name of the former LKMD was changed to LPMK (Lembaga Pemberdayaan Masyarakat) and various village institutions were involved in the planning process. The LKMD and the *kelurahan* planning processes now function only as facilitators, and the funding of *Kelurahan* Development Meeting came from the Municipal Annual Budget (APBD) (Sugiantoto 2003, 100).

Around that time Pak Qomaruddin, the then Planning Officer, became part of a Ford Foundation supported Study Tour on Decentralisation and Participatory Governance in the Philippines in 2000. On his return, he shared with the Mayor, members of local legislature and other staff what he had learnt in the Philippines and appealed to introduce participatory planning in Solo. Initially he faced stiff resistance from most of the officials and members of legislature as they feared losing their traditional power. Meanwhile he continued to network with NGOs to pursue participatory planning as a means to empower people. Study tour to the Philippines inspired formation of the Indonesian Partnership for Local Governance Initiatives (IPGI), a tripartite partnership involving local governments, the academia and NGOs. Qomaruddin was chosen to be the local government partner for the IPGI Presidium in Surakarta (Logolink 2002, 18-20).

The process of planning and budgeting in Solo, in 2000, was just the same as previous years mentioned above.

### (c) The Initiators

IPGI Solo conducted discussions at local level to arrive at an appropriate planning process. These discussions involved Planning Agency (BAPPEDA), the State University of Surakarta and Gita Pertiwi, a local NGO involved in environmental and governance issues (Sugiantoto 2003). A research on the role of LKMD was conducted in 10 selected *kelurahan* in Solo. The research found that the domination of LKMD in development planning at *kelurahan* level created high community resistance to the role of LKMD (IPGI, 2004). IPGI Solo persisted in their efforts to introduce change through participatory pilot projects in the ten villages previously researched.

As a result of initial effort by Qomaruddin and IPGI, Solo city government made a radical change in 2001 by introducing direct community involvement through a mechanism called Participatory Development Planning (Perencanaan Pembangunan Partisipatif or PPP). Under Solo's Mayoral circular letter in 2001, the new planning mechanism began with development meetings at the *kelurahan*, Sub-municipality and municipality levels. Decisions then moved to the Regional Planning Board (BAPPEDA), and on to budget planning through the regional government, before projects were undertaken at community level. Local government officials at all levels have important role in identifying issues and preparing draft plan, getting it approved through the *musrenbang*<sup>3</sup> and also implementing and supervising implementation of plans.

However, in 2001 the new planning mechanism showed only a marginal difference. The increased community involvement in the process did not guarantee a significant change to the planning process because the community did not understand the methodology of participatory planning. First *Kelurahan* Development Meeting was conducted without any clear direction and there was no list of programme proposals. Local elites still dominated the process and focus of development still remained on physical infrastructure such as *kelurahan* office and *Gapura* (symbolic village gateway) (Sugiartoto 2003, 174-77).

Mayor's Decision on Promoting Participatory Planning and Budgeting Policy in January 2001 was further strengthened in the year 2002 by Mayoral Decision No. 410/45-A/1/2002, which stipulated following steps:

- (i) The first step to planning at village level is a meeting at each neighbourhood association, followed by meeting of neighbourhood representatives and village government officials (as organising committee) to draft rule of the game for general meeting and identifying some crucial issues. Finally in the General Meetings (*museranbang*) involving all households in village will discuss Organising Committee's drafts and propose development plans to sub-municipal (*kecamatan*) level and formulate village government budget allocation.
- (ii) Planning at the sub-municipal level will start with meeting of sub-municipal government officials and village representatives (as Organising Committee) to prepare draft rule of the game for general meeting and identify some crucial public issues. This will be followed by general meeting involving larger representation of villages, business community, CSOs and social leaders to discuss drafts of organising committees and proposing developmental plans to be submitted to the municipal government.
- (iii) Planning at the municipal level will start with Regional Development Planning Agency (BAPPEDA) at the municipal level organising a meeting with the heads of sub-municipal governments, chambers of commerce and CSOs to establish an organising committee, draft rules for general meeting, draft spatial and sectoral development plans based on the proposals received from sub-municipalities. The general meeting will discuss Organising Committee's draft and propose development plan to the municipal parliament.

In 2002, *Kelurahan* Development Meetings were conducted with a clearer direction and more support from higher levels of local government. For example Regional Planning Board collaborated with IPGI Solo to train 255 facilitators for 51 villages (IPGI 2004, 12-

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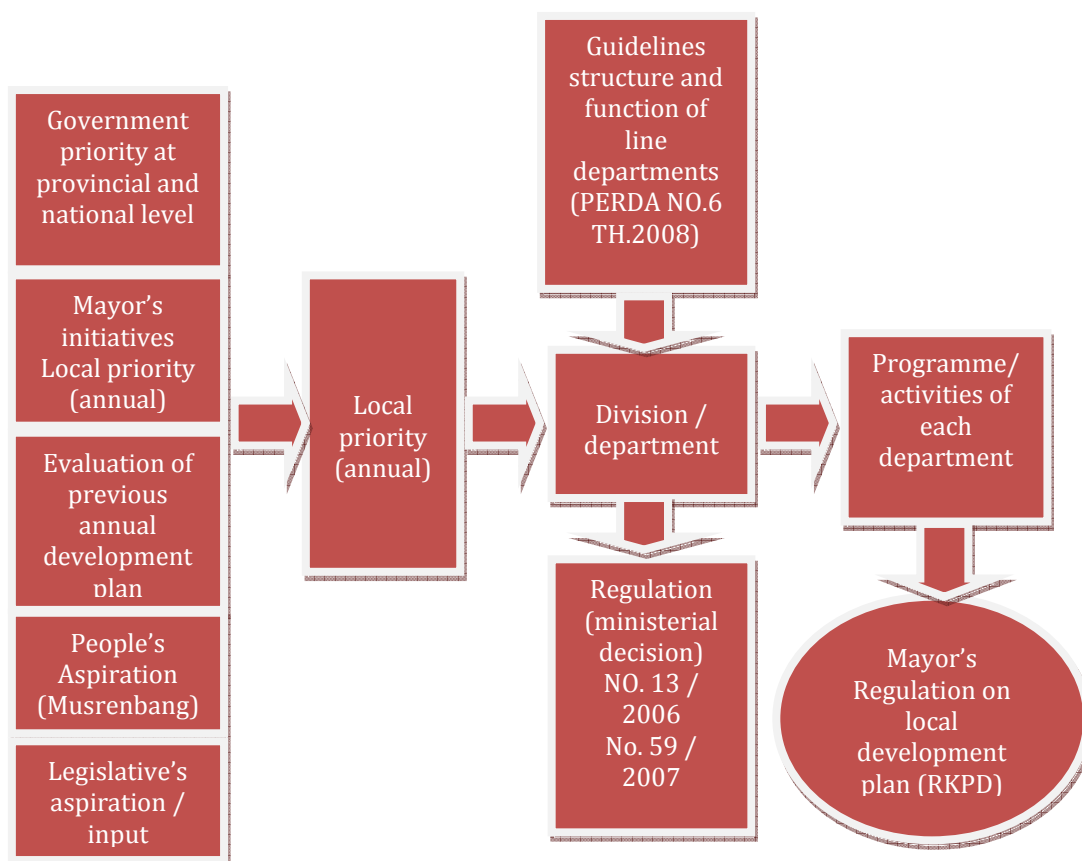
<sup>3</sup> Musrenbang (Musyawarah Rencana Pembangunan) is a Multi Stakeholder Consultation Forum for Development Planning.



13). The process started from neighbourhood meetings, which listed programme priorities to be discussed at sub-district meetings. Not all *kelurahan* were able to submit a list of priorities because of their limited capability in producing appropriate plan document, and in those cases the sub-district committee prioritised programmes based on data provided at the *kelurahan* meeting. During this period, community interest and involvement in *Kelurahan* Development Meetings increased, and although some *kelurahan* heads had difficulty gaining community participation, others attracted strong interest, with the highest involvement being 400 persons (IPGI 2004, 3)

In 2005, direct election of the Mayor was introduced under new local democratic system. Newly elected Mayor Joko Widodo (Jokowi) who was a reformist and believed in development through consultation introduced new mechanisms (e.g. Focused Group Discussion in sectoral committees) to accommodate marginalised sections in the process and hence improving the quality of participation in the planning. After election of current Mayor Joko Widodo (Jokowi) in 2005, this participatory process got a fillip. Since then officials of city government are taking this participatory approach more seriously and also involving all stakeholders in policy decision making.

Figure 2.1: Current Practice<sup>4</sup>



(Source: BAPPEDA, Surakarta, 2010)

As evident from Figure 2.1, role of the BAPPEDA is to consolidate and synchronise all five kind of inputs and prepare a draft plan. A long-term city strategic plan (for 20 years)

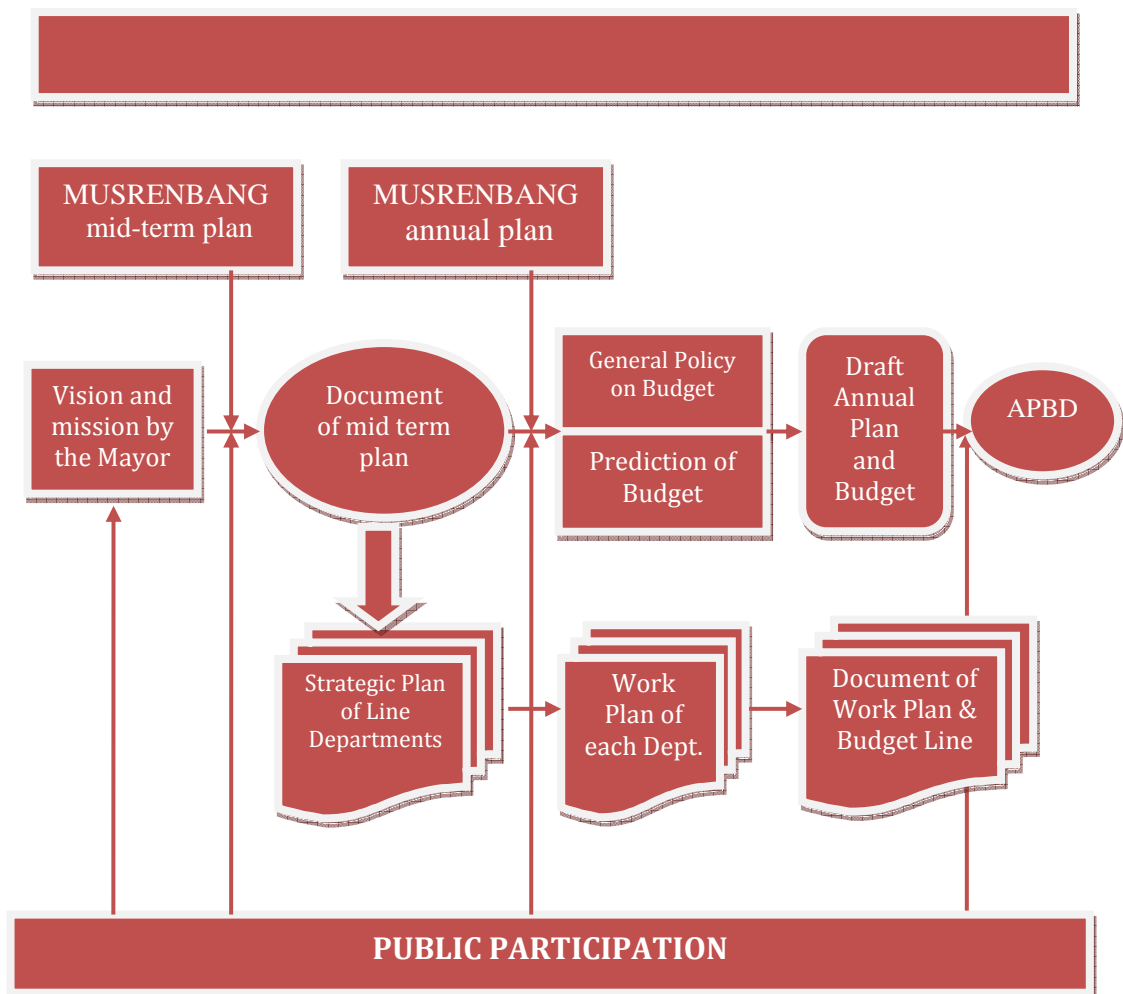
<sup>4</sup> Based on information provided by Mr. Anug Indro, Head, BAPPEDA, Surakarta during interview with him on 19<sup>th</sup> March 2010

and mid term city strategic plan (for 5 years) are prepared on the basis of Mayor’s vision and mission. Each line department also has to prepare their own strategic plans. Mid-term plan is then divided into action plans. These action plans become the base document for the BAPPEDA to begin the annual planning and budgeting process.

(d) Participation

As evident from Figure 2.2 and Figure 2.3 that as per the Regulation No. 25 (2005) about planning citizens participate in the discussion from smallest unit (RT and RW<sup>5</sup>) of community at *kelurahan* level to community at city level.

Figure 2.2: Participatory Process in Planning and Budgeting



(Source: BAPPEDA, Surakarta, 2010)

In Solo this participatory process has been modified by Mayors decision. There are two lines of participation: first sectoral and second territorial. Sector based discussion is held first within different groups such as group of artisans, educationist etc.. Later different groups discuss together and finally sector based discussion is held at the city

<sup>5</sup>RT is Rukun Tetangga (neighborhood harmonious) and RW means Rukun Warga (citizen harmonious). They’re the lowest strata of Indonesian government structure who run daily social life of the citizen.

level. Participation in territorial planning starts from smallest neighbourhood unit RT and RW. At this level all households are involved. In the *musrenbang* at the *kelurahan* (village) level representatives of these RT and RW participate and proposals from these *kelurahans* are then consolidated and discussed in the *musrenbang* at *kecamatan* (sub-municipal) level where representatives of *Kelurahan* also participate. Although formal invitations are given to a limited number of representatives, anybody can take part in the discussion. However, only invited participants have right to vote. These two lines of participatory processes produce documents of issues and proposed activities. All such documents are sent to concerned departments. Forum (SKPD) within each department synchronises these proposals with line department activities and draft plan and budget for each department is prepared. All such draft departmental plans are consolidated to prepare a draft city plan (RKPD), which is presented and discussed during city level *musrenbang*. In this city-level *musrenbang* it is decided what will be the funding distribution between city government and provincial government for the various activities. Outcome of this *musrenbang* is the draft with different components: city level budget funded by local government budget, regulatory basis and proposals that will be funded by other stakeholders (community, NGOs, private sector). With this Draft Consolidated Plan (RKPD) fixing the specificities, budgeting process begins. Budgeting is a technocratic process entailing matching the draft plan with two policy documents (i) general policy on budget (ii) prediction budget<sup>6</sup> of all department made by BAPPEDA and Department of Finance. This process results into draft of final city budget (RAPBD) in which activities of each line department with definite budget are given. A public hearing is organised before it is sent to legislative council (DPRD) for legal sanction. Once such sanction is obtained this document is called Annual Plan Budget Document (APBD).

Although some experts felt that there is a disconnect between planning and budgeting and members of legislative council has changes the budget in collusion with line department officials, BAPPEDA officials opined that in practice there is no change in the plan during budgeting process and budget and planning process is integrated. They also claimed that the legislature is involved in the planning process and can give its opinion through note on certain activities suggesting increase or reduction in the budget.

In the legislative discussions executive and other stakeholders are also invited. Members of legislative are also involved in *musrenbang* and hence are in touch with people's needs and priorities. There are separate budget committees in the legislative based on issues. These committees examine whether certain budget is reasonable or not on the basis of rationality and propriety. These committees also hold parallel discussions with stakeholders and call concerned line departments.

### (i) Multi-Stakeholders Dialogue (MSD)

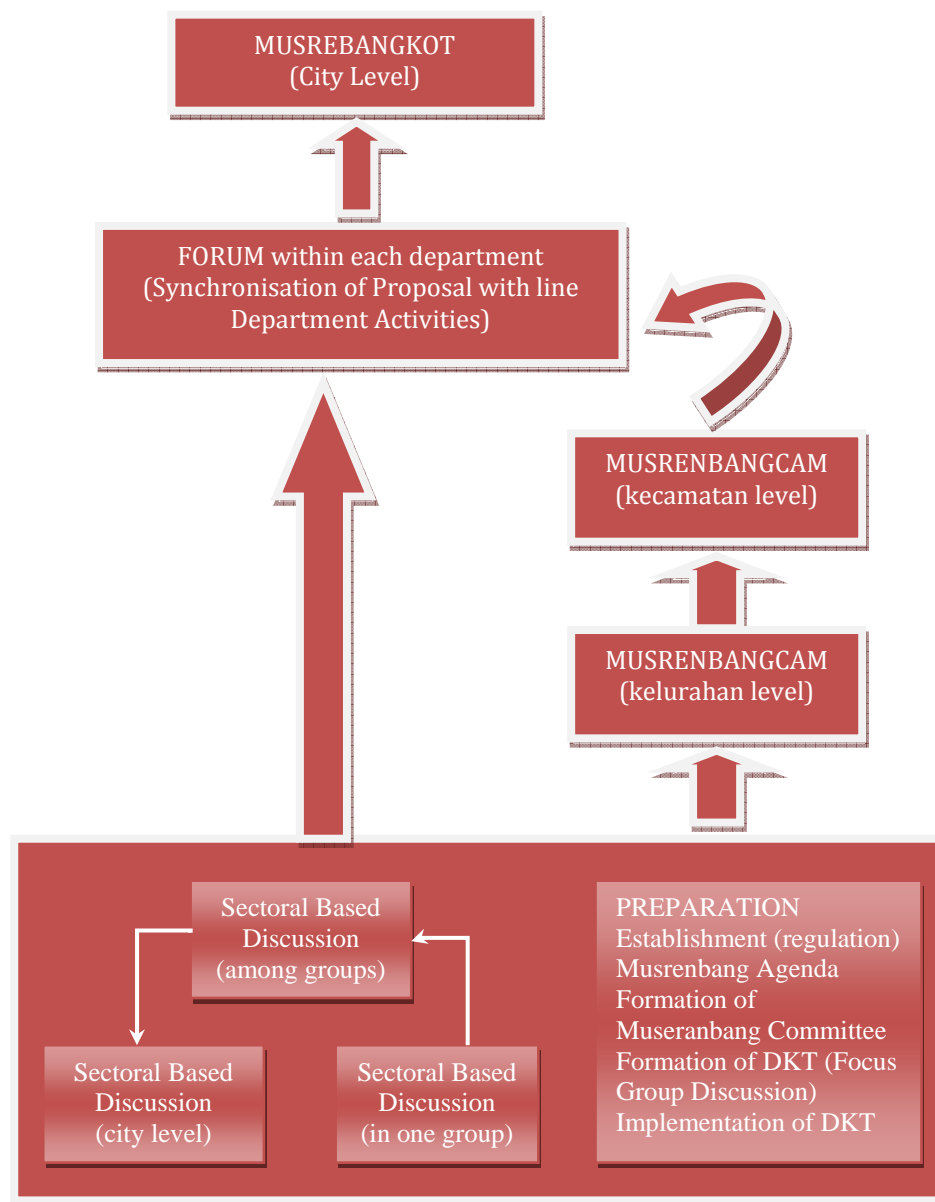
Solo has moved beyond the *musrenbang* based participatory planning and has adopted MSD-based approach. It was an insertion of current Mayor in the process of participatory planning, in the year 2005. This is also encouraged and supported by CSOs. Planning is a formal agenda every year but other emergency issues may also occur and hence MSD process complements *musrenbang* process. For example, at the time of this

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<sup>6</sup>Department of Finance (DPPKA) prepares prediction budget of 10 sectors every year and deliver them to line departments. It is based on prediction of local revenue and strategic plan.

study flooding due to excessive rain and overflowing river was the focus of such MSD at different levels of the city. Conservation of river bank area by reclaiming the encroached land and creation of park and playground, relocation of vendors and slum up-gradation all have been possible in Solo through MSD approach. For relocation of street vendors from the main park in the city there were as many as 50 meetings with representatives of vendors.

**Figure 2.3: Musrenbang 2010**



(Source: BAPPEDA, Surakarta, 2010)

## (ii) Citizen's Organisation Building

Due to the authoritarian and closed system of government in place until 1998, most civil society organisations concentrated their agenda on strengthening the organisation of community groups in general, rather than increasing direct popular participation in public policy making. The presence of NGOs grew significantly in the mid 1990s and

presently Solo is rich in NGOs in terms of number, density and plurality. However, some experts felt that civil society in Solo is dominated by NGOs and there is severe lack of people's movement. Dynamics of NGO activities in Solo has influenced the consciousness of people in the city. After downfall of Suharto, there were a number of meetings in the city on democratic decentralisation, local governance and citizen participation. But in the beginning of post Suharto era, breaking Golkar's domination<sup>7</sup> was the focus of civil society organisations.

While there were a number of NGOs focusing on organising communities, NGOs with focus on bridging gap between State and the society were very few. But since 2000, a group of NGOs and academicians tried to partner with bureaucracy and politicians to promote participatory planning. Momentum of political reforms, starting in 1999, made bureaucracy think about the possibility of applying participatory planning. Stronger legislature with greater legitimacy after democratic elections and feeling of insecurity among bureaucracy encouraged bureaucrats to align with CSOs. For the first time in more than three decades, people coming from previously different worlds started to interact and creating platforms for discussion.

As preparation for annual planning process, the people's organisations and NGOs are educating and mobilising people and motivating them to come prepared in the meetings for planning. For example, PATTIRO<sup>8</sup> organised women and poor and facilitated formation of women collective Forum of Coordination of Posyandu Activists (FKKP) and also Association of Pedicab<sup>9</sup> Drivers.

Semmy Samuel Rory, a social activist, organised different disadvantaged sectoral groups and established their network Solidarity of Marginalised Groups of Surakarta (SOMPIS). Organisations of pedicab drivers, street singers, disable persons, street traders and street vendors are affiliated to SOMPIS. Members of SOMPIS are encouraged to participate in the *musrenbang* to influence local policy to be more pro-poor. During the period of 2000–05, SOMPIS has become an influential network of marginalised groups participating in the *musrenbang* process.

### (iii) Collaboration between NGOs and Government

Civil society and government collaboration for participatory planning and budgeting was institutionalised in IPGI. IPGI Solo was established in 2000 with a commitment to promote democracy by strengthening the capacity of societal groups and local government as well. In the case of Solo, one of the most important programmes was to develop popular participation in public decision-making. IPGI Solo was headed by a senior academician and was supported by a long-standing NGO activist and a senior bureaucrat as vice-head. Below the position of the directors, there were some positions filled in by academicians, NGO activists and bureaucrats. This combination was expected

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<sup>7</sup> Golkar was formed on October 20, 1964 under the name Sekber Golkar. It was a federation of 97 NGOs which grew over time to 220 organisations. Although it claimed to be apolitical, Sekber Golkar was formed with the backing of senior army officers to counter the increasing influence of the Indonesian Communist Party (PKI). On Suharto's instructions Golkar was turned from a federation of NGOs into a political party. Later Suharto tightened his control over the Golkar by being elected Chairman of its Executive Board.

<sup>8</sup> Pusat Telaah dan Informasi Regional (PATTIRO) is an NGO established on April 17, 1999, promotes good governance and public participation in Indonesia, particularly at local level. PATTIRO has branch office in Solo.

<sup>9</sup> Cycle rickshaw

to make the partnership between civil society and government more workable (Pratikno 2005, 64-65).

There are now three pillars of participatory planning and budgeting in Solo city, which clearly highlight the collaborative approach: (a) Local Government (b) People: sectoral and territorial and (c) Civil Society Organisations (association of sectoral groups, NGOs, project staff of INGOs/ International Projects). Three are getting together for a better city. These three stakeholders may have different priority issues and perceptions but in every joint meeting they try matching and coming to a consensus. Effort is being made to also get corporate involvement.<sup>10</sup>

#### **4. Impact on Mainstreaming Social Accountability**

##### **(a) Access to Information**

Both NGOs and city government have made consistent effort to make information related to annual budget available to the public. In 2005, PATTIRO printed city budget in a poster form in easy to understand language and put it up at all important public places with an objective to inform people and to involve them in the monitoring of implementation. Phone numbers of responsible officials were also given. From 2006 onwards, Department of Finance (DPPKA) of the municipal government produces printed poster of the city budget for the information of the public on the same format as used by PATTIRO. Summary of the budget is also posted on the website and document is sent to village so that people can access information on budget.

Freedom to Information Law 2008 has made all documents related to planning and budgeting accessible to public. However, city government does not proactively publish all necessary information and makes people responsible for making use of this law. This right is exercised in Solo rather indirectly through NGOs who demand information from city government.

##### **(b) Citizen's Voice in Decision-Making**

###### **(i) Participation of Women**

Traditionally women were excluded from the process of planning. Starting 2002 some villages started to initiate more inclusive meetings by inviting both the husband and wife of each household. However, the experience in Surakarta was that not many women joined the meeting. In 2003, PATTIRO started organising women in Solo. For example, women having children under 5 years of age were called for meetings on monthly basis. Capacity of existing groups of women to engage in the process of planning and budgeting was enhanced. These women groups advocated gender sensitive budgeting and increase in the budget for social health system. Mayoral decision in 2004 brought women (at least 30 per cent) into decision-making process at every planning stage and priority list also considered women's perspective (Ida 2005, 9).

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<sup>10</sup>Based on information provided by Mr. Semy and Mr. Zachariah of Regional Network for Poverty Alleviation.

In 2006, FKPP was formed. Posyandu is the smallest organisation of women involved in delivery of health programmes. Starting from 2006, PATTIRO and FKPP send their facilitators in 51 villages to encourage women to engage with the process of *musrenbang*. In 2009 City Government recognised FKPP as formal organisation and invited to different commissions to provide their inputs. In 2010, FKPP received Rp. 600,000 per Posyandu to maintain its activities. Now about 30 per cent of the participants in general meetings for planning are women and in many cases women are leading these discussions. These women are also involved in monitoring of implementation of budget at *kelurahan* level.

All this has resulted in increased participation of women in planning and budgeting process. Small group of women in village have been given responsibility of childcare and care of senior citizens. Since 2003, budgetary allocation is continuously increasing. Better childcare will reduce burden on women. Now there is a project to support family income. Under this project women are imparted marketable skills such as sewing, hair stylist, beautician, master of ceremony so that they become entrepreneurs.<sup>11</sup>

## (ii) Participation of Poor

In Surakarta, Pedicab (cycle rickshaw) drivers are the most poor segment of the society who are mainly migrants from villages and largely homeless. Since they were not residents of any urban locality their concerns remained unheard in the past. PATTIRO and other CSOs organised these Pedicab drivers and encouraged them to engage with the planning process. These Pedicab drivers formed their own association named Forum Kerukunan Keluarga Becak (FKKB). Representatives of FKKB are invited for consultation during planning process. City government has issued license to these Pedicab drivers, provided them space for parking and also painted their Pedicabs in attractive colours so that they are more appealing to tourists, trained them in English language and also provided them uniforms.<sup>12</sup>

In Solo, there is a regional network of organisations and projects involved in implementation of PNPM (World Bank Supported National Poverty Alleviation Project). This network organises poor and vulnerable groups such as Pedicab drivers, street vendors, street singers (beggars) and sex workers. Network advocates involving these sectoral groups in any decision-making that affects their lives. For example, city government's local revenue depends heavily on trading and services so it wanted to increase parking fee every year; this created conflict between the users of these parking spaces and the parking attendants, who were not at fault. Soon a dialogue was held among users, parking attendants, contractors and city government resulting in fixing a reasonable parking fee, good services for users, good working conditions for attendants and reduction in conflicts.

There is a vital difference in perspective between government and civil society. While civil society is trying to ensure actual participation of poor and women, government officials are of the opinion that recognition of their issues such as provision of health, education and housing is important even if they do not get to participate in the process.

<sup>11</sup>Based on discussion with Ms. Rulliyani and Ms. Hendra Stuti of FKPP

<sup>12</sup>Based on discussion with Mr. Alif Basuki of PATTIRO and Mr. Semy of Regional Network for Poverty Alleviation

However, at times it is felt that some manipulation of plan by bureaucrats still happens. Deputy head of the district legislature (DPRD) felt that when people's aspirations do not match with priorities of the department, people's aspirations are suppressed.

Representatives of legislature felt that there is no evidence of significant development due to participatory process but there is indication of reduction in poverty.<sup>13</sup>

### (c) Citizen's Monitoring of Budget Implementation

For implementation of the approved budget, there is a task force at *kelurahan* and *kecamatan* level. Officially it is DPBD/BAPPEDA who has oversight authority. There is a city level inspectorate too. But through protests and representations to line departments, citizen and CSOs also monitor the implementation of approved city budget. Legislative council (DPRD) too has power to monitor implementation. Ideally executive has to send report of budget implementation every three month. But in reality they are sent very late ranging from 4 months to 12 months. And so members of legislative (DPRD) meet people and prepare an independent report and they summon line departments.<sup>14</sup>

Engagement of people with the implementation and monitoring of the city budget has increased. This is indicated by increased willingness to pay tax and user charges. People are also monitoring and lodging complaints.

### (d) Impact on Power Relations

Three changes in power relations are evident. First, is the citizens' relation with the city government. Marginalised have become more equal. Government is using consultative process and grassroots approach to development. Second is the citizens' relation with legislature. Between 1999 and 2004 most of the members of legislative council was punished under corruption cases and some of them were jailed too. These corruption cases were reported by citizens. Since they were backed by strong CSOs, citizens won those cases. This in many ways has changed the inter-relationship between citizens. Now both the poor and women have become a part of the policy decision-making process and even the budget has become sensitive to their needs. There remains lot more to be changed in terms of breaking domination of the traditional elites<sup>15</sup>. Third, after introduction of participatory planning process in the city people belonging to different ethnic, economic, ideological groups have become more open to each other and anti feeling towards government symbols has also decreased. People, who until 2001 were not willing to go to government offices, did not want to lodge complaint and even did not want to have official identity cards, are now engaging with officials and lodging complaints.

## 5. Recommendations

- Committed and reformist leaders are encouraging participatory planning and trying to strengthen social accountability. In case of Solo, consultative process got real fillip after Joko Widodo, present Mayor, got elected in 2005. Hence some social activists

<sup>13</sup> Based on the discussion with Chairperson and Deputy Chairperson of DPRD

<sup>14</sup> Ibid

<sup>15</sup> Based on discussion with Ermy Ardhyanti of PATTIRO



felt that more activists committed to people's participation should join politics and occupy important positions like Mayor.

- CSOs should develop more capacity to engage with and negotiate with government on regulations. If civil society collaborates with academicians, together they can make greater impact. On government part, a national budget for democracy and civil society needs to be allocated so that civil society is not dependent on donors and has sustained engagement on the issue of planning and budgeting.
- To further strengthen social accountability NGOs should empower people to carry out advocacy themselves. Awareness among people on the process of planning and budgeting needs to be further improved.
- A large amount of the budget (70-80 per cent) goes in maintaining bureaucratic structure. Budget advocacy is only for the remaining 20-30 per cent. There is a long list of demand from the people, which cannot be addressed with that budget. It is important to encourage other stakeholders like community, NGOs, funding agencies, private sector to come forward and contribute resources. Current Mayor of Solo has been able to garner support from non-state actors but in a limited sense. Phased reduction in administrative expenses is also recommended.
- Facilitators do not have adequate capacity to motivate people to engage in the process of planning and their capacity requires to be enhanced.
- More cooperation between executive and legislature is desired than what is present currently. Legislative needs to be involved more closely in the process of budgeting. Increased communication between Mayor and the Chairperson of the DPRD can improve the situation.
- National Poverty Alleviation Programme (PNPM) is a direct scheme for *kelurahan* level but it is implemented through consultants who ignore the existing participatory planning process and therefore strengthen parallel institutions. Planning mechanism of PNPM needs to be integrated into regular *museranbang* based planning process.

## 6. Key Lessons for Mainstreaming Social Accountability

- a) Exposure and capacity building of key officials responsible for planning and CSOs on participatory processes helps create a group of champions in government and civil society who work together towards creation of favorable conditions for participatory planning and enforcing social accountability.
- b) Participation of different sectoral groups in the planning process helps create better mutual understanding of needs, priorities and concerns of each other and improves social cohesion. United and organised communities make use of accountability mechanisms and also seeks strengthening of such mechanisms.
- c) A reformist political head of local government institution with a multi stakeholders approach to problem solving, such as incumbent Mayor of Surakarta Joko Widodo, increases people's participation in the planning process and makes administration responsive to the community's demand for accountable local governance.
- d) Capacity building of different stakeholders - government officials, community, CSOs, CBOs, elected representatives in terms of making them aware of different processes of planning and grievance redressal, having them information regarding the annual

budget, seeking their opinion for decisions affecting them helps strengthen social accountability as these stakeholders get involved in monitoring and evaluation of implementation of plan.

- e) Increased participation of marginalised sections in the planning process leads to change in the power relations between government and the people and also between elite and the marginalised as the process helps empowerment of people in general and that of marginalised in particular. Marginalised sections not only negotiate for their due share in the development plan and budget but also monitor implementation of such plans.

# Participatory Planning in the Philippines: A Case Study of Pinabacdao (Samar)

## 1. Introduction

The Republic of the Philippines, an island nation located in the Malay Archipelago in Southeast Asia, comprising of 7,107 islands, collectively known as the Philippine Archipelago, has a total area of nearly 300,000 square kilometers to its credit. The country, named "Las Islas Felipinas" after King Philip II of Spain, fell prey to Spanish colonialism in 1565. The colonial rule lasted for three long centuries and ended after Philippine Revolution of 1896. But independence, the most prized political ambition of modern times, was not forthcoming for it yet. It was ceded to the US in 1898 in the wake of the Spanish-American War, and it was only in 1946 that they saw the sun of independence rise after Japanese occupation in World War II. However, it was as late as in 1992 that the US finally closed its last military bases on the islands and left the Philippine soil for good. Spanish and American colonial rule and Martial Law from 1972 to 1986 has shaped political culture of the Philippines. Hierarchical structures and accompanying power relations are integral aspect of Filipino culture (Iszatt, 2002).

## 2. Policy and Legal Framework

Current legal framework for people's participation in governance in the Philippines dates back to 1987 when the new Constitution was ratified after 'people's power' overthrew the dictatorship of *Ferdinand Emmanuel Edralin Marcos*. Legislations that followed, important among them was the Local Government Code of 1991 which provided spaces for citizen's participation. Republic Act 6735 provided for a System of Initiative and Referendum<sup>16</sup>. The Party List System<sup>17</sup> provided for the representation of broad interests, particularly those of marginalised and underrepresented sectors.

The Constitution of the Philippines recognises importance of organisations as vehicle for participation. Article II Section 23 says 'State shall encourage non-governmental, community-based, or sectoral organisations that promote welfare of the nation'. Similarly, Article XIII Section 16 says 'The right of the people and their organisations to effective and reasonable participation at all levels of social, political, and economic decision-making shall not be abridged. The State shall, by law, facilitate the establishment of adequate consultation mechanisms.' Under the Local Government Code

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<sup>16</sup> This Act recognises and guarantees power of the people under a system of initiative and referendum to directly propose, enact, approve or reject, in whole or in part, the Constitution, laws, ordinances, or resolutions passed by any legislative body upon compliance with the requirements of this Act

<sup>17</sup> It is a mechanism of proportional representation in the election of representatives to the House of Representatives from marginalized or underrepresented national, regional and sectoral parties, or organisations or coalitions thereof registered with the Commission on Elections (Comelec). The party-list representatives shall constitute twenty *per centum* of the total number of representatives including those under the party-list.

1991, it declares the policy of the State to require all national government agencies and offices to conduct periodic consultations with appropriate local government units, non-governmental and people's organisations, and other concerned sectors of the community before any project or programme is implemented in their respective jurisdictions (Ibid).

Local Government Code 1991 provides for a number of mechanisms for people's participation. These include system of recall of elected and appointed local officials; local initiative and referendum; local sectoral (women, labour, poor, indigenous communities and disabled) representation; public hearings; local special bodies etc.

The local government unit is required to conduct mandatory public hearings to ensure that people are properly consulted in vital undertakings of their local government. Such public hearings are to be conducted by the *sanggunian* (legislature) concerned in these specific cases: reclassification of agricultural lands; enactment of local tax ordinance; transfer of sites of public facilities, e.g., markets, public terminals etc.; closure of local roads, streets, alleys, parks or squares. Local special bodies (LSBs) are tasked by the Code to formulate policy recommendations, devise developmental and sectoral plans and propose measures that will guide the *sanggunian* in enacting laws and steer, to an extent, the politico-administrative structures of local governments. These LSBs include Local Health Board, Local Peace and Order Council, Local School Board, Local Pre-Qualification Bids and Awards Committee, Local Development Council (LDC) etc.

LDCs at the *barangay* (village), municipal, city and provincial levels are responsible to initiate and propose a comprehensive multi-sectoral five-year development plan to be approved by the *sanggunian*; formulate public investment programmes; incentives to promote inflow of investment capital; coordinate, monitor and evaluate the implementation of development programmes and projects. Under the Local Government Code, the Barangay Development Council (BDC) is tasked to 'mobilise people's participation in local development efforts. The municipal and provincial Planning and Development Coordinators are also tasked to promote people participation in development planning (Ibid).

As suggested in Section 106 of the Local Government Code, the composition of the LDC at *barangay* and municipality level is as follows:

(a) The BDC is headed by the *Punong Barangay* (*Barangay* Chief/Captain), and is composed of the following members: (i) Members of the *Sangguniang Barangay* (legislative body of *barangay* governments); (ii) Representatives of NGOs operating in the *barangay*, who shall constitute not less than one fourth (1/4) of the members of the fully organised council; (iii) A representative of the congressman.

(b) The Municipal Development Council is headed by the Mayor and is composed of the following members: (i) All *Punong Barangays* in the municipality; (ii) The chairman of the committee on appropriations of the *sangguniang bayan* (legislature of municipal government) concerned; (iii) The congressman or his representative; and (iv) Representatives of NGOs operating in the municipality not less than one-fourth (1/4).

(c) The LDCs may call upon any local official concerned or any official of national agencies or offices in the local government unit to assist in the formulation of their respective development plans and public investment programmes.

Section 109 outlines the functions of LDCs as: (i) Formulate long-term, medium-term, and annual socioeconomic development plans and policies; (ii) Formulate the medium-term and annual public investment programmes; (iii) Appraise and prioritise socioeconomic development programmes and projects; (iv) Formulate local investment incentives to promote the inflow and direction of private investment capital; (v) Coordinate, monitor, and evaluate the implementation of development programmes and projects; and (vi) Perform such other functions as may be provided by law or competent authority. The BDC is tasked to: (i) Mobilise people's participation in local development efforts; (ii) Prepare *barangay* development plans based on local requirements; (iii) Monitor and evaluate the implementation of national or local programmes and projects; and (iv) Perform such other functions as may be provided by law or competent authority.

The LDC meets at least once every six months or as often as necessary. Each LDC creates an executive committee to act on its behalf when it is not in session. The executive committee of the city or municipal development council is composed of the mayor as chairman, the chairman of the committee on appropriations of the *sangguniang panlalawigan*, the president of the city or municipal league of *barangays*, and a representative of NGOs that are represented in the council, as members; and the executive committee of the BDC is composed of the *punong barangay* as chairman, a representative of the *sangguniang barangay* to be chosen from among its members, and a representative of NGOs that are represented in the council, as members. The LDCs may also form sectoral or functional committees to assist them in the performance of their functions.

### 3. Planning Process in the Philippines

Ideally, the formulation of the development plans at various levels follows a dynamic combination of 'top-down' and 'bottom-up' process. This means, for example, that Comprehensive Land Use Plans (CLUPs) should be based on analysis of *barangay* situation. At the same time, *barangay* development plans should be guided by the overall thrust of the municipality as defined in the CLUP and Municipal Development Plans.

The policies, programmes, and projects proposed by LDCs are submitted to the *sanggunian* concerned for appropriate action. The local development plans approved by their respective *sanggunian* is integrated with the development plans of the next higher level of LDC. The Department of Budget and Management furnishes the various LDCs information on financial resources and budgetary allocations applicable to their respective jurisdictions to guide them in their planning functions.

Department of the Interior and Local Government (DILG), National Economic and Development Authority (NEDA), Department of Budget and Management (DBM) and Department of Finance issued a Joint Memorandum Circular No. 1 in 2007 to provide guidelines on the harmonisation and synchronisation of local planning, investment programming, revenue administration, budgeting and expenditure management. This Circular provides that Local Planning and Development Coordinators (LPDC), Local

Budget Officers and Local Treasurers shall update their respective planning databases from January to March every year and LPDCs shall analyse the planning environment. LPDCs shall also formulate the guidelines for reconstituting the LDCs and Local Chief Executives (LCE) shall convene their reconstituted LDCs not later than first week of July 2007. On the basis of the planning guidelines issued by DILG and NEDA and pursuant to Section 106 of the LGC, the Provincial Development and Physical Framework Plan (PDPFP)/ Comprehensive Development Plan<sup>18</sup> (CDP) is prepared following a process of analysis of the existing situation, goal, strategies and objective/target setting, and culminating in the identification of strategic Programme, Plans and Activities (PPAs). As much as possible, the LGUs align/harmonise the plans with national development goals. LDCs also prioritise and match PPAs with available financing resources, in the process formulating the multi-year Local Development Investment Plan.<sup>19</sup> LDCs then cut out the Annual Investment Programme (AIP)<sup>20</sup> from the current slice of LDIP, which upon approval of the *Sanggunian*, shall serve as the basis for preparing the executive budget. The LDCs endorse the AIP to the local Budget Officer for the budget preparation and in determining the annual budgetary allocations for PPAs.

LGUs are supposed to follow following Planning Cycle:

- a. Updating of planning database (January-March of every year)
- b. Analysis of planning environment (April-May of every year)
- c. Formulation of development Vision, Goals and Strategic Direction (1st week of July 2007 and every 3-6 years thereafter)
- d. Identification and prioritisation of PPAs (July of every year)
- e. Identification of areas of complementation of PPAs (July of every year)
- f. Budget preparation, authorisation and review (July to December)

#### 4. Social Reform Agenda

Apart from the Local Government Code 1991 and Joint Memorandum Circular No.1, the Social Reform Agenda (SRA), launched in 1995, also paved way for people's participation in governance. SRA was a product of consultations on the peace process during Fidel Ramos administration<sup>21</sup>, which resulted in a three-point agenda: access to

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<sup>18</sup> CDP is the multi-sectoral plan at the city/municipal level, which embodies the vision, sectoral goals, objectives, development strategies and policies within the term of LGU officials and the medium-term. It contains corresponding PPAs which serve as primary inputs to investment programming and subsequent budgeting and implementation of projects.

<sup>19</sup> LDIP is a basic document linking the local plan to the budget. It contains a prioritized list of PPAs which are derived from the CDP in the case of cities and municipalities matched with financing resources, and to be implemented annually within a three to six year period. The first three years of the LDIP shall be firmed up along the priorities of the incumbent local chief executives (LCEs).

<sup>20</sup> AIP constitutes annual slice of the LDIP with indicative yearly expenditure requirement of the LGU's PPAs to be integrated into the annual budget and detailed allocation of each PPA.

<sup>21</sup> Ramos recognized that civic order, political stability, and national security were among the preconditions for the economic growth of the nation. The Communist insurgency, Moro armed separatism, and military rebellions had been weakened but remained unresolved. Therefore, he set the peace efforts of government early on as a priority agenda of his administration. The SRA concept was developed as one mechanism to operationalize and push Comprehensive Peace Process – to address the root causes of armed conflicts and social unrest as defined in the National Unification Commission consultations. It was launched in 1994 as the primary advocacy and implementation framework for social and economic reforms. Furthermore, it operationalized the people empowerment component of Pres. Ramos' vision of Philippines 2000 through numerous policy issuances, aimed at rationalizing and integrating all anti-poverty policies and programmes around a central human development framework. (source: [http://opapp.gov.ph/index.php?option=com\\_content&task=view&id=155&Itemid=147](http://opapp.gov.ph/index.php?option=com_content&task=view&id=155&Itemid=147) accessed on 7 June 2010)

quality services; asset reform; and institution building and participation in governance (Ibid).

The SRA is an integrated set of major reforms to enable the citizens to: a) meet their basic human needs and live decent lives; b) widen their share of resources from which they can earn a living or increase the fruits of their labour; and c) enable them to effectively participate in the decision-making process that affects their rights, interests, and welfare. These reforms are perceived to enhance democratic processes. The SRA is composed of social reform packages providing programmes and services for marginalised sectors of society in the country's 20 poorest provinces.

The enhancement of the SRA resulted in sharper definition of the social equity, economic, ecological, and democratising components of the various flagship programmes. It also led to the integration of the nine flagship programmes having impact on all target sectors and ecosystems. This placed the country's anti-poverty initiatives within the framework of Philippine Agenda 21 (PA 21).<sup>22</sup> The enhanced SRA was adopted by the National Anti-poverty Summit in March 1996 as the Integrated National Action Agenda on Anti-Poverty. A flagship bill under the Social Reform Agenda was The Social Reform and Poverty Alleviation Action Act.

## 5. KALAHI-CIDSS

*Kapit-Bisig Laban sa Kahirapan*- Comprehensive and Integrated Delivery of Social Services (KALAHI-CIDSS) is the Philippine government's flagship poverty-alleviation project implemented by the Department of Social Welfare and Development through the financial support of the World Bank. KALAHI CIDSS entrusts the poor with greater powers, supports poor LGUs in local development, and invests heavily on people, not just projects. Pinabacdao is one of the KALAHI-CIDSS project areas.<sup>23</sup>

Decisions, including community resource allocation and project approval, are done by the *barangay* assembly (BA), and in the municipal level by the Municipal Inter-*Barangay* Forum (MIBF) composed of *barangay* representatives. KALAHI-CIDSS has an open menu system for small-scale community projects. The communities, through the MIBF, approve which projects will be funded. Disallowed activities, like micro-finance and operations and maintenance for existing projects, are specified in a negative list. Funds for community projects are released directly to communities. On average, funds are disbursed in 15 days from receipt of request.

An Area Coordination Team (ACT) composed of facilitators; engineers and financial analysts are deployed to the communities to lead the implementation. Communities with approved project proposals are supposed to create different working committees under the *Barangay* Sub Project Management Committee (BSPMC), umbrella committee that oversees sub project implementation. Municipal LGU supports the Project by providing counterpart contributions through cash or in-kind. The LGU also creates a

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<sup>22</sup> Philippine Agenda 21 is the nation's blueprint for sustainable development. Philippine Agenda 21 promotes harmony and achieves sustainability by emphasizing: *A scale of intervention that is primarily area-based; Integrated island development approaches where applicable; People and integrity of nature at the center of development initiatives.* The PA 21 emphasizes the importance of localisation as a strategy for its implementation.

<sup>23</sup> Cited from [http://kalahi.dswd.gov.ph/index.php?option=com\\_content&view=article&id=22&Itemid=21](http://kalahi.dswd.gov.ph/index.php?option=com_content&view=article&id=22&Itemid=21) accessed on 3 May 2010

counterpart ACT and a Municipal Inter-Agency Committee (composed of different LGU department heads) for smooth implementation and technology transfer of the community-driven development approach.

KALAHI-CIDSS employs the Community Empowerment Activity Cycle (CEAC) as its primary implementation guide. The CEAC consists of four main stages. It starts with the Social Preparation Stage, where communities are trained to identify their problems and needs. On the Sub-project (SP) Identification Stage, people are then technically trained to design and package community SP proposals that hope to address their needs. During the third stage (SP preparation, selection and approval stage), communities through the MIBF select which proposals will be funded by KALAHI-CIDSS using a set of criteria they themselves develop. Communities with approved proposals then undergo the SP Implementation, Monitoring and Evaluation (M&E), and Operations and Maintenance stage.

A KALAHI-CIDSS municipality experiences three cycles of implementation. Each cycle focuses on six key development processes:

**Participatory Situation Analysis (PSA):** By using different tools and with the project's facilitation, communities are able to extensively appraise their current socio-economic and political situation and develop an action plan that they themselves will implement and monitor. . The first village assembly is held in every village within the municipality. Villagers are briefed on the KALAHI. Volunteers for conducting a participatory situation analysis (PSA) are selected by their peers. Volunteers discuss development issues affecting the community and prioritise them. The final output is the village action plan, including the top priority problem to be submitted for the KALAHI funding. A second village assembly is held. The entire village validates the PSA results. The villagers elect the project preparation team (PPT) and village representative team (VRT).

**Participatory Development Planning and Resource Allocation:** Communities are taught how to access resources for their planned development interventions. LGUs are taught to practice a more democratic and participatory means of governance, where development agendas are planned and executed together with their local constituents.

**Organisational Development and Local Structure Enhancement:** KALAHI-CIDSS enhances people's capacities in decision-making, project development and implementation through trainings and technical support in different aspects of the local development process.

**Community Mobilisation and Volunteer Development:** KALAHI-CIDSS encourages the participation of the community's formal and traditional leaders in the Project's activities. Social values and principles are imparted to the community to prepare them for the task of project planning and implementation.

**Social Inclusion:** Elite capture is prevented by broadening the base of participation, especially of the vulnerable groups like women and the indigenous people. In this process, the people are given a voice in their communities and become the local government's partners in the efforts to achieve their developmental goals.



**Community-Based M&E:** KALAHI-CIDSS taps and utilises indigenous knowledge and skills in monitoring their action plans. It allows the people to reflect on the causes of their problems and make informed decisions on what they can do about them.<sup>24</sup>

Greater transparency reduces leakage of public funds, and the programme promotes adherence to transparency during all stages of implementation. All procurement activities are conducted by community members with public opening and awarding of bids. Fund releases are recorded in a community cash book that is presented at *barangay* assembly meetings for scrutiny by community members.

**Grievance Redressal:** The programme also includes a unique "grievance system" that gives communities and members of the public recourse to redress should there be a claim of wrongdoing, either in terms of the programmes operation procedures or by members of staff or consultants. Complaints and grievances can be reported to DSWD, the *barangay* assembly (BA) or the Municipal Inter-*Barangay* Forum (MIBF). Any person who does not agree with the decision on a complaint or grievance may file an appeal with the next higher level of the grievance redress system or any appropriate office. The appeal shall be resolved by the receiving office immediately.<sup>25</sup>

**Japan Social Development Fund - Social Inclusion Project (JSDF-SIP):** Among the poor Filipinos, the indigenous peoples, people in conflict-affected communities as well as women, have a long history of struggle against oppression, discrimination, injustice and inequality. Studies have shown that because of historical, political, cultural, economic and geo-physical factors, people in these communities have very low access to services and opportunities that could address their basic needs. Their perceived or real "exclusion" from benefits that the majority normally enjoys has diminished their interest to participate, particularly in activities initiated by outside entities. Pinabacdao is one of the poorest municipalities and is a conflict affected areas and practice of social exclusion is also evident.

To address the said exclusion concern, the Japan Social Development Fund-Social Inclusion Project (JSDF-SIP), a poverty alleviation project implemented by the Department of Social Welfare and Development (DSWD) with funding support from the World Bank was instituted. Pinabacdao, being one of the poorest and conflict affected areas, was selected for the implementation of the JSDF-SIP.<sup>26</sup>

## 6. Participatory Planning in Pinabacdao

### (a) Introduction

Pinabacdao is a 4th class<sup>27</sup> municipality<sup>28</sup> in the Northern Samar province of the Philippines located in the Eastern Visayas region and falls midway between Tacloban

<sup>24</sup> Cited from [http://kalahi.dswd.gov.ph/index.php?option=com\\_content&view=article&id=3&Itemid=3](http://kalahi.dswd.gov.ph/index.php?option=com_content&view=article&id=3&Itemid=3) accessed on 3 May 2010.

<sup>25</sup> Based on official website of KALAHI CIDSS

[http://kalahi.dswd.gov.ph/index.php?option=com\\_content&view=article&id=8&Itemid=6](http://kalahi.dswd.gov.ph/index.php?option=com_content&view=article&id=8&Itemid=6) accessed on

<sup>26</sup> Cited from <http://vimeo.com/10998048> accessed on 25 May 2010

<sup>27</sup> Municipalities are divided into income classes according to their average annual income during the last three calendar years. This classification is done every four years and the most recent classification of 2009 has following income criteria for 6 classes of municipalities: 1st class- P50,000,000 or more; 2nd class- P40,000,000 or more but

City and Catbalogan. Samar Island occupies the eastern portion of the Philippines. It lies southeast of Luzon and occupies the northernmost section of Eastern Visayas. According to the 2007 census, Pinabacdao has a population of 14,410 (National Statistics Office, 2008) people in 2,549 households. 47% of the population comprises of female and 65% are under 40 years of age. Literacy rate is 70% and 70-80% of the population is below poverty line. Infant mortality rate is 6.8 and maternal mortality rate is 0. It is the center of rice production in the province of Samar. It is also known for its "Mayao-mayao Festival" which is held annually. *Barangay* Dolores is the financial zone of Pinabacdao while *Barangay* Mambog serves as its Downtown Area. Municipality of Pinabacdao is politically subdivided into 24 *barangays*: Bangon, Barangay I (Pob.), Barangay II (Pob.), Botoc, Bugho, Calampong, Canlobo, Catigawan, Dolores, Lale, Lawaan, Laygayon, Layo, Loctob, Madalunot, Magdawat, Mambog, Manaing, Nabong, Obayan, Pahug, Parasanon, Pelao, San Isidro.<sup>29</sup> Of these 9 *barangays* are in the interior hinterlands, 4 are along the coast of Maqueda Bay and 11 are along the Maharlika Higway.

## (b) Reasons for Undertaking Participatory Planning

There were two important reasons for adopting participatory planning in Pinabacdao: poverty and conflict. There were special programmes for tackling poverty, social inclusion and peace-building but these programmes were only partially successful as participatory processes enshrined under these programmes were not genuinely followed. Ideology based armed conflict and militarisation was obstructing people's participation in local governance. Hence a collaborative project in the name of "*Bantay Sangkay*<sup>30</sup>" was undertaken in Pinabacdao.

### (i) Poverty

Pinabacdao has a poverty incidence<sup>31</sup> of 0.5860 and is number 11 (out of 26) poorest municipalities in the province. Most of the residents are subsistence fisherfolks, small farm owner-cultivators, upland farmers and traders. Quality of life is below average - many of its people do not have adequate education, sanitary toilets, access to potable water and electricity.

### (ii) Conflict

Pinabacdao is also among the vulnerable municipalities by indicator of human insecurity because of the long standing (ideology based armed) conflict in the province. 11 out of

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less than P50,000,000; 3rd class- P30,000,000 or more but less than P40,000,000; 4th class- P20,000,000 or more but less than P30,000,000; 5th class- P10,000,000 or more but less than P20,000,000 and 6th class Below P10,000,000.

<sup>28</sup> Pinabacdao has been upgraded to 4<sup>th</sup> class municipality in 2009. When Participatory Planning exercise under Bantay Sangkay project began, this municipality was 5<sup>th</sup> class municipality.

<sup>29</sup> Cited from [http://en.wikipedia.org/wiki/Pinabacdao,\\_Samar](http://en.wikipedia.org/wiki/Pinabacdao,_Samar) accessed on 25 May 2010

<sup>30</sup> 'BANTAY SANGKAY': What You Don't See Is What You Get – Embedding Elements of Social Accountability Through the Community Driven Development Approach is a project jointly implemented by Municipal LGU, IDPG, DSWD and DILG in Municipality of Pinabacdao.

<sup>31</sup> This refers to the proportion of families/individuals with per capita income/expenditure less than the per capita poverty threshold to the total number of families/individuals. Poverty threshold refers to the minimum income/expenditure required for a family/individual to meet the basic food and non-food requirements.

24 *barangays* have been affected by the armed conflict between the military and the New People's Army<sup>32</sup>.

The communist insurgency in the Philippine is traced to the peasant rebellions during the late 19<sup>th</sup> century up to the early 20<sup>th</sup> century which continued until the 1950s, covering mostly Central Luzon and Visayas, which spurred the armed struggle of the combined forces of the *Partido Komunista ng Pilipinas* (PKP), established in 1930, and the *Hukbalahap* (People's Army against Japan) war guerillas. The rebellion declined in the 1950s but residuals of the old *Huk* army played significant roles in the establishment of the New People's Army (NPA).

Internal schism due to ideological differences and party leadership rivalries within the PKP resulted in the establishment of the Communist Party of the Philippines (CPP). Convinced by the party's ideological zeal, Buscayno of NPA submitted under the leadership of the Party. Hence, the CPP-New People's Army was born. The CPP-NPA operations concentrated on the agrarian reform and engaged in banditry, extortion for revolutionary taxes and bombing of important establishments in the areas, to advance their causes.<sup>33</sup>

Poverty and conflict has also led to non-participation and exclusion in local governance due to sense of insecurity among people, restricted movement after evening and lack of faith in capacity of LGU leaders.

A parallel project called the Social Inclusion Project, mentioned earlier in this document, was started to address issues of non-participation, exclusion and other constraints faced by these 11 conflict-affected *barangays* of Pinabacdao. SIP addressed the concerns of participation, built capacity of LGU officials and leaders and also organised healing sessions with trauma victims.

### **(c) Initiators of Bantay Sangkay: Municipality, DSWD, DLIG and IDPG**

KALAHI CIDSS, although introduced participatory approach, was unable to mitigate poverty in Pinabacdao municipality. Mid term review (MTR) of KC done by DSWD in August 2007 identified strengths and weaknesses of the project in Pinabacdao and suggested some measures. Among weaknesses identified were: KC processes were not synchronised and integrated into the regular LGU structures and systems and more importantly into the public expenditure management (PEM) cycle and framework; limited participation of Municipal Local Government Unit (MLGU) and *Barangay* Local Government Unit (BLGU) officials in KC implementation; lack of coordination between KC project staff and MLGU/BLGU personnel and little convergence with other national government agencies (NGAs). Institutionalisation of KC principles and processes has been recognised as one of the key elements for project's sustainability and effectiveness. MTR proposed following measures: a reflection session with BLGU for selection of activities to be later adopted through *barangay* resolution and expanded BDC to promote this modified KC process. At municipality level, MTR suggested strengthened MIAC to take responsibility of KC implementation; DSWD to train and transfer technology to focal persons in the municipality; selection of sub-projects should be

<sup>32</sup> New People's Army is a Maoist group formed in March 1969 with the aim of overthrowing the government through protracted guerrilla warfare.

<sup>33</sup> Cited from [http://www.army.mil.ph/OG5\\_articles/Insegenicies.htm](http://www.army.mil.ph/OG5_articles/Insegenicies.htm) accessed on 3 May 2010

based on Municipal Development Plan (MDP); *Barangay* Development Plan (BDP) should be incorporated into MDP; the Local Chief Executive should advocate for the adoption of bottom-up participatory planning processes and KC processes should be seen as a way of doing development work by LGU; work for the synchronisation of KC processes in the preparation of the Local Poverty Reduction Action Plan (LPRAP) or the Community-Based Monitoring System (CBMS); advocate for the synchronisation of all local planning processes with the LGU.

Current Mayor of the municipality of Pinabacdao, Mario Quijano, who got reelected in 2007 for his second term, has played an important role in bringing changes in the municipality of Pinabacdao. He is a medical doctor by profession and has worked in USA for several years. He is open to new ideas and welcomes external technical and financial assistance. Mayor wanted to consult community in the formulation of Municipal Development Plan. Earlier these plans were based on perceptions of officials and of elected representatives. KALAHI-CIDSS, Community Driven Development Planning and Community Based Monitoring System (CBMS) helped this consultative process. The Mayor realised that CBMS data used in conjunction with secondary data would be very useful for the consultation with community to formulate plan. As KALAHI CIDSS project was coming to an end, Mayor wanted to continue with the participatory processes and approaches of KC and also consolidate the gains of KC. He was looking for resources. At that time an opportunity came up in terms of World Bank competition '*Panibagong Paraan 2008*'. Philippine Development Innovation Marketplace competition with theme '*Building Partnership for Effective Local Governance*' had at least a million pesos in grant prize. Mayor wanted an NGO partner to prepare a proposal. KC officials got Mayor Quijano in touch with Institute for Democratic Participation in Governance (IDPG)<sup>34</sup> who had facilitated participatory planning process in Tolosa, Leyte.

IDPG, municipality of Pinabacdao, Department of Social Welfare and Development (DSWD) and Department of the Interior and Local Government (DILG) jointly prepared a proposal with project title '*Bantay Sangkay*' and put up a stall in the '*Panibagong Paraan 2008*'. Among 500 competing entries, 30 were selected and '*Bantay Sangkay*' was among the 30 winners. Philippines-Australia Community Assistance Programme (PACAP)<sup>35</sup> became the funding partner. A formal Memorandum of Association (MOA) was signed by all the partners detailing out their roles and responsibilities. As per this MOA, the MLGU was the primary implementer of the project. The Local Chief Executive (LCE) would be supported by the Municipal Inter-agency committee (MIAC) in mobilising support for the project in the form of staff technical and implementation support. DSWD would continue to provide technical inputs on the CDD technology, DILG on the Local Planning Process (LPP) and Rationalised Planning System "RPS". PACAP would provide the grant fund and IDPG would provide secretariat functions to the project.

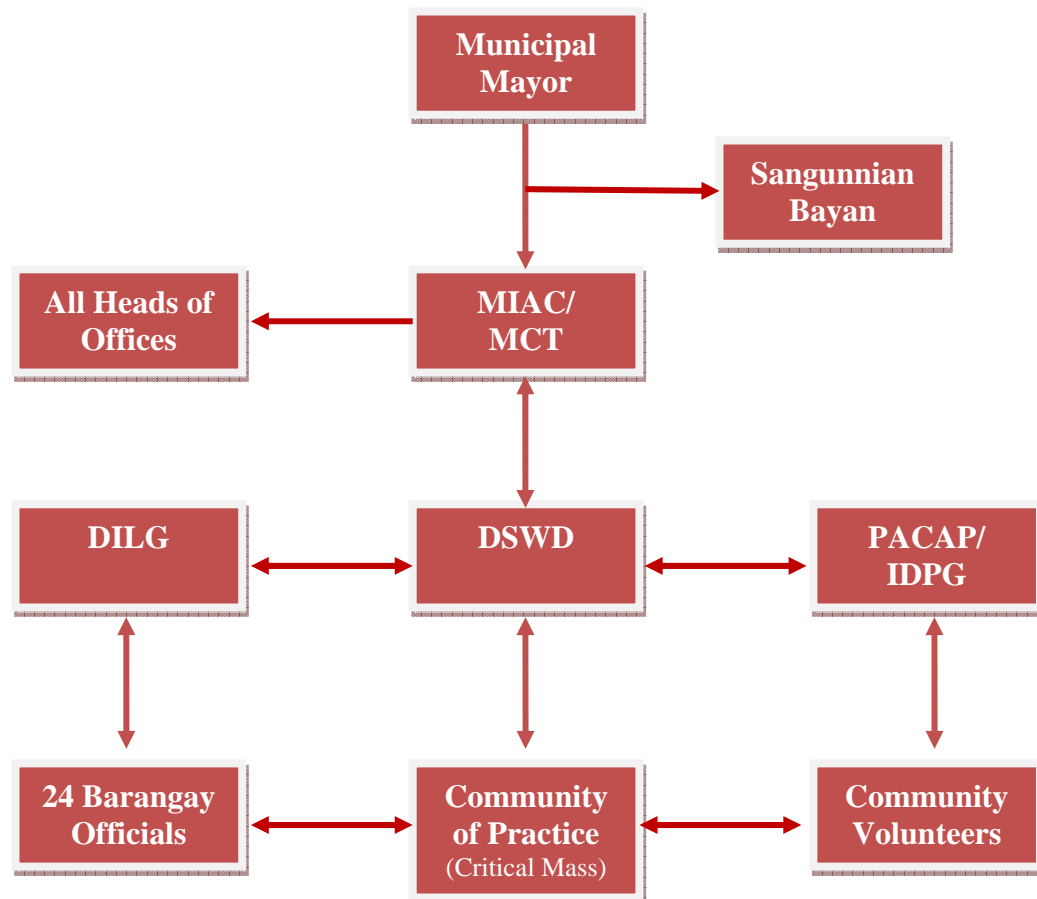
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<sup>34</sup> IDPG was established in 1999 and is registered with the Securities and Exchange Commission and has introduced participatory local governance (PLG) in 376 Barangays in 17 5<sup>th</sup>-6<sup>th</sup> class municipalities in four provinces of Leyte, Southern Leyte, Biliran and Eastern Samar.

<sup>35</sup> Established since 1986, the Philippines-Australia Community Assistance Programme (PACAP) is a grant facility of the Australian Agency for International Development (AusAID). Projects supported by PACAP have sought to introduce innovative development approaches that uplift the social and economic conditions of marginalized communities.

Following chart will help understand the organisational structure for the implementation of *Bantay Sangkay* project:

Figure 2.4  
Organisational Structure for the Implementation of *Bantay Sangkay* Project



Continuity of KC participatory approaches and processes; adoption of community driven development (CDD) technology into the LGU's local planning and budgeting or the public expenditure management cycle; and to systematise the use of social accountability mechanisms, tools and activities initially developed through the KC were major objectives of '*Bantay Sangkay*' project. The project aimed at creating a critical mass of 25 people in each of 24 *barangay* in Pinabacdao capable of energising local governance and making it work in participatory and inclusive way.

Focus of '*Bantay Sangkay*' project was on public action for development. The project focused on the interface of civil society and government and tried to strengthen 'supply side' and the 'demand side' of local governance. Project intended to integrate and harmonise community driven development (CDD) processes introduced by KC with the local development planning- budgeting processes of the LGU. *Bantay Sangkay* project also organised women and senior citizens.

#### (d) Planning Process in Pinabacdao

Process of developing BDC and MDC under Bantay Sangkay followed the process as defined in the manual developed by DILG on Rationalised Planning Process and using Community Based Monitoring System (CBMS) data and tools for participatory situational analysis as developed by IDPG.

The Community-Based Monitoring System (CBMS) is an organised way of collecting information at the local level for use of local government units, national government agencies, non-government organisations, and civil society for planning, programme implementation and monitoring. CBMS intends to fill the information gaps in diagnosing the extent of poverty at the local level, determining the causes of poverty, formulating policies and programmes, identifying eligible programme beneficiaries, and assessing the impact of policies and programmes. CBMS work involves the design, pilot test and implementation of a methodology for data collection and data processing, validation and utilisation of CBMS data for needs identification as well as for the design and monitoring of programme interventions at all geopolitical levels. The CBMS adopts a set of core indicators that cover the different dimensions of poverty. These indicators have been chosen on the basis of the multi-dimensional aspects of poverty and have been confined largely to output and impact indicators<sup>36</sup>.

Implementation of the project started in August 2008 and lasted for a year with the capacity building including activities like harmonisation of local development planning using community driven development; creation of a municipal learning network; activation of *Banrangay* Development Council and creation of a critical mass of grass roots leaders.

First of all, a training workshop for the newly elected officials was conducted. Later in September 2008 Training of *Brangay* Development Plan (BDP) facilitators was conducted. The pool of trainers was composed of the *Punong Barangay* (*Barangay* Chief or Captain), *Barangay* Secretaries of all 24 *barangays*. Municipal Inter-Agency Committee (MIAC) and the Municipal Coordinating Team were formed during this training of BDP facilitators.

A Harmonisation workshop with MLGU, DILG, DSWD, IDPG and the 24 *barangays* was organised to develop and agree on the planning model and the BDP-PSA process. The project partners conducted three-day hands on learning workshop.

A Municipal Learning Network (MLN) was created comprising of the Mayor, *Sanggunian Bayan*<sup>37</sup> members, MIAC, MCT, Community of Practice (COP) - 24 *Punong Barangays* and 24 *Barangay* Secretaries and the Community Volunteers.

BDCs in the 24 *barangays* were reactivated and strengthened in the preparation of actual conduct of the BDP-PSA. BDC were composed of 1 *Barangay* Chairperson, 7 *Barangay* Kagawad<sup>38</sup>, 1 *Sangguniang Kabataan*<sup>39</sup> (SK) Chairperson representative of

<sup>36</sup> Cited from the website [http://econdb.pids.gov.ph/index.php?option=com\\_content&task=view&id=25&Itemid=40](http://econdb.pids.gov.ph/index.php?option=com_content&task=view&id=25&Itemid=40) accessed on 8 June 2010

<sup>37</sup> The *Sangguniang Bayan* is the legislature of municipal governments in the Philippines. It passes ordinances and resolutions for the effective administration of the municipality.

<sup>38</sup> A *Barangay* Kagawad is an elected government official who is a member of the *Sangguniang Barangay*

youth, 1 representative of farmers, 1 representative of fisher folk, 1 representative of women, 1 representative of senior citizens, 1 representative of labor, 1 representative of religious group and 1 representative of the Parent Teacher Community Association (PTCA).

All 24 *barangays* were divided into 5 clusters and during October- November 2008 training cum planning workshop on *Brangay* Development Planning through Participatory Situational Analysis (PSA) was conducted. The 5 clusters were able to formulate their *Barangay* Development Plan through PSA workshop.

During the actual planning process the Mayor looked into the activities in every *barangay* and was able to know the real problem and situation of these *barangays*. In the formulation of BDP, all sections of the community-church, fisher folk, women, youth, senior citizens and other representatives were involved. BDP was later submitted to *Barangay* General Assembly for approval. BDP was integrated into Municipal Development Plan (MDP) by the Municipal Development Committee.

Development model that was applied in the formulation of Municipal Development Plan was as follows:

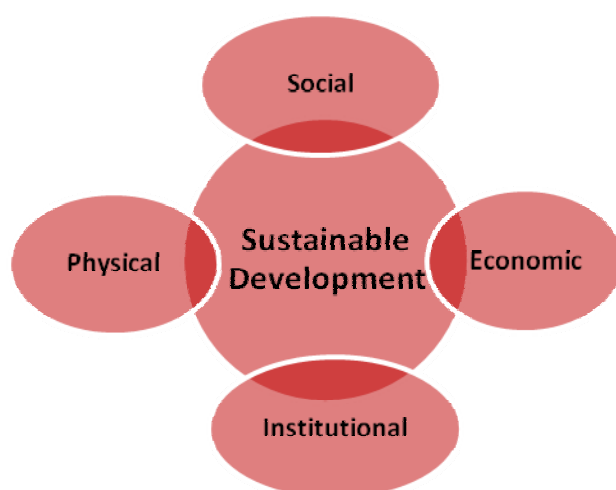


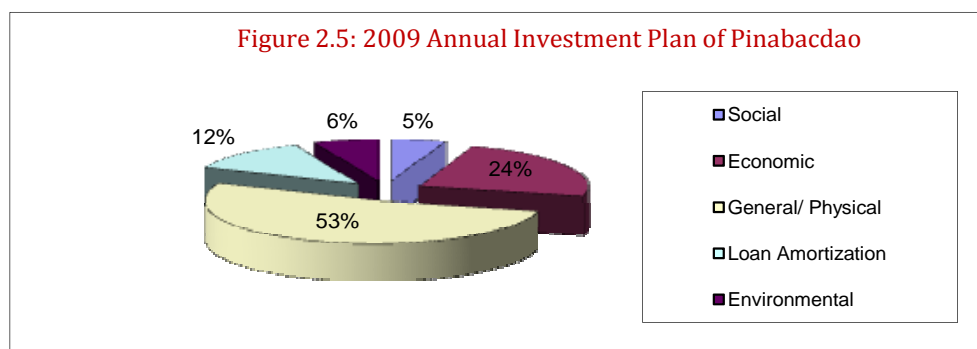
Table 2.1  
Issues Identified during BDP-PSA Process and Consolidated

Social	Physical	Economic	Institutional
Sanitary Toilets	Farm to market road	Farm implements	Livelihood skills and entrepreneurship
Sufficient supply of drinking water	Barangay multi-purpose hall	Credit access/ subsidy	Knowledge on Community Resource Management, agriculture, waste management
Relocation from	Repair of water	Alternative	

<sup>39</sup> The Sangguniang Kabataan (SK) (Youth Council) is the governing body in every chapter of the Katipunan ng Kabataan (Youth Federation). Each *Barangay* in the Philippines is mandated by law to have its own chapter of the Katipunan ng Kabataan.

landslides prone areas	system	source of income	
Sufficient medicine and medical facilities	Dumping site for solid waste	Illegal fishing/ depleting marine resources	
Additional teachers for elementary school and day care	River/ flood control	Irrigation facilities	
Child nutrition	Day care centres	Fair market price for farm products	
Animal vaccination	Construction of <i>Barangay</i> stage	Availability of seeds/ seedlings	
Forestation	Construction of <i>Barangay</i> court	Livelihood assistance for women's groups and Community Based Organisations.	
Security of land tenure	Construction of <i>Barangay</i> pathway		
	Construction of <i>Barangay</i> health centre		

During consolidation of BDP into MDP, source of funds for prioritised needs were also identified. Some of the projects identified in the Municipal Development Plan got funded but not all, as municipality's internal revenue allocation was quite low because of lesser population of the municipality. 2009 Annual Investment Plan of Pinabacdao municipality distributed its budget in different sectors, which can be seen with the help of following pie chart:



### (e) Donor's Forum

IDPG suggested to organise a donor's forum. Mayor approached the Presidential Assistant for Eastern Visayas region and shared this idea. She wrote to all donor agencies. A total of 530 million pesos was pledged by various government line agencies,



non-government organisations, and other stakeholders during the Donor's Forum held on 27 May 2009 at Pinabacdao.

## 7. Impact on Strengthening Social Accountability

*Barangay* Development Plans that were formulated by the BDCs provided a direction to the PPAs of the *barangay* indicating expected outputs and outcomes, timeframe and source of funds for identified PPAs. BDCs were able to internalise the importance of how to conduct the planning process with the participation of different stakeholders in the community. Through this approach they were able to revisit the situation of the *barangay* and also identify the problem, issues and concerns of the people in respective *barangays*.

### (i) Citizen's Voice in Decision-Making

The process of community driven-development framework gave direction to the communities in terms of participation, transparency and accountability mechanisms. The *Barangay* Development Planning through Participatory Situational Analysis (BDP-PSA) is the window for them to become empowered. The BDC is now able to negotiate and demand resources from the government and non-government organisations.

In the Focused Group Discussion (FGD) conducted as part of this study, community groups felt that KC, SIP and *Bantay Sangkay* projects have led to increased community participation especially in *Barangay* Assemblies; enhanced knowledge of the community regarding formulation of participatory local development plan. They also felt that there was a radical change of attitude and behaviour of the people from a passive observer to an active participant. The MIAC Group felt that KC, SIP and BS has led to more aware, responsive citizenry actively involved in the planning process; plan developed through bottoms-up approach and based on needs of the people and communities.

Needs of women, elderly, youth, religious groups, peasants, fisher folk and other sectors were included in the BDP and representatives of these sectors were involved in the decision making. Community expressed that the identified and prioritised issues and concerns of the community will be taken into account in the future planning process. The community also decided to organise periodic meeting and be always active at the community level.

### (ii) Responsiveness of Local Government

Through KC Project, some of the *barangays* availed individual sub-project that contributed to the progress and development of the *barangay* and the municipality as a whole.

Participatory planning exercise also had positive impact on the environment. There were policies and ordinances implemented by the Municipal LGU of Pniabacdao for protection and preservation of the environment. Community was also able to lobby with Bureau of Fisheries and Aquatic Resources (BFAR) to manage the coastal and forest land areas. BFAR hired 80 community workers with pay amounting PhP 3,000 every month for one year for safeguarding their environment.

*Barangay* Officials, during FGD, expressed that as a result of KC, SIP and BS processes they now know how to lobby and access resources from different funding agencies for the priority development projects of the *barangay*. Projects have also enhanced knowledge and skills of the *Barangay* Officials and volunteers especially on developing the Comprehensive *Barangay* Development Plan by assessing first respective *barangay* on what are people's priority needs with the participation of the different sectors in the community. SIP has increased community participation and this also gives additional learning and experiences to *Barangay* Officials.

MCT Group observed that as a result of these projects, the MLGU have a Comprehensive Municipal Development Plan for the *barangays*; community is participating especially in the implementation of programmes/projects; MLGU has become more responsive especially in extending services to the *barangays*; rights of the community to express opinion on solution of their problems have been recognised; *Barangay* Officials are more aware of their responsibilities especially on the formulation of Comprehensive *Barangay* Development Plan; reconstituted *Barangay* Development Council are more representative in nature.

The Municipal LGU has become more responsive to the concerns of the *barangay* and official's performance is assessed on the basis whether the needs of the community have been responded to or not.

BDP document is serving as a powerful tool for raising resources. Now *Barangay* Captains go to government agencies with BDP document and ask officials what they can do with regard to addressing the priority needs identified through participatory planning process. A corporate is sponsoring a big health project in the municipality only because they have come to know of the participatory planning.

### (iii) Community Monitoring

Greater awareness among the people to engage with the LGU leaders to disclose information was observed. People in the *barangay* asked on the progress, process and timelines of the project to be implemented. All stakeholder groups especially the elders were active in implementation and monitoring of the plan. *Barangay* Captains observed that people were watchful and engaged in monitoring project expenditure. Organisations of senior citizens were actively participating in implementation of the projects. There was voluntary contribution (25% of the labour cost) from the community in terms of labour. People demanded that not only *Barangay* Captains should manage funds but they should also be involved.

Because of better awareness of their rights and also better awareness of whom to approach, people are coming forward to register their complaints and grievances. For example, increased reporting of incidence of child and sexual abuses to social welfare officer has been noticed. Citizens, if not satisfied by the response of the departments at the LGU level are bringing matter to the notice of higher authorities.

### (iv) Change in Power Relations

Plan prepared took into account needs and priorities of women, senior citizens and other marginalised groups. Access to credit for livelihood project, especially for women was

identified as a priority needs and the municipality has responded by starting a micro-credit scheme.

Now there is improved mutual understanding between haves and have-nots in 24 *barangays*. Community has come closer to the *barangay* officials because of the project they implemented in the *barangay*. People are now articulating their needs and *barangay* officials have become mere implementers of decisions made by people.

Government officials are more committed to carry out their assigned responsibilities. They are now getting feedback from the community about how they are performing. They are now comfortable with negative as well as positive feedback from the community. While positive feedback works as reinforcement and motivate them to further improve, negative comments make them think of corrective measures.

Municipal officials feel that they now have more workload because people are visiting them more frequently and officials are also visiting *barangays* more often than before.

### (v) Impact on Poverty and Conflict

It is too short a time to gauge the impact of *Bantay Sangkay* project on poverty in Pinabacdao. However, officials, civil society and community feel that institutionalisation of participatory planning will help reduce poverty in Pinabacdao because LGUs are now addressing the real needs of people. For example availability of water will improve agricultural production and check seasonal migration. Poverty alleviation is more likely also because people are now helping municipal officials think for possible solutions.

Army was also involved in the *Bantay Sangkay* project at a later stage. It was not involved in the beginning because it was believed that Army's presence might scare people away from the project. It is hoped that their exposure to participatory planning and people's concerns will sensitise them to the difficulty that people face due to conflict and militarisation.

Mayor has issued a new ordinance to institutionalise the participatory planning process in Pinabacdao. Now IDPG and Presidential Assistant for Eastern Visayas region is advocating for replicating Pinabacdao experience in whole of Samar, starting initially with 7 municipalities.

## 8. Recommendations/ Suggestions

To sustain the gains from KC, SIP and *Bantay Sangkay* projects in strengthening social accountability through participatory processes, following suggestions have come from different quarters:

- All stakeholders in the municipality feel that next phase of KALAHI-CIDSS II, BANTAY SANGKAY II and SIP II should start. This will further strengthen process of mainstreaming participatory planning and social accountability in Pinabacdao.
- All identified priority projects in the BDPs must be implemented and hence it is necessary to identify possible funding sources for those priority projects not received funding so far.

- It is also recommended to make efforts to sustain community participation in *barangay* level activities.
- Continuation of collaboration among municipal officials, elected representatives and volunteers also needs to be sustained for the institutionalisation of participation and social accountability.
- Baragay level elected representatives and officials felt that all programmes/projects for the development of *barangay* must be directly endorsed to the *barangays*.
- Regular and refresher trainings on participatory planning at Municipal and *barangays* level needs to be continued to institutionalise participatory approach.
- Regular conduct of *Barangay* Assembly and consultation and encouragement to people's participation needs to be continued.
- A team to continuously monitor the implemented programme and project need to be organised. Better implementation of local plans will further increase the confidence of people in the process.
- A new package of CBMS plus needs to be developed. Easy to understand and follow manuals on CBMS, planning, organising and monitoring should be developed.

## 9. Lessons for Mainstreaming Social Accountability

- a) Enabling policy framework for participatory planning and social accountability itself does not result in mainstreaming social accountability. It needs to be complemented by local government and non-government champions as well as community mobilisation at the local level.
- b) Better awareness among people of their rights and whom to approach in case of any grievance leads to more people coming forward to register their formal complaints with local authorities. Participatory planning helps increase such awareness.
- c) An open and reformist Local Chief Executive, such as the incumbent Mayor of Pinabacdao, encourages enhanced people's participation in the planning process, implementation and monitoring of developmental plans. Interventions from top also make entire administration more responsive to the needs and grievances of people.
- d) Prior exposure to participatory processes makes it easier to institutionalise participatory planning and to enforce social accountability at local level.
- e) Common platform such as 'Municipal Learning Network' in Pinabacdao provides opportunity for government officials, elected representatives and citizen leaders to learn together, to exchange views, help enhance mutual understanding and sensitivity towards needs and concerns of other stakeholders. This in turn helps internalise mutual accountability.

# Participatory Planning in Cambodia: A Case Study of Tbong Khmum District, Kampong Cham Province

## 1. Introduction

Cambodian history has been marked by colonialism, conflict over ideologies and domineering behaviour of its neighbours. They have together brought tremendous pains for the people of the country as they have been maimed and killed by numerous events in the past. As a result, the governance structures in the country did not have sufficient time to experiment and mature. Development programmes have always been decided by the people at the top and people have always been treated as beneficiaries. However, governance structure witnessed a transformation after the Paris Settlement of 1991, which created multi-party liberal democracy under constitutional monarchy in 1993. After some turbulence in the political system in mid 1990s, the political system is stabilising and it has paved way for democratic reforms in the country. Decentralisation and Deconcentration are some of the important democratic reforms in the country through which power is being transferred to the people. In this administrative set up, communes<sup>40</sup> have emerged to be the unit of governance where people can participate substantially. In this paper, we shall describe and analyse the processes of peoples' participation in Commune Development Plan (CDP) and try to find out whether these processes have strengthened accountability in the development programmes and service deliveries.

The paper has been divided into the following sections, in the first section, we shall discuss the socio-economic background of Cambodia. In the second section, we shall outline the policy and institutional context of CDP. In the third section, the various dimensions like scale and quality of participation, role of NGOs, role of government departments and commune councillors etc. in the processes related to preparation of CDP in the Kampong Cham province have been discussed.

Cambodia is ranked as one of the poorest developing nations in the world in terms of income and poverty. Simultaneously, it also provides a case of post conflict society that has successfully resolved conflict through national reconciliations, maintained peace and security and taken substantial strides towards democratic governance as well as national development. In economic terms, majority of Cambodian population lives within subsistence economy. Almost two third populations are rural and derives livelihood from traditional and subsistent agricultural practices. Social and economic

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<sup>40</sup> A district is territorially divided into communes, which consists of 10 –15 villages.

indicators of the country require lot of improvement as can be seen from the data presented in Box 1 (Sokha 2005):

These indicators present daunting challenge to government of Cambodia who need to reform the political system, which is at present top-down, hierarchic and weak in accountability and transparency. The civil services in the country have low salary and weak in professional capacity and motivation to deliver the services. Citizens are largely poor and have little information on the government development schemes. Moreover, they lack any say in decision making at any level of the governance. As a result, Cambodia is severely lacking in achievement of Millennium Development Goals (MDGs).

#### Box 2.1 Socio-Economic Indicators in Cambodia

- 36 percent of the population lives below the poverty line of US\$ 0.46-0.63 at the current exchange rate.
- Maternal and infant mortality remains very high (maternal mortality at 437 per 100,000 live births and infant mortality at 95 per 1000 live births (almost 24 per cent of births are considered unwanted).
- In 2000, 58 per cent of women between 15-49 years of age, 66 per cent of the pregnant women and 87 per cent of children were anemic. 44 per cent children were stunted; 15 per cent wasted; and 45.2 per cent were underweight.
- Illiteracy among men is 25 per cent and 45 per cent among women. Immunisation, health services, sanitation, preventable diseases are largely inaccessible to poor.

## 2. Policy and Institutional Context

### (a) National Development Framework

Recognising the need to reduce poverty and achieve the MDG, the Royal Government of Cambodia has given high priority to governance reform and poverty reduction since 1998. The Royal Government of Cambodia devised *Rectangular Strategy* (2003-2008) for undertaking these challenges.

The Rectangular Strategy is an “integrated structure of interlocking rectangles”. The core of the rectangle i.e. first part is good governance with four components (i) anti corruption reforms (ii) legal and judicial reform (iii) public administration reform including decentralisation and deconcentration, and (iv) reform of the armed forces, especially demobilisation.

The second part is building an appropriate environment for implementation of the strategy. It also focuses in four aspects: (i) peace, political stability and social order (ii) partnerships: stakeholders, private sector, donor and civil society (iii) favorable macro-economic and financial environment and (iv) integration of Cambodia into the region and the world.

The third part has four strategic “growth rectangles”. They are (i) agriculture (ii) private sector and employment (iii) improved physical infrastructure and (iv) capacity and human resource development.

Rectangular Strategy in addition to Cambodian MDGs (CMDGs), National Poverty Reduction Strategy and National Population Policy have been combined together in

National Strategic Development Plan (2006-2010) which lays out vision, goals, strategies and priority actions for next five years. NSDP provides framework for growth, employment, equity and efficiency to each CMDGs and keep focus on equitable, pro poor and pro rural development. It contains goals and strategies for reducing poverty, rural development, building infrastructure and strengthening measures for decentralisation and deconcentration more effective. It aims to promote democracy both at national and sub-national level. "NSDP has been often referred to a blue print for further progress on building edifice of New Cambodia based in institutions of governance, processes and procedures" (NSDP 2006). NSDP, overarching policy document, also sets the agenda of strengthening decentralisation in the country.

## (b) Decentralisation in Cambodia

The history of decentralisation in the country can be traced to period prior to Rectangular Strategy. Decentralisation reform has been a major policy of donors for example, the UNDP Seila Programme experiment in 1996 which designed to formulate and test systems for decentralised and deconcentrated planning, financing, management and implementation of local development at commune and provincial levels. The level of decentralisation made a quantum jump from the programmatic level to institutional level when the effort was made to create commune/*sangkat* councils as the lowest units of governance.

Cambodia is a relatively new-comer in decentralisation reform process. The Royal Government initiated decentralisation reform with three objectives:

- Promote participatory local democracy
- Promote social and economic developments
- Reduce poverty.

In January 2001, the enactment of two major laws was the beginning of decentralisation in the country. The first was the *Law on the Election of Commune Councils* and the second was the *Law on the Administration and Management of Communes/Sangkats*. The first one provided for the election of commune councillors and second one dealt with more power in public decision making. In 2002, the first commune council elections took place; thereafter a number of supporting regulatory structures and mechanisms were established.<sup>41</sup> Box 2 outlines some important points of decentralisation in Cambodia (Sokha 2005).

One of the most significant dates in Cambodia's recent history was 3 February 2002. On that day 954 women and 10,307 men in all 1,621 communes and *sangkats* of Cambodia<sup>42</sup>

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<sup>41</sup>The inter-ministerial National Committee for Support to Communes (NCSC) and its Secretariat; the Department of Local Administration (DoLA) in the Ministry of Interior (MoI); the Commune/Sangkat Fund (CSF) (for administrative and local development); and the Department of Local Finance (DoLF) within the Ministry of Economy and Finance (MEF). In accordance with the delegated functions and mandates of national agencies, Provincial Rural Development Committee (PRDC) structures were established in all provinces. The *Strategic Framework for Decentralisation and Deconcentration Reforms* was approved by the Councils of Ministers on June 17, 2005. A Royal Decree (August 18, 2006) established the National Committee for the Management of Decentralisation and Deconcentration Reform (NCDD), to replace the NCSC and take charge of Decentralisation and Deconcentration. (Source: Assessment of First Term of Decentralisation)

<sup>42</sup> The 'Sangkat' is the equivalent of a Commune in a municipality. Communes are predominantly rural, and Sangkats are normally urban, but there are also "urbanised" Communes and "rural" Sangkats. From this point onward, the term 'Commune' will be used to refer to both the Commune and the Sangkat.

were elected as members of commune or *sangkat* councils. Each council has 5, 7, 9 or 11 members, depending on the population of the commune. Elections are contested along party lines; the main political parties at commune level are the Cambodia People's Party (CPP), the FUNCINPEC and the Sam Rainsy Party (SRP). The councillors are elected on the basis of proportional representation of the political parties. Elections of communes are the first level of participation of citizens in commune affairs.

#### Box 2.2

##### Important Pointers on Decentralisation in Cambodia

- Commune/*sangkat* councils (commune in rural areas and *sangkats* in urban areas) are decentralised local bodies;
- Communes are entitled to own source of revenue and they can access development and administrative grant assistance from the government and external assistance on annual basis, which is also known as Commune Fund.
- Communes must follow bottom-up participatory planning process in order to address the needs and aspirations of the citizens. It prepares Commune Development Plan with the participation of the citizens.
- At the national level a National Committee to Support Communes is established for policy coordination and to support the communes and Ministry of Interior works as the link ministry.
- Significant support to communes and sub-national bodies for capacity development is provided by the government and international NGOs.

### (c) Role and Responsibilities of Commune Councils and Other Councils

The Commune Law, 2001 provides the basic legal framework for the establishment and operation of the Cambodian local councils. The Law empowers the communes with legislative and executive authority and establishes the commune councils as the bodies representing their citizens.

A commune council governs the commune administration. Every commune council has a commune chief who also acts as presiding commune councillor. The commune chief has two assistants, a first deputy chief and a second deputy chief who come from among the elected councillors. The chief may also appoint advisory committees. Committees are composed of councillors and may also include citizens (or other representatives, such as NGO staff) as members. Committees play an advisory role to a council. In addition to these committees, the MOI requests that each commune council establishes the following two committees namely Planning and Budgeting Committee and Procurement Committee in order to receive funding. (Pact Cambodia 2004)

In order to carry out their duties, the commune councils have their own financial resources and staff to support them. Each council has a clerk appointed by the MOI who is employed within the MOI administrative framework. The clerk is responsible to the commune council and has no supervisory or disciplinary functions over councillors. (Ibid, 5)

The main functions of the commune as defined by law are broad and permissive, rather than mandatory. It has been given the role of both general administration and local



development services. The Commune Law defines the following functions for the commune councils (Romeo and Spyckerelle 2004, 3-10):

- (i) With respect to local finances, the law requires each commune to have its own financial resources, budget and assets.
- (ii) Communes have the right to collect direct revenues from taxes, fees and other service charges (own-source revenue) and they may be entitled to a share of national revenue instruments (tax sharing). They are entitled to receive transfers from a share of national revenue. They are however barred from borrowing.
- (iii) It provides for the central government to compensate the communes when the latter perform any function on behalf of the national administration (agency functions).
- (iv) It establishes the Commune/Sangkat Fund (CF) as a primary mechanism to channel central government funds, donor loans or grants, and other resources, to the financing of commune expenditures (fiscal transfers).
- (v) It requires communes to prepare an annual balanced budget.
- (vi) It requires the communes to prepare of CDPs.
- (vii) It establishes that bye-laws and commune orders (*deccas*) are approved by the communes.
- (viii) Any other matters prescribed by the MOI.

A basic principle underlying the Cambodian decentralisation reforms is that commune councils were not elected only to deliver administrative services, mediate local conflicts and maintain law and order within their jurisdiction. Indeed commune authorities were meant to assume primary responsibility for local economic and social development. To this effect, the Commune Law gives to local councils, broadly defined powers to handle local affairs, meet basic needs and serve the common interests of commune residents (Ibid).

However, having stated such principles, the “law remains extremely vague as to the actual responsibilities of the councils for services delivery. It stipulates that commune authorities should...arrange necessary public services and be responsible for the good process of those affairs..., but does not specify mandatory responsibilities with respect to any public service. By not imposing a wide array of functions onto the communes, but letting them handle primarily administrative tasks (such as civil registration) and experiment with the contracting of local works, goods or services, the councils gradually gain experience and build up self-confidence to take on, in due course, specific, and more demanding, services delivery obligations” (Ibid, 5).

This point is worth stressing. “Decentralisation in Cambodia is not concerned with the devolution of specific service delivery responsibilities but they tried to address the issue of local-level governance and public expenditure management systems including the promotion of participatory planning, budgeting and implementation procedures” (Ibid, 6). In the institutional framework of decentralisation, citizens have various avenues of participation but we shall focus only for participatory planning and its role in enhancing social accountability.

To enable the participation of every citizen in local development and improve the management and delivery of quality public services for meeting locally established priority needs, the Organic Law 2008 was formulated which led to the establishment of

sub-national councils. The organic law also known as the law on administrative management establishes the linkages between all the tiers of administrative units for democratic development of the country. It specifically deals with councils at different tiers focusing on the participation and consultations in the development process. “Law on Administrative Management of the Capital, Provinces, Municipalities, Districts and Khans” adopted in 2008 defines administrative management of the Capital, Provinces, Municipalities, Districts and Khans. The Capital, Province, Municipality, District and Khan have its council, which is indirectly elected in accordance with procedures provided in the Law on Elections of the Capital council, Provincial council, Municipal council and District Council.

A council shall have a mandate of five years and the number of councillors of each council shall be determined based on demographic and geographic factors. The council has the role to undertake activities necessary to achieve the purpose of establishing, promoting and sustaining democratic development and to perform functions and duties that have been assigned and delegated to it through this Law. The council has the authority to make legislative and executive decisions and formulate and approve a five-year development plan to be updated annually through a three year rolling investment programme.

The procedures for consultations in the development planning process at the sub-national administrations are defined by sub-decrees of the Minister of the Ministry of Interior (MOI). The council shall monitor and evaluate annually the implementation of the development plan of the council.

In the organic law, the role of district council has been specifically defined. The district council shall establish, promote and sustain democratic development within its district by

- Assisting each commune and *sangkat* council to establish, promote and sustain democratic development;
- Working together with the commune and *sangkat* councils to promote public participation in the governance process within the district, commune and *sangkat*;
- Finding out and respond to the needs within its district and requests from the commune and *sangkat* councils (Article 96);

The district council is accountable to the commune and *sangkat* councils and to all citizens within its district for its choices, decisions and performance, including the impacts of those choices, decisions and performance (Article 98).

The district council shall conduct consultations with commune and *sangkat* councils and other stakeholders to assess the capacity of the commune and *sangkat* councils on a regular basis and provide capacity building and training to the commune and *sangkat* councils and their staff members as well as raise public awareness of citizens in each commune and *sangkat* on a regular basis in order to establish, promote and sustain democratic development (Article 99).

The district council and the relevant commune and *sangkat* councils shall integrate identified strategies, programmes and activities for responding to the needs and requests of the commune and *sangkat* councils into the three-year rolling investment programme and five-year development plan of the district, communes and *sangkats*,

including the annual budget plan and medium term expenditure plan of the district and communes (Article 100).

Following consultations with the commune and *sangkat* councils, the district council shall facilitate and enhance the administrative capacity or administrative resources necessary for commune and *sangkat* councils to enable them to have adequate and permanent administrative capacity (Article 101). The working of district, commune and *sangkat* councils is closely integrated in the law of administrative management.

To implement the terms of the Organic Law and to oversee and coordinate implementation of national Decentralisation and Deconcentration (D&D) Reforms, the National Committee for Sub-National Democratic Development (NCCDD) was established by the Royal Government of Cambodia. This committee shall oversee the implementation of National Plan for Sub-National Democratic Development (NP-SNDD), a 10 year reform agenda directed for comprehensive and in depth reform process of sub-national administrations. It envisages cooperation between central ministries, sub-national administrations, development partners, civil society organisations and other concerned stakeholders for implementing D&D reforms. It will be the mechanism to technical and financial assistance to the implementation of D&D laws and policies. NP-SNDD provides the implementation framework and programme areas (activities) for achieving sub-national democratic development (National Programme for Sub National Democratic Government 2010-19, 2010). The five programme areas identified are:

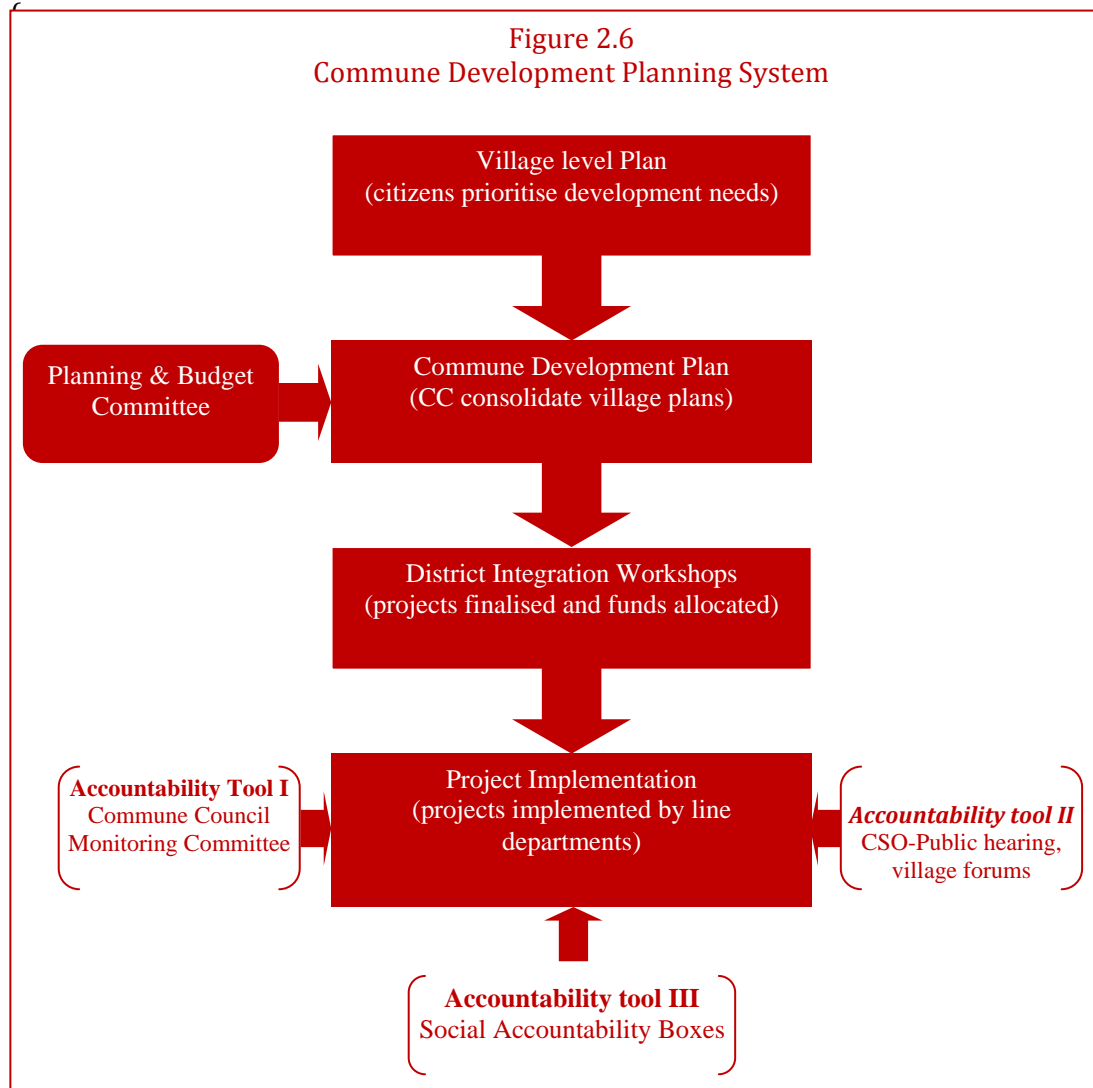
- (i) *Sub-national Institutional Development:* directly and indirectly elected councils at all sub-national administrative levels representing the communities shall be responsible for programme implementation. It will be provided with administrative systems for the purpose.
- (ii) *The Development of Strong Human Resource Management Systems:* the elected councils shall have qualified, competent and experienced staff (a cadre of civil servants) to undertake functions on behalf of councils and shall be accountable to them.
- (iii) *The Transfer of Functions and Resources:* Councils of all sub-national administrative levels shall assigned functions/responsibilities with adequate resources, in order for them to be able to provide public services, to the local communities. The transfer of functions and resources shall be carried out in a transparent, coordinated and consultative manner.
- (iv) *Sub-National Budget, Financial and Property Systems:* For providing adequate financial and property resources to the elected councils, the organic law provides the power the make plans, budgets, finance and property in accordance to rules, procedures and systems.
- (v) *Support Institutions for D&D Reform Process:* To coordinate comprehensive and in depth reform process, NCCD has been established which shall ensure close cooperation with the Council for Administrative Reform (CAR), the PFM Reform Committee and other sectoral reform mechanisms on ensuring adequate staffing, capacity, financing and other resources according to each implementation phase.

The Royal Government of Cambodia expects that the sub-national democratic development will create a culture of local participatory democracy, accountable to the

citizens, improve public services and infrastructures, bring about social and economic development and contribute to poverty reduction.

#### (d) The Commune Development Planning System

The Commune Law and its subsequent regulations mandate all communes to adopt and implement a five-year Commune Development Plan (CDP). “The Plan is to be prepared and approved by the councils in the first of the five years of their mandate, and must be reviewed and updated yearly. The CDP is meant to provide the framework for a multi-year Commune Investment Program (CIP) and for the preparation of the annual budget”



Communes facilitate in preparation of CDPs by initiating the bottom up process at the village level. Village chief (nominated by commune council in each village) convenes the planning meeting in the month of July every year. All the villagers are informed about the meeting. Sometimes these meeting are attended by commune council members and officials of the government but their presence is not mandatory. The participants in the planning meet prioritise the development needs of the village and sent it to commune council. Commune councils then meet to discuss the plan send by the villages, thereafter, it prioritises the projects (infrastructure as well as service delivery) for the whole

commune, which is named as Commune Development Plan. Once the CDP is finalised, commune council sends it to District Integration Workshop.

The planning meetings at the commune level are open to public participation. In addition to these avenues of participation, people can also put up their demands in monthly meetings of the commune. According to the Commune Administration Law, commune councils are required to hold regular monthly meetings with all councillors. The law intends for these meetings to be open to the public, although councillors have the right to hold additional closed meetings at their discretion. But these meetings are less regular, however, in some instances, these meetings are held every month (Pact Cambodia 2004, 22-23).

The minutes of these meetings are sent to village chiefs and are to be disseminated in the village meetings. Some of the communes have also information boards where minutes of commune meetings or any other important information is put up. But people say that they have not heard of any report of council meetings but information boards raises their curiosity even though most of the villages are not literate (Ibid).

Another body, whose establishment is mandated by the commune planning regulations, is the Commune Planning and Budgeting Committee (PBC). This is an advisory body, which has a critical function in local public expenditures management and in which each village is represented by two persons (one man and one woman). PBC prepares CIPs looking for the resources for each of the projects. These representatives may be able to voice the concerns of their villages and influence commune-level resources allocations for the projects. They can play a crucial role in political education of the communities especially facilitating in the exercise of CDP (Ibid). This village level structure is important avenue of participation for the citizens. It plays both an extension and advisory role vis-à-vis the formal council, represents the voice of people, which may not have been reflected in village level plan due to some reasons.

PBC also helps in preparation of draft budget for Commune/*Sangkat* Fund, which is submitted, to commune council for adoption. The commune/*sangkat* council adopts the draft budget during a public plenary meeting not later than 31 October of every year. The council adopts the draft budget section by section (Article 11, Sub Decree Commune/*Sangkat* Fund). After the approval of budget in District Integration Workshop, the funds are disbursed from national treasury and it is spent by the commune council. The amount of disbursement is calculated on the basis of three parts, one part is equal for all councils; second part is proportional to a commune's population; and the last is calculated according to the commune's poverty index.

The purposes of the Commune/*Sangkat* Fund are (Article 2, Sub Decree Commune / *Sangkats* Fund):

- To enable the communes/*sangkats* to assume their general responsibilities for local administration and promotion of local development on the administration and management of communes/*sangkats*.
- To act as an incentive for building the capacity for good governance of the communes/*sangkats* councils.

The resources received by the Commune Fund (CF) are divided into two categories: one for administration expenditure and the other for local development expenditures (Article 15, Sub Decree Commune/*Sangkats* Fund). Administration expenditures relate

to the expenses incurred by the councils in the performance of general administrative duties. Development expenditures are mainly related to the development of local infrastructures (with the exception of administrative facilities) and the delivery of local economic and social (but not administrative) services. The survey, design, construction, repair and maintenance of roads, bridges, markets, educational and health care facilities, community centers, irrigation networks and structures, agricultural storage facilities, water and power supply and other economic and social infrastructure fall in the category of development expenditure.

It's important to stress that the CF resources constitute the bulk of locally programmable resources for development spending at the commune level. However, they also stimulate further local resources mobilisation since part of the cost of CF-supported projects must be covered by local contributions. Depending on the project, such resources can either come from local taxes paid by all commune citizens, or from specific contributions paid by the direct project beneficiaries (Romeo and Spycerelle 2004, 6-9).

The law mandates that the draft budget should be prepared with wide public participation. The commune/*sangkat* chief must ensure wide public participation in the budget formulation process by disclosing the draft budget at least two weeks before the meeting of commune council. Citizens must be provided the opportunity to attend commune council deliberations on the draft budget and PBC meetings must be open to citizens that are interested in reviewing the draft budget (Article 12, Sub Decree Commune/*Sangkats* Fund). Further the fund disbursement is linked to citizen participation in the process of budget preparation (Sub Decree Commune/*Sangkats* Fund). The Provincial Governors, on behalf of the MOI, shall verify that council has followed process of participatory planning and budgeting; completed all financial reports on the execution of their budget and development plan and mobilised beneficiaries contributions and other local resources for the fund. Thereafter, it recommends the MOI the finalisation of the transfer. CF is important resource of the commune council, which is normally used for the projects, which are not approved by the government. The discretion of commune council to spend the CF has led to meeting the urgent needs of people related to infrastructure related to water, roads, health centers etc.

### (e) **Deliberations in District Integration Workshop**

After the CDP has been prepared, Commune Council sends these documents to District Integration Workshop (DIW) for deliberations. DIW is a critical step where the budgets for CDP are committed by the government. In the workshop, "Commune councillors formally interact with other agencies involved in local development, including provincial departments of national ministries, donor funded programme implementation units, NGOs and negotiate the financing and implementation of projects and activities that either emerge from their needs identification or are otherwise worth including in their plans. Once the DIW is concluded with the commitment of other actors to support certain local activities and projects, the commune authorities can proceed with the final allocation of their own resources including any own-source revenue and the allocation of the CF. The DIW provides an institutional mechanism for the communes to articulate the local demand of infrastructure and services, with the potential supply by line agencies and other actors, which currently remain the source of financing and the implementing agencies for the bulk of local investments and services" (Romeo and

Spyckerelle 2004, 11). DIWs are the forums mandated by law for the integration of commune, line department and aid agency development plans for the financial year.

“DIWs are meant to be a specific step, common to the planning processes of both communes and provincial sector departments. While this is still a new concept for sectors, and the ability of provincial departments to interact with commune councils remains constrained by their own limited autonomy with respect to central planning and funding of sector activities, there are signs that the DIWs are starting to influence sector programming of government resources”. (Ibid, 11)

### Box 2.3

#### District Integration Workshops: Composition and Functions

- DIWs are convened every year for finalisation of CDPs in the district.
- DIWs are attended by commune councilors, officials of line departments and members of aid agencies / NGOs.
- Financial commitments are made by line departments and aid agencies / NGOs for the projects to be implemented in the communes. Funds are allocated for the Commune Funds.
- DIWs also reflect on the implementation of development activities in the previous year

## (f) Project Implementation System in Communes

Though project implementation is not the part of CDP but it is the result of CDP. It is worthwhile to know the role of commune council in implementation of the projects, as it would help in knowing accountability in the governance system at the commune level. Though, the responsibilities for managing the delivery of the public services are not yet clearly assigned to commune councils and the communes do not have administrative set up to carry out any implementation work, but their role in monitoring and evaluation of CDP projects has been spelt out clearly. Firstly, commune council is concerned with implementation of the local development projects, which is carried out by contracting out construction and other services. The contracting out is mostly done to contractors based at district or provincial level and are registered by the provincial administration, which certifies their general capacity to implement projects. Contractors are selected through competitive bidding processes and sign contracts directly with the commune councils. A technical team at provincial level assists the communes to monitor implementation of the projects and administer the contracts (Ibid, 11-12).

Secondly, every commune council must nominate two persons (one commune councillor and one citizen) for monitoring and evaluation of CDP projects. These persons should facilitate and coordinate all activities related to monitoring and evaluation of commune activities, mobilise citizens in the commune to participate in the monitoring and evaluation of commune activities, regularly monitor the projects, collaborate with relevant departments, agencies and civil society organisations to provide training on project monitoring and evaluation for councillors and the PBC, participate in meetings with technical officials on the project implementation process and report to the commune council and PBC on project progress and problems encountered during project implementation (Pact Cambodia 2004, 8-9).

Development agencies / NGOs have started playing key role in promoting accountability at the commune level. They organise village forums and annual village summary meetings where councillors are invited to attend and answer questions from the public. These local-level forums, which emphasise public interaction, are a solid first step for promoting the accountability of councillors. They provide members of the community with opportunities to obtain information and request justifications for actions taken or not taken by the councillors (Ibid, 22-23).

So both formal and informal mechanisms of accountability are being experimented in the governance system in Cambodia. Community level planning provides the framework for the accountability as community involvement right from the stage of planning helps them to get a complete understanding of what had been planned and approved and what is being implemented. So the process of accountability starts at the stage of planning; greater involvement of community at the planning stage will create a system of accountability where community has greater ownership, which would lead to better implementation of the projects.

### **3. Participatory Planning Process (Tbong Khmum District, Kampong Cham Province)**

Mentioned above is a detailed description of policy and institutional framework of decentralisation with a focus on participatory planning in Cambodia. It would be important to find out the realities of participatory planning on the ground with the objective of documenting the best practices and challenges of the processes. For this purpose, PRIA with support of SILAKA, DND and BSDA undertook a field-based study of participatory planning in Tbong Khmum district. For collecting data from the field, the study relied on focussed group discussions (FGD) with community in Trapaina Sangke village and commune councillors in Sorlop commune and an interview with Deputy Governor of the district. In addition, three FGDs were conducted with the community on accountability in the development programmes in Krola commune, Kampong Siem district. It also relied on the secondary sources for highlighting some of the aspects of participatory planning which could not be captured through the primary data.

It is important to know about the Kampong Cham province before moving on to discuss citizens' experiences with the participatory planning. Kampong Cham is second biggest province in Cambodia and is located in the northeast of the country; 124 kilometers from Phnom Penh. It has 16 districts, 173 communes inhabited by 1,773,992 people with 908,141 females. The main occupation of people is farming and this province is also known for huge rubber plantations managed by Korean, Cambodian and American companies. Infrastructure (roads), water for irrigation, health facilities, education facilities, sanitation like toilets and livelihood are the main issues, which worry people. In the participatory planning at the village level and commune level, people mostly prioritise these issues.

#### **(a) Actors in the Planning Process**

The planning process in the villages of Sorlop commune was initiated by village chief who informed the people about the date of plan meeting. The role of the NGO, Democracy Resource Center for National Development (DND) was very important here they had build capacity of people on importance of planning and processes of planning



which ensured good participation in the village plan meeting. At the commune level, the councillors took up the role of consolidating the village plans or the demands from the villages. They also went to the villages to carry out need assessment of the villages, which supplemented the village plans. It ultimately resulted in preparation of CDP. Once the CDP was prepared at the commune level, it was shared in DIW where the government departments, commune councillors and NGOs deliberated on the CDPs in the district and approved the CDPs.

## **(b) Planning Process**

The local planning process can be divided into three phases: in the first phase, people prioritised their demands at the village level; in the second phase, these demands were consolidated by the councillors at the commune level and finally in the third phase, the commune plans were approved and allocated funds at DIWs.

### **First Phase: Planning at village level**

The planning process in Sorlop commune has been taken up as the case study here and it has been compared with the planning process in other selected communes of other districts. The planning meeting in the villages of Sorlop commune having a population of nearly 17,000 people was organised in the month of July 2009 by the village chief. Most of the participants in the meeting were women as majority of the males had migrated from the village in search of livelihood or were busy in paddy sowing. July is the season of rains when paddy is sown and it acts as the constraint in the planning meeting in the village. Women in FGDs said that they did not have any problems in articulation of their voices and they were not prevented by anybody from speaking or participating. It is important to note here that the participation in the planning process was quite high in this location due to capacity building interventions carried out by the DND. People said that they had prioritised roads, irrigation canals and sanitation facilities like toilets in the village level plan meeting for the year 2009-10.<sup>43</sup>

However, it has been seen in other villages that participation of people in planning process is very sporadic or infrequent as they are not literate and they do not realise the importance of planning process. Women of Ang Koy Dey village, Krola commune, Kampong Siem district said that they do not have time to participate in the planning meeting in the village but they had heard that it was held last year. But they were quite worried about the quality of technical guidance provided to them under pig rearing scheme. They do not realise that pig rearing programme has been prioritised by the people in the village plan in which they did not participate. They are not aware of the fact that all the development programmes in the villages are directly linked to plan meetings. The link between development programmes and plan meetings needs to be explained to them for promoting their participation in planning process.

In most of the villages, village chief prepares the plan on his own, as people do not come for the planning meetings due to poor awareness. People often say that they do not have power to influence public policies or programmes, so participation would hardly make a difference. They said that if anybody has the power to influence public policies or programmes, it is the national government or the Prime Minister, which reflects quite

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<sup>43</sup> FGDs with community took place in Trapaina Sangke village, Sorlop commune.

poorly on the confidence of people to govern themselves. Poor awareness and pessimism have become a big constraint in the participation of people not only in the planning process but also in the monitoring and evaluation of government departments.

It makes the role of NGOs and traditional associations like faith based organisations quite crucial as they have the potential for promoting change in behaviour of people. For example, Pagoda Coordination Committee (PaCoCo) in Kompong Thom province (Stoung District) has used training, workshops and regular public discussions about the principles of decentralisation and it has served to improve communication between local associations and commune council committee leaders. In addition, it has built constructive links of people with commune councils leading to better representation of the problems, concerns and needs of the people (World Bank 2009, 32). Similarly, NGOs are playing important role in mobilisation of people for participation in planning and accountability activities. So, substantive participation of people still remains to be a big issue in the villages of Cambodia.

Sometimes, the members of commune council and district level officials also participated in the meetings in order to see that planning process was going well or not. A female in the FGD in Sorlop commune said that 65 toilets were constructed in her village as people had prioritised it as the most important in planning meeting. Similarly, people also said that roads and irrigation canals have been built in their village in last one year. They were a bit disappointed that none of their demands related to education, health and livelihood were approved but they realised that the government does not have money to implement all the projects demanded by the people, so projects have to taken up on priority basis. They said that they felt quite empowered that they could discuss all the issues in the village plan unlike a decade back when all the plans for the village came from the district headquarters and they had to accept whatever was given to them. Planning process in Sorlop commune was different from other communes as the planning process was participatory and people realised that their participation had influenced development agenda of the commune. It was landmark achievement for the commune as decentralised planning process is quite new to Cambodia and people in some communes have been able to adopt it quickly.

## **Second Phase: Planning at commune level**

The tasks of consolidating the village plans and give the final shape to CDP lie with the councillors. The councillors said that once they received plans from the villages, the projects were ranked on the basis of demands of the villages. For example, if most of the villages in the commune water figured as the most important issue in the plan, then water projects were categorised as most important project for the commune. The ranking of each of the projects were ranked in order of importance helped in finalising CDP. The councillors said that in the financial year 2009-10, distribution of rice seeds was most prioritised demand in most of the village plans in the commune. Some other important demands were construction of roads, irrigational canal, wells, toilets, natural resource management and livelihood generation activities. The councillors said that all these projects were put into CDP of Sorlop commune.

Of all these projects, distribution of rice seeds, construction of roads, irrigation canals, wells and toilets and natural resource management were approved by DIWs. They said that thirty five to forty kilometres of roads, wells, irrigation canals, and toilets were

constructed and a project on natural resource management was also launched in the financial year. The construction of roads, irrigation canals and wells were constructed by government departments; the toilets were constructed from the Commune Fund and natural resource management project was funded by DANIDA. The councillors lamented that the demands for schools and health centers were required by the people but it could not be presented in the CDP as there was overwhelming demand for infrastructure project.

The councilors pointed out that participation of people in the planning meetings continues to be a problem and there is need for capacity building and mobilisation especially before the planning meet. But they added that they do not have any role mobilising people as it is the responsibility of village chief.<sup>44</sup> Moreover, non-acceptance of peoples' demands at the commune level demotivates them and they say, 'what is the use of participation when most of their demands are rejected'. It makes them quite reluctant to participate in planning meetings in the next year. Councillors also said that the non-cooperation of people could also be seen when it comes to giving their land for road construction and irrigation canals, so commune council has to convene consultative meetings to convince them of the needs of the projects for the community.

For making the CDP, commune council in Sorlop commune triangulated the demands made by people in the village plan by carrying out need assessment plan for the villages. The commune councillors went from village to village and held meetings with the community and prepared a database on the needs of the community. They collected information on the five indicators namely service delivery, economic, security, social and natural resource management (environment). The needs assessment was then matched with the plans prepared by the villages and then the CDP was finalised. In these FGDs, officials from the district level can participate, but not much participation was seen in these locations.

### Third Phase: Planning at district level

Once the CDP was prepared at the commune level, it was shared in DIW where the government departments, councillors and NGOs deliberated on the CDPs in the district. In this workshop the commitment for the resources were made for various development programmes in the financial year. In the Tbong Khmum district, according to the Deputy Governor, construction of irrigation canals was one of the main projects approved by DIW. The official said that participation of people could be seen at the planning level as well as in the sharing of resources. Community made financial contribution of nearly 10 per cent in the projects funded by Commune Fund. They also contributed with labour in construction of roads and irrigational canals. NGOs also made financial commitment for funding developments project at commune level or for the whole district at DIWs. Some of the projects, which were considered to be very important by the commune but was not able to find any funder was funded through Commune Fund, e.g. Sorlop commune spent nearly 50 million Riel on road construction in the commune from the Commune Fund.

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<sup>44</sup> Seven councillors participated in the FGDs at Sorlop commune.

#### 4. Accountability in Commune Development Plan

In the CDP, accountability has been envisaged at three levels namely Commune Council Committee, NGO organised village forums and public hearings and accountability boxes (See Figure 2.5). At the first level of accountability, commune councils appoint advisory committees on monitoring and evaluation of projects being implemented in the commune. However, the fiscal and administrative controls of the projects are mostly in the hand of government departments and communes do not have much role to play once the plan is approved. Moreover, the commune have not made substantial progress in terms of raising revenues from taxes, which ultimately means that role of communes in CDP is limited to making plans while implementation is done by other agencies.

The monitoring and evaluation committees, as per law, are supposed to prepare the annual report and engage with line departments in case of poor project implementation. If the implementing agencies are not following the quality and standard as defined in the plan and contract, then these committees can complain to the provincial level authorities. According to the people, they did not know of many instances of monitoring and evaluation by the commune committees in the Sorlop commune of Tbong Khmum district but commune councillors said that this exercise was carried out regularly. There are several instances where roads have been re laid on the complaints of commune council monitoring committee and service delivery has been improved. So evidences of use of accountability tools by the commune committees are there but its use at the level of community is very limited.

Despite these mechanisms for monitoring and evaluation, there are several complaints of citizens especially related to service delivery like health, livelihood projects etc. for example, people in Krola commune said that they have been given very poor quality of pigs under the pig rearing schemes. In order to handle complaints of people, the government has introduced an accountability mechanism in which 'accountability boxes' have been set up in each commune across the country. People deposit anonymous complaints about misuse of CF or poor quality of projects or poor service delivery in the accountability boxes. The boxes are opened monthly by the officials of provincial authorities. In the province of Kampong Cham, the provincial government has distributed about 263 accountability boxes in the commune, but the officials of provincial authorities say that these accountability boxes are hardly used, as citizens are not aware of these boxes. Researches have shown that usage of accountability boxes is very low in Cambodia.<sup>45</sup> The people in Krola Commune (Kampong Siem district, Kampong Cham Province) say that they do not use accountability boxes as it is far away from their homes but they complain to commune councillors about the poor delivery of services. From the case study, it can be said that monitoring and evaluation system is still at early stages of development, it will require good effort for NGOs to make people aware about the efficacy of accountability systems.

Some of the larger issues which is related to decentralisation and planning are that the size of many communes is too small to be able to operate effectively as units of local government, maintain an administrative structure and become capable of adequately providing a minimum level of services. It is advisable that the working groups of the

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<sup>45</sup>Cambodia: Linking Citizens and the State, An Assessment of Civil Society Contributions to Good Governance in Cambodia, World Bank, Feb 2009, p 60.

National Committee for Support to the Communes/*Sangkat* (NCSC), which is established to oversee the implementation of the decentralisation reforms and the completion of their regulatory framework should determine the viability of the communes as services delivery units and assess whether they can operate in a sustainable and effective manner. Some sort of cooperative arrangements between commune councils, or the creation of multi or single purpose service districts would also be desirable as it would overcome the constraints of small fiscal base of communes, economies of scale and other considerations in the service's delivery.

**Box 2.4**

**Participatory Planning as a Tool for Social Accountability – Key Lessons**

- Participation in the village plan meeting makes citizens aware of development priorities in the village.
- Participatory planning helps them in keeping track of plans approved at commune level and District Integration Workshops.
- Projects once approved provide them with indicators for monitoring and evaluation.
- Such indicators help them in using social accountability tools like accountability boxes effectively such as dropping complaints in the accountability boxes.
- Participatory planning builds ownership of the citizens in the development of the village which would not only lead to greater participation in planning, implementation and monitoring process but also each citizen acting as mobiliser in his / her location.

## 5. Conclusions

The uniqueness of the planning process in Sorlop commune lies in the fact that a good beginning has been made in making the participation of citizens substantive. Mobilised by village chief and NGOs, citizens for the first time came forward to decide development plans of the village. They deliberated on the development issues in the village plan meetings and finalised the village development plan, something unheard of a decade back. Moreover, its importance lies in the fact that these deliberations took place in face of poor awareness and pessimism among the citizens. The historical backdrop of Cambodia where all the development plans were decided at the top proved to be huge bottleneck as people felt that it is not their responsibility to plan for development. Hence beginning of participation at the village level in Sorlop commune was a big achievement. Moreover, when some of these plans were approved by commune and government, the citizens felt that their voices are being heard and needs are being addressed. The power to implement projects through Commune Funds would further give them the confidence to implement the development projects.

Commune councillors have also played an active role in consolidating the plans of the villages and preparing the CDP. The mechanisms of monitoring and evaluation of the approved projects are in place but role of community in this stage has been limited. Some of the social accountability tools like accountability boxes have also remain under utilised due to poor awareness. But citizens' participation in the planning process makes them aware of development projects prioritised by the community and the projects approved for implementation. It provides them the indicators through which the project implementation could be monitored, so that accountability process starts at the planning stage. Their participation at this stage means their ownership of the project,

which will ensure their active participation in implementation stage as well. The challenge in the province is to maintain the active participation of community in the planning process and encourage their participation in social accountability tools, so that people start realising the benefits of development.

# Participatory Planning in Mongolia: A Case Study of Erdenet (Orkhon), Mongolia

## 1. Introduction

Mongolia is located in Northern Asia and is landlocked between China and Russia. Since 1924 to early 1990s Mongolian political system followed the Union of Soviet Socialist Republics (USSR) model of democratic centralism. As applied in the USSR, this principle concentrates decision-making authority and the power to take policy initiatives at senior party levels. Throughout the party system, the decisions of higher-level bodies are binding on subordinate-level party organisations. Since 1990, inspired by USSR's 'Glasnost' (openness) and 'Perestroika' (restructuring), Mongolia has undergone a rapid economic and political transition from being an authoritarian socialist regime with a centrally planned economy to a democracy with a market-based economy (Beck et. al 2007, 6).

Mongolia is a unitary state with four levels of government – one central and three sub-national tiers. The highest level of sub-national government is the province (*aimag*) and the capital city. Provinces are divided in regions (*soum*), and the capital city in districts. The lowest tier consists of communities of two types: rural sub-districts (*bag*) and urban sub-districts (*horoo*). There are 21 provinces, with 329 *soums* and 1520 *bags*; the capital city has 9 districts and 117 sub-districts.

The economy of Mongolia has traditionally been based on herding and agriculture, until the 1960s. The country was heavily industrialised between 1960 and 1980, supported by the economic block of communist states – Council for Mutual Economic Assistance (COMECON)<sup>46</sup>. Industry made up almost 40 per cent of Mongolia's Gross Domestic Product (GDP) in 1990 and agriculture represented 20 per cent. Soviet assistance, at its height constituted one-third of GDP, disappeared almost overnight in 1990 and 1991 at the time of the dismantlement of the USSR. In the last few years growth was sustained (10.6 per cent in 2004, 7.7 per cent in 2005, 8.4 per cent in 2006, and an estimated 9 per cent in 2007) largely because of high copper prices and new gold production. Mongolia is experiencing its highest inflation rate in over a decade as consumer prices in 2007 rose 14 per cent, largely because of increased fuel and food costs. Mongolia is a relatively urbanised country, with almost half the population living in the capital city Ulaan Baatar. A large part of the population lives in sparsely populated semi-nomadic communities in the countryside, but settled agricultural communities are becoming increasingly common (Opens Society Institute 2010, 1).

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<sup>46</sup> The Council for Mutual Economic Assistance (1949–1991), was an economic organisation of communist states and a kind of Eastern Bloc equivalent to but less geographically inclusive than the European Economic Community

## 2. Policy and Institutional Environment

“Since the 1990s, decentralisation has been part of Mongolia’s reform agenda. However, the process of decentralisation in Mongolia has been centrally driven, implemented slowly, and is so far incomplete. Politically, citizens elect local parliaments, but governors are nominated by these parliaments and appointed by the next higher level of government. Administratively, local governments (*aimags* and *soums*) have some control over local personnel, but decisions over sectoral policy-making remain centralised. Fiscally, local governments have some revenue raising powers but there is no coherent inter-governmental transfer system in place. While legal reforms are frequently made, Mongolia lacks an integrated decentralisation strategy and, most fundamentally, national consensus on how to operationalise decentralisation with concrete arrangements for the inter-governmental sharing of responsibilities for service delivery and financing (UNDP 2007, 2)”.

New Constitution, adopted in 1992, organises administrative units of Mongolia on the basis of self-governance and state management, each unit having its own Governor and Assembly (*hural*). The Governor is the local representative of the central or higher levels of sub-national government, whereas the assembly is elected by the assemblies at lower level. Governors are proposed by the assemblies and appointed by the immediate higher level of government. Thus, the Governor of a *soum* is proposed by the *soum* assembly and formally appointed by the *aimag*; the governor of the *aimag* is proposed by the *aimag*’s assembly and appointed by the Prime Minister of the central government. All families have the right of representation in the *bag* assembly. *Bag* assemblies elect the *soum* assemblies, and *soum* assemblies elect the *aimag* assembly.

Governors’ offices prepare, implement, monitor and evaluate local policies, and provide administrative services like civil registration, civil services, licenses, and permits. Due to the mechanism of nomination, Governors connect citizens to the higher levels of government. Assemblies, as representative bodies of the people, pass regulations for their jurisdictions, monitor local administrative bodies, approve local budgets and control their execution.

Mongolia’s sub-national governments are extremely fragmented and *aimags* and *soums* vary greatly in size. The average size of a community is 5,000 but some have less than 1,500 inhabitants. In smaller communities where people lead a semi-nomadic life, administrative capacity is low, with virtually no economies of scale in service delivery.

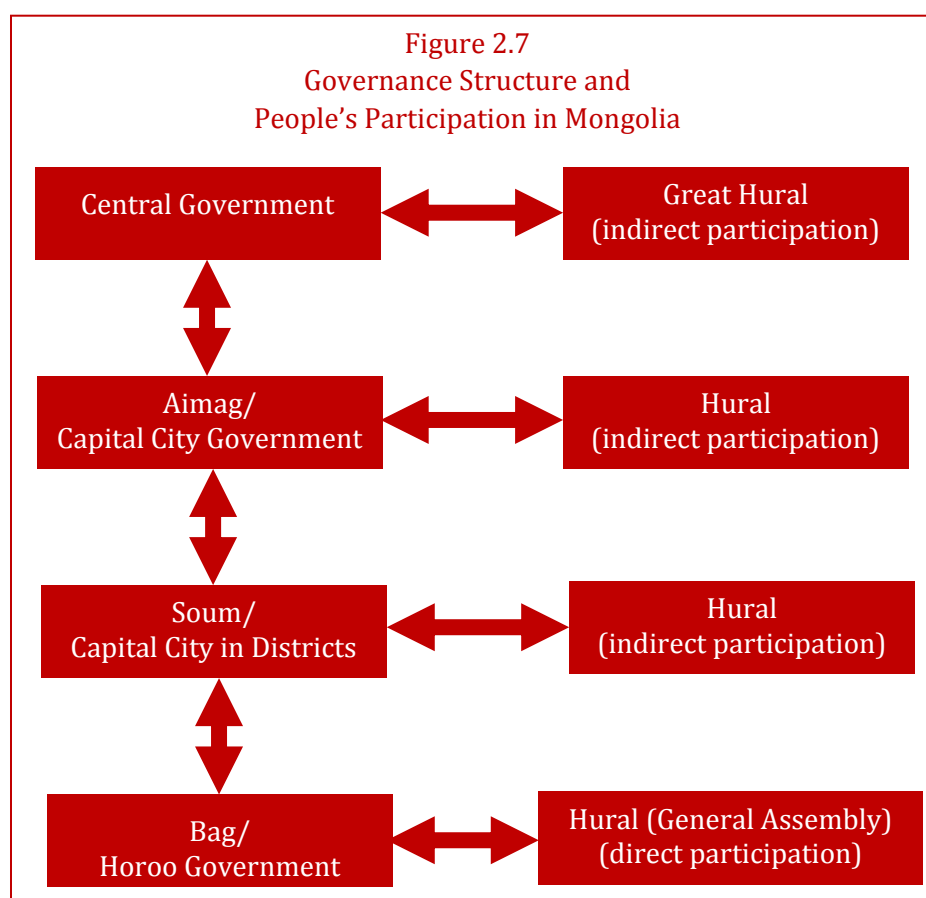
‘The Public Sector Finance and Management Law’ distinguishes between local government responsibilities, financed locally, and central government mandates, delegated by contract and financed centrally. Local responsibilities include sanitation, garbage collection, environment, pest eradication, local road maintenance, sewage, flood and fire protection, and local public infrastructure. Central mandates consist of tasks that are implemented locally but support central government policies, as well as key social tasks: education, health, labour, welfare, and social security. Capital investments are decided centrally, but maintenance and operational costs are covered locally. Staff responsible for central government mandates (health, education), are dually subordinated to the central government under the output-based contracts and to local governments.



Local government revenues consist of taxes decided by the assemblies, shared taxes, and non-tax revenues. Local governments have little revenue autonomy, with local taxes (livestock tax, inheritance and gift tax, property, city tax, transport, stamp duties) representing 6 per cent of consolidated government expenditures. Corporate income tax and excises, shared before 2003, are now retained by the center. Value Added Tax (VAT) is shared, but the proportion is decided annually by the center. All taxes are collected by the General Department for National Taxation, a central government body with local branches, and then local taxes are transferred to sub-national governments. Inter-governmental transfers represented 60 per cent of local government revenues until 2003, when the share dropped to 30 per cent. Transfers are mostly equalisation grants and conditional transfers for central government mandates. Sub-national governments can incur deficits. Only aimag Governors are allowed to borrow, for capital expenditures, with prior approval of the Ministry of Finance.

**(a) People’s Participation in Local Governance**

Local self-governing bodies - besides making independent decisions on matters of socio-economic life of the respective province, the capital city, region, district, community and neighbourhood - organise the participation of the people in solving problems of national scale and that of larger territorial divisions. Authorities at higher level do not take decision on matters coming under the jurisdiction of local self-governing bodies. If law and regulation of respective superior State organs do not specifically deal with definite local matters, local self-governing bodies can decide upon them independently in conformity with the constitution. If the National Parliament and the government deem it



necessary, they may delegate some matters within their competence to the province and capital city parliaments and governors for their solution<sup>47</sup>. However, in reality people's participation in the decision making in local self governing institutions is very limited currently. "The decision making process on law and policy-making is not fully open and consultations with the citizens and the public are according to our sources not conducted effectively. Citizen's participation is still limited and would need further development" (Engblom et.al. 2008, 18).

## (b) Planning in Mongolia

Mongolia is producing two types of planning. There is Land Use Planning and Urban Planning. Land use planning in a market economy is new to Mongolia. Before 1990s the land use planning was mainly directed in the agricultural areas of the country. In the cities, the planning was mainly concerning the urban planning and development. Ideally, the land use plans and urban plans should be well coordinated and the urban planning should be produced strictly based on the land use planning. However, in Mongolia, the land use plans and urban plans are not really coordinated and often there are situations that the urban plans are not following the land use plans.

## 3. About Erdenet

Erdenet is the second-largest city in Mongolia and the capital of the aimag (province) of Orkhon. Located in the northern part of the country, it lies in a valley between the Selenge and Orkhon rivers about 240 kilometres (air distance) northwest of Ulaan Bataar, the capital. The road distance between Ulaan Bataar and Erdenet is about 371 kilometres. Estimated population of Erdenet in the year 2008 was 86,866 (population according to 2000 Census was 68,310).

The city was built in 1975 to extract Asia's largest deposit of copper ore and has the fourth largest copper mine in the world. Erdenet mines 22.23 million tons of ore per year, producing 126,700 tons of copper and 1954 tons of molybdenum. The mine accounts for 13.5 per cent of Mongolia's GDP and 7 per cent of tax revenue.<sup>48</sup> The "Erdenet Mining Corporation" is a joint Mongolian-Russian venture, and accounts for a majority of Mongolia's hard currency income.

Copper mines in Erdenet employs about 8000 people and is the lifeblood of the city. Erdenet is modern and far nicer than most towns in the countryside. It is comparatively wealthy, so the facilities are the best outside of Ulaan Baatar. There is also a significantly large Russian community. Up to a third of the population of Erdenet was Russian during Communist times, though now only about 1000 Russians work as technical advisers in mines.

## (a) Problems in Ger Areas of Erdenet

Urban areas in Mongolia present two very different and distinct patterns of residential development, which are highly correlated with poverty. The first involves planned areas based on USSR-style planning practices and featuring multifamily housing surrounded

<sup>47</sup> Article 62 of 1992 constitution

<sup>48</sup> [http://en.wikipedia.org/wiki/Main\\_Page](http://en.wikipedia.org/wiki/Main_Page) accessed on 1 June 2010

by vaguely defined open space. The second involves temporary *ger* (informal settlement in urban area) areas that are characterised by long strips of large, unserviced plots with wide dirt roads. Mongolia's poor population is concentrated in these *ger* areas. More than 36 per cent of the total population of Mongolia live below the poverty line, and almost 80 per cent of these poor live in *ger* areas in Ulaanbaatar and in aimag (province) centers.

Following the Soviet exodus from Mongolia at the beginning of the 1990s, there has been relatively little formal extension of urban areas, but *ger* areas continued to grow in most cities including Erdenet. As a result, there has been a growing disparity in the provision of services between *ger* areas and formal housing sites. Among beneficiaries of the case project<sup>49</sup> selected for this study, 88 per cent rely on trucked water, either at kiosks or delivered to their houses, as their primary source of water. Such water is of lower quality and less regular than the central piped water supply. Heat is another differentiating factor between the rich and the poor. *Ger* area residents primarily use highly polluting stoves for heating and cooking. In Erdenet, the average household monthly expenditure for heating varies from about 6 to 12 per cent of the total expenditure in contrast to non-poor families, which are predominantly apartment dwellers, spend 3 to 4 per cent on heating (NSO 2003). Other basic infrastructures lacking in *ger* areas include sanitation, paved roads, street lighting, and drainage; and social services, such as schools and health clinics, which are very scarce. Virtually all households use unimproved and, in many cases, dilapidated pit latrines. *Ger* area households suffer from the negative health consequences associated with (i) unsafe drinking water, (ii) poor sanitation, (iii) little to no solid waste management, and (iv) air pollution created by stoves.

*Ger* housing areas have been a major feature of Mongolia's urban landscape for many years. Nevertheless, a lingering government attitude is that these areas are temporary in nature and that formally developed apartments will replace them soon. This attitude persists at virtually every level of city decision-making in planning departments, utility agencies, and government offices. This is one reason why previous efforts to upgrade *ger* areas have been undertaken in only a limited and piecemeal manner, with little interest in generating more broad-based or longer-term improvements. Until now, there has been little meaningful development or visible change in most *ger* areas.

## **(b) Initiator and Facilitators of Participatory Planning**

Asian Development Bank (ADB) in collaboration with Government of Mongolia, Japan Fund for Poverty Reduction (JFPR) and German Development Service with support from local consulting organisation Urban Development Resource Centre (UDRC)<sup>50</sup> initiated this project titled 'Community Driven Development for Urban Poor in Gher Areas' with an overall objective to empower local communities through increased participation in

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<sup>49</sup> 'Community-Driven Development for Urban Poor in Ger Areas, is a Japan Fund for Poverty Reduction funded project implemented jointly by Mongolian Government and Asian Development Bank. Urban Development Resource Centre (UDRC) is consulting NGO. This project is being implemented in the ger districts of Erdenet, Bayankhongor and Choyr. We are documenting the CDD process and its achievements in Erdenet.

<sup>50</sup> The Urban Development Resource Center (UDRC), an NGO, works in the ger districts of Mongolian cities to improve living conditions. It organises neighbourhoods into small savings groups that work together to tackle problems like air pollution through housing improvements, planting trees, and other activities. It also offers small, short-term loans and provides advice on energy-efficient building practices. The UDRC also encourages partnerships between communities and local government to identify and meet community needs.

local governance and involvement in the design, implementation, and management of community demand-driven infrastructure and income-generating projects in selected *ger* areas.

This project has different components. First component 'Capacity building to strengthen formal and informal local institutions' has three main objectives: (i) Community mobilisation: mobilising local communities to participate in the project through the provision of technical assistance by facilitators and NGOs. (ii) Training and capacity building: strengthening the capacity of local communities and local governments to (a) initiate, (b) plan and implement, and (c) manage and supervise community subprojects through the provision of technical assistance, training, and workshops. (iii) Participatory monitoring and evaluation: establishing a system for participatory monitoring and evaluation (M&E) and strengthening community capacity to undertake M&E. Second component 'Grants for community-driven development initiatives' included activities like preparation by community groups of subproject proposals for small-scale community infrastructure and income-generating projects; Provision of small grants to community groups (savings groups and CBOs) on a demand-driven basis for subprojects that include small-scale infrastructure, social services, and productive or income-generating subprojects; Implementation of subprojects by the communities; and management and operation by CBOs of community facilities created.

The Ministry of Construction and Urban Development (MCUD) is serving as the executing agency for the project. The Project Implementation Unit (PIU) is headed by a project manager (PM). The PIU is supported by one national financial management consultant, and one short-term international M&E consultant. There is one national community participation specialist in each of the project towns including Erdenet. The Project Steering Committee (PSC) supervises project activities at the national and project levels. The PSC comprises of representatives from Ministry of Finance, MCUD, local governments, public urban service organisations, and NGOs working on *ger* area improvement and community development. The technical working committee (TWC) is responsible for reviewing the technical, financial, and social aspects of the subproject proposals. The TWC identifies the viable subproject proposals and reports to the PSC.

With support and guidance from community mobilisers in the city, savings groups and CBOs are the key actors responsible for implementing second component of the project. They are actively involved in subproject planning, proposal preparation, decision-making, implementation, operation and maintenance (O&M) and M&E. The CBOs or savings groups receive funds directly from the PIU to implement their proposed subprojects. They are responsible for managing the finances and procuring equipment and services for the completion of the subproject. Under first component, local NGO, UDRC has been contracted to implement the training, public awareness campaigns, and other capacity-building activities.

Small grants are made available to communities on a demand for subprojects that include small-scale infrastructure, social services, and productive or income-generating subprojects. Community groups, which include both savings groups and CBOs, are eligible to apply for subproject grants.

### **(c) Participatory Planning Process**

UDRC facilitates participatory planning workshops for interested community groups to identify and prioritise community needs and help ensure that the planning process is inclusive. With facilitation by UDRC, voluntary community groups (savings groups and CBOs) identify and prioritise needs and develop a comprehensive plan for mitigating identified problems. A key objective of the facilitation process is to ensure that all community members, including women and marginalised groups, are consulted. The participatory process ensures that dissenting voices are heard and that consensus is built on the plan.

The community group or a nominated sub-project committee then develops a proposal and budget for the priority subproject with assistance from UDRC and community mobilisers. The proposal must include both an O&M plan and a M&E plan, which requires up-front training. In preparation for this stage, community handbooks describing the project and detailing the subproject cycle in a user-friendly format are distributed throughout the community.

After the sub-project proposal is evaluated and approved, the community group manages the implementation of the subproject, including (i) handling the funds; (ii) procuring materials and transportation; and (iii) hiring contractors, labourers, and/or consultants. The community prepares a maintenance plan and establishes a fund for maintenance.

The TWC conducts a desk and field appraisal of each subproject proposal based on a predefined set of criteria. During the desk appraisal, the TWC determines whether the proposed subproject meets a standard set of transparent criteria, including (i) maximum community participation in developing the proposal (i.e., CBO membership equally consists of men and women); (ii) maximum community benefit for male and female beneficiaries; (iii) community contribution (cash and in kind); (iv) local government contribution (i.e., land and O&M support); (v) O&M plan in place; (vi) capacity of the community to implement the subproject; and (vii) only community land, that is not occupied or used for residential or productive purposes, is used.

Once the application passes desk appraisal, the TWC conducts a field appraisal, which consists of a social and a technical evaluation. The social evaluation determines, for example, (i) whether women and vulnerable groups have been sufficiently involved in decision making; (ii) whether the community has agreed to an acceptable plan for mobilising the community contribution and for settling disputes, and (iii) what types of training are required to implement the subproject. The TWC then evaluates (i) the technical feasibility of the sub-project, (ii) the accuracy of the cost estimates, and (iii) the viability of the O&M plan. The PIU provides community groups with simple standard designs for typical subprojects to assist the community to meet the technical requirements.

Once a sub-project proposal has been approved, the PIU prepares an approval letter detailing the steps the community group must take prior to implementing the subproject, including (i) types of training required, (ii) opening a checking account, and (iii) mobilising community contributions. The PIU then prepares a contract with the community group stating the obligations and responsibilities of the community group

and the PIU in implementing the subproject, and detailing the payment terms and schedule. The fund disbursement method to be used for subprojects is defined in the grant implementation manual.

UDRC develops and delivers the training package on all aspects of subproject implementation – procurement, accounting, financial management, O&M, and M&E – to the community group or selected members of the community group that have been nominated to manage the subproject. The community group is responsible for procuring services and equipment with community participation.

The training delivered by UDRC includes modules on technical maintenance as well as financial (i.e., fund raising through contributions, user fees) and social aspects, such as hygiene education. At the beginning of the Project, the PIU develops a user-friendly maintenance manual that can be used by community groups to develop a simple maintenance plan for each subproject.

Communities have learnt to elaborate, implement, operate and monitor demand-driven infrastructure and income generating subprojects. Subproject groups to implement income-generating subprojects were registered at the Erdenet PIU. 74 representing members from 34 SPGs attended a business plan development training which was conducted by the Chamber of Commerce and Industry in Orkhon province in collaboration with local PIU in Erdenet. Based on their proposals, SPGs develop business plans for small scale business. However, preparing business plans, calculation and advising income generation subproject concept elaboration is time and resource intensive. Most of the groups proposed to implement subprojects like tailor shop or vegetable plantation and their sustainability are questionable.

Before the subproject is completed, the community group establishes a maintenance fund. The community must determine at the project planning stage itself how O&M of the subproject will be financed for the next 3–5 years. They may set aside a portion of the community contribution to the subproject as seed money of the maintenance fund. They also need to determine how they will collect funds in the future. The community group may seek a commitment from the local government to match the group's contribution to the fund.

#### **(d) Citizen's Organisation Building**

Before this project there had not been any successful attempt in the city of Erdenet to generate local community institutions through an organic, bottom-up process. Community organisations had been established externally, by ADB and World Vision, for example, with some success in Ulaanbaatar. However, the voluntary initiative of the community had not been nurtured by these previous efforts.

First component of this project is capacity building to strengthen formal and informal local institutions. Till March 2010, approximately 54 per cent of the total 3173 households in the *ger* areas of Erdenet have already been informed about different components of the project. A series of capacity building trainings and meetings of the community and CBOs have been conducted by the UDRC and local consultants in Erdenet. Households are provided training, for example, on how to (i) build compost

toilets and bins, (ii) compost properly, (iii) incorporate water pipes into their houses, (iv) build bathrooms and kitchens, (v) retrofit stoves, and (vi) dispose off gray water.

**Table 2.2: Number of Participants in Mobilisation Meetings in Erdenet**

Bag name	Number of the participants				
	First meeting	Focus group meeting	Second meeting	Third meeting	Total
1. Bulag	74	51	46	48	<b>219</b>
2. Bayanbulag	33	50	39	40	<b>162</b>
3. Bayantsagaan	77	76	68	69	<b>290</b>
4. Shand \CBO	60		17	34	<b>111</b>
5. Ihzaluu \CBO	20		9	21	<b>50</b>
6. Denj \CBO	24		13	18	<b>55</b>
7. Naran \CBO	30		22	38	<b>90</b>
8. Rashaant \CBO	28		16	20	<b>64</b>
9. Tsagaanchuluut \CBO	38		13	18	<b>69</b>
10. Bulag \CBO	39		10	22	<b>71</b>
11. Bayanbulag \CBO	19		13	13	<b>45</b>
12. Govil \CBO	23		6		<b>29</b>
13. Erdene \CBO	31				<b>31</b>
<b>Total</b>	<b>496</b>	<b>177</b>	<b>272</b>	<b>341</b>	<b>1,286</b>

The Urban Development Sector Project (UDSP) of ADB, to which this project is linked, depends on a community-driven approach, in which residents, acting collectively, can decide to implement individual on-plot facility improvements, namely the addition of individual water connections, and improved sanitation and heating options. To successfully implement a community-driven approach, it is necessary to have strong CBOs in place that can voice out the community's needs and preferences to the local government and the public urban service organisation (PUSO).

At the core of the community mobilisation strategy under this project is the establishment of savings groups<sup>51</sup>. The project (i) provides support and training through UDRC to establish the savings groups, and (ii) enable each group to determine the terms of its savings and lending practices, i.e., (a) how much to save, (b) how often to contribute, (c) who collects the money, and (d) what are the terms of the loans. Support is provided to active and interested savings groups to form together larger, legally registered CBOs of 200–300 households. The formation of savings groups and CBOs is on a voluntary and geographical basis.

<sup>51</sup> Savings groups are proving to be an effective model for social mobilisation and community organisation in Mongolia. Savings groups are entirely voluntary organisations, comprising from 20 to 40 households living in the same neighborhood.

## **(e) Capacity Building of Local Government and Citizens**

Local governments of Erdenet received training in community-driven approaches to development. They acquired skills to work with communities toward development goals that benefit the city as a whole. It was discussed with the local governors to link administrative staff at the decision making level with sub-project groups (SPGs) in order to cooperate with communities during sub-project (SP) implementation and to train local administration staff on the CDD approach and to provide them adequate information about the project and procedure to implement subprojects. As per this agenda, local administrative staff and representatives of local citizen councils started working with SPGs and learning the participatory approach to project implementation. Participatory planning workshops were organised later where participants shared experiences with each other.

UDRC mobilised and built capacities of citizens by making people aware of this project and providing trainings to CBOs. Community handbooks describing the project and detailing the subproject cycle in a user-friendly format were distributed throughout the community. General structure and content of the trainings for CBOs were developed by PIU in cooperation with the UDRC. PIU is also developing a CBO handbook in collaboration with the UDRC.

## **4. Impact on Strengthening Social Accountability**

### **(a) Access to Information**

Subproject accounts are open and available for inspection by the community and subject to internal and external audits. The community is engaged through various participatory techniques (e.g., maps, venn diagrams, and flow diagrams) to determine their level of satisfaction with the subproject, and is expected to report periodically to the PIU.

Additionally, community sport days were also organised once a month among two bag communities to enhance transparency of activities and to support knowledge and information sharing. During such activities, local communities publicised their activities by introducing their information boards and learnt from others about how to organise and update their information boards to disseminate up to date news and activities about their group as well as their projects.

### **(b) Citizen's Voice in Decision-Making**

Project adopted a new and innovative approach to the development of *ger* area communities. Instead of a top-down planning model, communities themselves remain firmly in the driver's seat, making decisions, administering funds, and managing implementation of their priority investments. The project serves as a facilitator providing the community with not just funds but also technical support and guidance. The project enabled the community to be transformed from passive beneficiaries to active citizens. At each stage in the development process, the community has played a critical role. Communities, with the assistance of technical experts (i) prioritise development needs, (ii) make decisions on how resources are used, (iii) manage the implementation of subprojects, and (iv) monitor and evaluate the results of projects to ensure that they benefit the community as a whole.



Since the project commencement till 31 March 2010, 154 SPGs were established in three cities including Erdenet. SPGs who implemented sub-projects in the first phase of the project have become experienced and initiated new sub-projects more efficiently. Already informed residents of *ger* areas actively participated in the second phase. The sub-project groups were evaluated internally according to several criteria such as sustainability, the capacity to cooperate, accuracy of procurement and use of project funds, internal organisation, timely reporting etc. Local consultants and UDRC have organised meetings with SPGs found deficient and those with internal conflicts and have taken measures to strengthen them.

By March 2010, some sub projects in Erdenet were already completed. Saijraakh SPG completed a sub project to increase electricity supply. SPG members have learned to cooperate with each other and improved their access to electricity. Ahmadiin toloo SPG completed a sub project on equipping the elderly centre. The elderly centre has now become comfortable and enables bag elders to have a meeting point, conduct gymnastic activities and to learn using computers.

### **(c) Citizen Monitoring**

A key requirement of subproject approval under this project is the preparation of an O&M plan. There is a maintenance manual that can be used as a guide by the communities. Maintenance teams is elected within each community group and training in technical maintenance aspects and in areas such as fund raising and social aspects, such as hygiene education is given to these teams. A maintenance fund is established before the completion of the subproject.

A comprehensive M&E system is established that include (i) participatory monitoring undertaken by beneficiaries, (ii) internal M&E by the PIU, and (iii) external monitoring by NGOs and media. UDRC trains community groups to develop their own monitoring indicators.

Apart from local monitoring and evaluation specialists and local consultant engineers and architects who regularly assess the sub projects implementation, quality of works and evaluation of results, community monitoring is promoted. Role-plays on procurement of goods and participatory monitoring and evaluation have been conducted successfully.

### **(d) Impact on Power Relations**

Before introduction of this project community involvement in *ger* area upgrading activities in Erdenet had primarily been a one-way communication channel from the Government or funding agency to the community. Residents were (i) informed about proposed interventions, and (ii) updated on project progress, but communities had not been given decision-making and management responsibility for neighborhood improvements.

Through CDD, *ger* area residents are able to take control of the development of their neighborhoods. The small resources provided by the grant under the project enable communities to build needed infrastructure and undertake income-generating activities. But most importantly, the project imparted skills required for communities to (i) access

funds, (ii) influence future development, and (iii) hold other public and private sector agencies accountable for the level and quality of services they provided.

Collaborative relationship between administration and community has been an important change in Erdenet. Staff from bag administrations and representatives from local citizen councils have become voluntary members of CBOs. Thus they started to cooperate closely with communities and understand the communities' development priorities. Local administrations contribute to subproject implementation in cash and in kind such as to allocate financial contribution from local budget or granting land permission. Communities cooperate with local administrations in development planning and implementation of identified subprojects. Communities also contribute in sub project financing in cash and in kind which demonstrates its commitment to implement the subproject and to maintain the infrastructure. However, the amount of community contribution to subprojects is not stipulated in advance. Rather, communities decide themselves how much they can contribute (cash and in kind), and their pledged contribution is one of several elements to consider when the subproject proposal is appraised. Such community contribution in sub projects is approximately 20% of the cost of sub projects. About 3% of such community contribution is in cash and remaining contribution is in kind or community work.

**Table 2.3: Examples of Cooperation between Sub-project Groups, Local Administration and Public Institutions in Erdenet**

SPGs		Main activities to be carried out	Cooperation
1.	Tsagaan Shonkhor	Street-lighting in Tsagaanchuluut bag over more than two kilometre	The local administration prepared a location map free of charge
2.	Ireedui	Street-lighting in Bayantsagaan bag over more than two kilometre	The "Town Improvement Authority" provides a crane and will be responsible for future maintenance and operational costs. The "Erdenet, Bulgan Aimags' Electricity and Line Office" provides machinery to dig post holes.
3.	Yesun Bulag	Street lighting along central road in Bulag bag	The "Town Improvement Authority" provides 19 street lighting posts and will be responsible for future maintenance and operational costs.
4.	Idevtkhen	Install a transformer and electricity lines for 265 families in Erdene bag	The aimag administration agreed to contribute 2,059,195 Tugrug in cash and prepared a location map free of charge The "Erdenet, Bulgan Aimags' Electricity and Grid Office" agreed to contribute 2,059,195 Tugrug work and prepared the technical needs assessment free of charge
5.	Usukh Ireedui	Construct a playground in Rashaant bag	Local administration allocated land free of charge
6.	Sanaachilga	Construct a flood prevention dam	The bag administration promised to provide workers to support the

			conduction of community works
7.	Gerelt Naran	Street lighting along a small footpath in Naran bag	The “Town Improvement Authority” agreed to provide street lighting posts and will be responsible for future maintenance and operational costs. The local administration prepared a location map free of charge.
8.	Akhmadin tuluu	Improve and equip centre for the elderly in Shand bag	The local administration allocated two rooms for the elderly free of charge

Since the project and communities’ activities show significant results and become esteemed by the public authorities, communities are more and more successful in obtaining land, licenses, professional advice, and sometimes even material, work or financial contribution. Larger technical infrastructure SPs will be maintained and operated by the “Town Improvement” Public Utility Services Organisaton (PUSO) or other related bodies. These are examples of local communities becoming capable to influence the local decision making level. Steering committee members of CBOs work actively to obtain land for the CBO subprojects and conduct research for the best solution of the future operation and maintenance of the CBO level subprojects.

## 5. Lessons for Mainstreaming Social Accountability

- a) Incorporating Monitoring and Evaluation (M&E) plan and Operations and Maintenance (O&M) plan as an important component of participatory planning exercise enhances community involvement in the implementation, maintenance as well as monitoring of the development projects.
- b) Better informed and trained community as well as local officials results in increased participation in planning, implementation and monitoring of development projects by community and more community sensitive administration.
- c) Creating and strengthening community based organisations helps community mobilisation for planning, implementation and monitoring of development projects and also ensures its sustainability.
- d) Emphasis on making the planning process inclusive from the beginning helped greater community participation and inclusion of priority needs of all sections of society in the approved project plans.
- e) Collaboration between local administration and community in planning and contributing resources for development projects leads to better implementation of the projects and improvement in services to community.
- f) Interventions by local NGOs and community mobilisers played important role in increasing people’s participation in planning, implementation and monitoring of the development project.

# **Section 3**

## **Short Case Studies**

# PHILLIPINES

## Case Study 1: Participatory Governance in the Barangay: Poblacion North<sup>1</sup>

The provincial government of Nueva Vizcaya decided to take up sustainable development programmes; this acted as a boost for participatory governance at the *barangay* level. *Barangay* Poblacion North in the municipality of Solano which adopted participatory approach to governance in managing two common problems of urban community were health and sanitation.

Poblacion North community is the smallest among the six barangays<sup>2</sup> of Solano comprising of 1,500 residents spread in 250 households. In the year 1994 the newly elected officials of the community began planning for the development of *barangay* with the vision of fulfilling the basic requirement of food, clothing, shelter and dignity of its people. The challenge in the process was fostering cooperation among residents, which required strong leadership and political will along with pleasant rapport between officials and their constituents. The provision for adequate resources was a challenge for fulfilling the basic needs of the people.

Eduardo DL Tiongson was one of the pioneering leaders in initiating the process of participatory planning in the region. Under his guidance a discussion was held to assess the present situation in the community and relating them to the macro level. In the process the LGC (Local Government Code) of the Philippines was studied and examined for the available options and the authority bestowed on the *barangay* officials. The assessment of the social condition of *barangay* was undertaken in partnership with the Katinnuloang Dagiti Umili ti Amianan (KADUAMI), a civil society organisation in the city of Baguio.

The process of discussion and deliberation was followed by a series of workshops and planning activities. A 35-member team including the NGOs, Peoples Organisations operating within *barangay* participated and later became members of the Barangay Development Council. The workshops were a platform for discussion and sharing of ideas, thoughts and perspectives. The concerns, issues, problems raised were instrumental in preparing the action plans, projects and programmes. The major problems identified were: poor drainage system, sanitation, traffic congestion and lack of livelihood programmes. The issue of sanitation and drainage system received immediate attention and through networking and volunteerism a garbage truck was acquired while the drainage canals were constructed and rehabilitated.

In October 1995 the USAID assisted Governance on Local Democracy (GOLD) project offered its assistance to the provincial government. Participatory techniques were introduced as methodology in improving planning and budgeting in the *barangays*. This

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<sup>1</sup> Poblacion North: Adopting Participatory Governance in the Barangay – Eduardo DL Tiongson , 'Logolink International Workshop on Participatory Planning Approaches for Local Governance Bandung, Indonesia, 20-27 January 2002.

<sup>2</sup> It is the smallest administrative division in the Philippines in lieu of village or district. It is from a Malay word, *barangay* meaning sailboat.

further strengthened the participatory governance at all the three levels: *barangay*, municipality and provincial. The project included planning-budgeting workshop, budget execution workshop and monitoring and evaluation workshop.

The greatest achievement was that the sanitation and drainage system projects bagged the 'Cleanest and Greenest Barangay Award' for two consecutive years (1994 and 1995). The Gawad MAGAT the first local governance awards in the region, which aims to recognise and reward the exemplary partnership programmes and to promote participatory governance was given to the GOLD project. In 2000, the regional health board adjudged the four-lane street of General Santos, Poblacion North as the healthiest street in the entire region.

The mentioned case is an instance of how an effective leadership can make participatory governance a reality. The political will of the administration was an impetus to the policy change by the government. The formulation of projects through participatory planning and their recognition through awards and accolades is an encouraging factor for the other *barangays*.

## Case Study 2: Institutionalising Participatory Development Planning in Iloilo<sup>3</sup>

Alimodian is a landlocked municipality in the Iloilo province. It consists of 51 *barangays*, most of which are small and face severe difficulty in accessibility. The region lags behind in basic services. A USSUAG service delivery structure was thus created with a formal structure. The teams of municipal field workers formed the operating core group while the municipal government employees became team members in it. The management board consisted of the mayor and the department heads. The four major support units were training and information, project development, monitoring and evaluation, and management information system. The board took upon two tasks: cleaning public places and coordinating municipal affairs. Gradually they took up administrative roles as updating *barangay* data information and monitoring boards.

The Barangay Bayan Governance Project was implemented in the Alimodian region from 1999-2001. The project used participatory approach in planning to empower the people and develop the region through civic participation. The project involved two primary stakeholders Local Government Units (LGU) at the village (*barangay*) and the municipal (*bayan*) level. The process was conducted with the support from an NGO, QDI (Quest for Development Iloilo).

*Barangay bayan* emerged as the seat of direct democracy since it is the smallest politico-economic unit of government. Its powers and resources at disposal have also expanded to function as the organ that stands for people's opinion and demands. *Bayan* links up the *barangays* and integrates development plans for holistic framework. To give more weight to people's voices, the next step was building strong autonomous Peoples Organisations (POs); the parameter of these formations was sectoral and community

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<sup>3</sup> Estrella. M & Iszatt. N ,(2004), 'Institutionalising Participatory Development Planning' , Beyond Good Governance : Participatory Democracy in the Philippines

concerns within the framework of democratic participation in governance. They were to then negotiate and stake claims from the government to include their concerns in the development agenda.

It worked with a 'transformative agenda' trying to alter the power structure throughout the government levels. This will pave path to local autonomy going beyond the 1991 LGC, agrarian and asset reform. It is acting to bring about reform in government institutions like the Department of Interior and Local Governments or the Department of Agrarian Reform. There was also an emphasis on developing new forms of leadership that values the opinion of the community and uses a participatory and critical technique; this is because such leadership can make power structures more equal, and promote justice in democracy.

It pursued development planning and budgeting at the local level, thus maximising opportunities for participation on local special bodies such as in the local development council. It simultaneously tried to make the *bayan* more financially independent (e.g. adopting new resource-generation measures, land use and community based asset reform programmes). There has been serious attempts to organise a network of *barangay* municipal/city and provincial NGO/POs which can together interface with local special bodies, such as the local development council, the local legislature to institutionalise 'people power' mechanisms in local governments. It has also been pursuing policy advocacy at the national level for amendments on the Local Government Code of 1991.

The municipality of Alimodian on realising that the process could act as a good reference point for the preparation of other plans in the municipality set to compile its work and the processes used. The compilation is now used to make the municipal governments Comprehensive Land Use plan (CLUP) and Strategic Agriculture and Fisheries Development Zone Plan (SAFDZP), annual municipal development plan and also prioritising development projects.

Among the six *barangays* (villages) where planning was initiated, most of them have successful implementation of small-scale projects like livelihood projects, small infrastructure and basic services. However the large-scale proposed projects were not taken up since the government was unwilling to invest in them.

It also emerged that the sustainability of participatory planning depended heavily on the individual in power. In the illustrated case, fresh election was held and a new government was elected. This newly elected Mayor though appreciated the use of BDP but was not exposed to the participatory planning methodology. He was inclined towards traditional practice of calling together *barangay* captains and treasurers to annual planning and budgeting workshops.

Some other observed issues were

- Unequal capabilities of the trained USSUAG members;
- Incomplete BDPs due to lack of adequate time, resources, skills and motivation among the members;
- The *barangays* felt handicapped when they did not receive development plans;

The noticeable difference in the *barangays* is the openness in the people's participation. There was a simultaneous increase in active participation of *barangay* captains in municipal development council to push for integration of BDPs in municipal development plan. There is also a practice of regular monitoring of the *barangay* projects by *barangay* council. The biggest change is the acceptance of the officials towards participatory techniques in governance.

43 NGO members have already become part of this effort and it is still expanding (10 national level NGOs, 3 NCR focused, 7 Luzon based, 12 in the Visayas and 11 in Mindanao). *Barangay* governance training courses BBGC has now covered 901 *barangays*.

- Among them, 628 *barangays* were given basic orientation on local governance, 281 *barangays* have packaged devolution plans, 256 of them have been adopted by local *saangunians* and 119 have been integrated in the municipal development plans.
- 1,023 participants (658 male and 365 female) have graduated from academe, church workers, private sector.
- Three editions of Barangay Training Manual (BATMAN) have been published and 29 Barangay Governance Training workshops have been held.
- Participatory Monitoring and Evaluation tool has been widely adopted by local NGOs and applied at the community level.

With its efforts, the Barangay Bayan Consortium aka BATMAN has managed to sign a Covenant of Partnership with many departments and ministries of government, viz, National Anti-Poverty Commission (NAPC), Department of Social Welfare and Development (DSWD), Department of Interior and Local Government (DILG), and Department of Agriculture (DA). This surely is a sea change for BATMAN in terms of policy formulations and programme implementation of government agencies in the local level (e.g. NAPC is directly under the Office of the President and civil society representations in NAPC is crucial in influencing government agencies' policies and programmes likewise in targeting and servicing poorest of the communities).



# MONGOLIA

## Case Study 3: Land Use Planning In Ulaanbaatar<sup>4</sup>

Mongolia is a landlocked country with close to two and a half million citizens; Ulaanbaatar the capital city of Mongolia alone accommodates 915,000 of the total population of the country<sup>5</sup>. It is located in the north central part of the country, with mountains on four sides and itself is at an elevation of about 1,310 metres in a valley on the Tuul river.

The history of Mongolia is one of socialism. In that period it had a top-down character to planning given the functioning of democratic centralism. Things have changed significantly after 1990s with the establishment of democracy. The transition from a centrally planned system to a market economy has been characterised by large-scale migration of the country's traditionally nomadic population to the capital, where they have settled in the outskirts, creating vast, underserved neighborhoods. What it has sought to achieve is more than representative democracy by including people in the decision making process. At the onset of adopting participatory approach, which had already succeeded in many countries, there was a lot of hesitation. It was felt that applying these methods and approaches directly to Mongolia would be impossible given its own peculiarities - transition from nomadism to urbanism and from centrally planned economy to free market economy. In fact there are several experts who argue that participatory approach is not suitable for Mongolia and cannot be introduced due to social and cultural peculiarities. Nevertheless, when the method was approached in land-use planning, people exhibited tremendous enthusiasm to participate in urban land use planning process. The ramification of the participatory model of democracy can be seen in land-use planning in the city of Ulaanbaatar.

The aim of land use planning is defining the use of land and this must be so whether it is called land use planning, environmental planning, town or country planning, or urban and regional planning. Taylor (1999) explains that although the central objective of town planning is managing the physical environment most efficiently, the larger purpose for undertaking the activity is social; to express it differently it is meant for the maintenance and enhancement of human welfare. So the means is to do with physical structures but the end is tied to the social whole and their betterment. Thus in this model, planning is not an exclusive domain of technical experts. The most pressing responsibility for them is to determine who should be involved, how they are to be involved, what function citizens are to play; most importantly, they need to decide a process to accommodate a wide range of interests and groups. Thus the new role a planner has to assume is of an organiser (Burke 1979). When we mention participation, it translates to the involvement of a community in identifying its own needs and deciding how these needs are to be met.

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<sup>4</sup> People's participation in urban land use planning in the city of Ulaanbaatar Bayarmaa byambaa, GTZ, Land Management and Fiscal Cadastre project

<sup>5</sup> Cited from <http://bootheglobalperspectives.com/article.asp?id=137> accessed on

The existing land allocation policy in the last few years has supported unplanned, unexpected and unorganised settlements in the city of Ulaanbaatar. The crucial reason to change planning approach has become the fact that all land in these chaotic ger settlements have been privatised recently. And nowadays, it is impossible to solve ger area problems massively not negotiating with the people who are living there when land tenure situation has been changed. Therefore, the need of bottom-up planning approach is necessary in order to solve existing problems related to land privatisation and urban land use planning.

Ulaanbaatar has had four general plans from 1952 to 1986, drafted by Russian and Mongolian experts. But after each general plan formulation, the plan has failed to manage the population growth. So, a need was felt to update the old general plan. The present city Master Plan 2020 has been experimented with by the Mongolian experts in Urban Planning Research and Design Institute of Ulaanbaatar in 2000. Under the guidance of the Master Plan 2020, several detailed general plans have been drawn up for the districts and areas. Except detailed general plans there is another plan which called land use plan of the city. Land use plans' policy defines land allocation, land privatisation, and etc.

Ulaanbaatar city has its land use plan which had focused more on soil structure and ecological aspects. Both master plan and land use plan have not enough considered land tenure situation in the city area. Officially binding land use plan is also both detailed general plan and land use plan which sometimes contradict each other and complicate land use planning situation. The Municipality and the Citizen's Representative Khural approve land use plans and make final decision.

There exist laws to regulate urban land use planning system in the city of Ulaanbaatar, but no legal documents which mandates people's participation in urban land use planning. Also there are no clear laws and acts which regulate the land use planning related relationships between planners and citizens.

To minimise the contradiction and make it people-inclusive, plan formulation has been divided into ten phases

- *Identification of problems and preparation*
- *Data collection and research*
- *Identification of goals and tasks*
- *Processing materials*
- *Planning*
- *Approval of a plan (decision making)*
- *Report writing*
- *Acceptance of a plan*
- *Implementing a plan*
- *Monitor and Control*

Over the last twenty years, Ulanbataar has adopted some new tools to make it people-responsive. New internet technology and GIS have been developed which are extremely useful in the field of urban planning. Citizens' opinion can be brought into urban planning through use of these technologies like information, ideas exchanging and voting on internet. Other mechanism used commonly is participation by feed-back loops.

Models or designs of land use plans can be introduced to people for the stipulated plan period and their opinion can be sought.

Another available forum is media like television, radio which will give the people an avenue to express their opinion directly such that it reaches the mass. In some cases people are left without information or their opinion is sidelined. Both these lead to non participation, but sometimes especially during the election politicians manipulate people, leading to misrepresentation. The participatory approach ensures that all segments of the community are represented in the process of decision-making. Adopting different methods of data collection and holding discussion on its analysis help identify the most disadvantaged target-groups in the community and assist them with the support of the more affluent sections of the community in the framework of social justice. This paves the path to create a bond between people which strengthens and supports a community. This is a necessity to address the otherwise individual nature of the Mongolian citizens who cannot form a community spontaneously (Rolly 2001).

Participatory approach focuses primarily on the process. It is a combination of guiding principles, core concepts and sets of interactive techniques which have been developed to better realise greater community participation in official procedures of developing programmes and, more importantly, to give local people greater control over the process of development. Participation, as a principle, is now commonly accepted to be an important component of successful development programmes. Historically, the application of participatory approaches has been primarily in two sectors, agriculture and rural development. (Scrimshaw, Nevin S. and Gary R. Gleason 1992). In the urban context, there has been little explicit development of such methodologies. Despite the growing number of cases of urban community development, attempts to fix a method to go about it have been negligible. While some participatory approaches have clearly drawn on traditions developed in other sectors, particularly PRA (Participatory Rural Appraisal) and RAP (Rapid Assessment Procedure), and within the public health sector it is also evident that there has been widespread experimentation with different participatory approaches by groups working in urban areas. Tools like diagrams, maps and pictures have progressively replaced written descriptions to make comprehension easier for the people. In the urban context, the usage of media, participatory GIS methodologies and online questionnaires has shown steady increase.

As explained before, Mongolians inherited from nomadic culture traditional shelter and nomadic mentality which makes people individual and free. Still after 60 years of urbanism in Mongolia, there are noticeable signs of living individually. It is true that there is an absence of proper citizen's organisations like community-based organisations. The kind of citizens' organisations that exist are association of apartment owners, formed to address the issue of apartment privatisation in Ulaanbaatar. Socialist rule made the people further inactive due to socialist idea that all people are equal and should share equally the wealth of the country; the basic amenities were thus guaranteed by the government. Under the government, the city of Ulaanbaatar was converted to a combination of many similar-looking apartment blocks and chaotic ger settlements around them; this occurred since the government did not consider ger areas as a reason to differentiate.

After 1990 the political and social situation became totally different in Mongolia. Consequently there have been changes in the society and attitude of the people over the

last years. Land has been privatised and many land allocations have been made by the municipality. New political decisions have changed the land policy and tenure situation which gave significant impacts on peoples' attitude towards land and land ownership. People began to realise more the value of land and suddenly land issues became the most important subject within the society. Although people are playing an active role in adapting the new planning approach of the city structure and urban land use planning, the individualism, a remnant of nomadic tradition stops them from forming a community and act as one.

Lack of government policy on participatory planning makes the change weaker. Even those who will to implement participatory method cannot push for it, for lack of policy support.

# VIETNAM

## Case Study 4: Quang Thai Commune Experience, Vietnam

Vietnam's unique Tam Giang – Cau Hai Lagoon system is over 70 km long. The lagoon is a highly productive habitat for both freshwater and marine species, and has long been a source of livelihood for 300,000 people living on the margins of the lagoon.

In 1995, IDRC and the Canadian International Development Agency (CIDA) funded a study of the condition of the aquatic resource base and its use by communities around the lagoon. The research team brought together for the first time agricultural scientists from Hue University of Agriculture and Forestry (HUAF), biologists and sociologists from Hue University of Sciences, and administrators from the provincial department of fisheries.

The multi-disciplinary team working in the lagoon figured out that the government had left out the aquatic resource tenure from the fold of its agricultural policy. It was local custom alone that determined the ownership of fishing areas in the lagoon. The owners had invested in permanent fishing structures such as fish corrals to make most of the sea currents in directing the fish into narrow nets. But this opportunity was not evenly distributed since the poorer members (without land) of each community had no access to such facility. In fact, they lived lives of mobile fishers, and lived families on their boats. To make delivering basic services such as education and health care easier, the government got them to settle at the peripheries of the existing communities; so now they live in the margins of the lagoon. One such community was Quang Thai commune at the northern end of the lagoon. Their only source for livelihood is fishery with some access to agricultural lands.

The researchers realised that the pressure on the lagoon was increasing and the only way to lighten it was by creating alternative income channels; so they introduced cash crop, peanuts, which thrived in the sandy soil. This helped in boosting the community confidence. Next on target was the more difficult challenge of the aquatic resource base. They helped poor fishers assess the resource habitat and identify areas for restricting fishing and protecting against illegal fishing methods. The researchers also introduced simple cage aquaculture based on feeding the fish local sea grass. Aquaculture was an appealing option, in part to boost the income of women who lacked access to the most productive fishing grounds and gear.

In an adjacent lagoon commune of Phu Tan, both the communities and local government were working towards small-scale shrimp ponds and net enclosures. At the beginning of the 1990s, such enclosures were virtually unknown in the lagoon waters, but by the end of the decade they covered 75 per cent of the commune's water territory. Shrimp ponds built out from flooded rice fields on the low-lying shore occupied another 20 per cent of the water surface, leaving limited water bodies to be used for other purposes.

Local governments were given hefty sums for formalising new private tenures and even the provincial and national governments had a good earning from the fiscal collection and national export revenues. So, all governmental levels had consensus in rapid expansion of the shrimp farming. But this created a natural hazard. Water quality and current flow declined dramatically, creating conditions for disease and reducing productivity. The increased privatisation of the common pool resources of the lagoon hit the poorest fishers hard, forcing them to try fishing in other territories that were already heavily exploited.

The issue assumed a critical proportion with the loss of waterways through the maze of net enclosures. The researchers were brought in to seek a solution. In consultation with the local government officials, the net enclosure owners and mobile fishers, who reached a conclusion that the reopening of waterways would allow them greater local fishing opportunities. Through participatory mapping, examination of water quality data and negotiation with the different interests, the research team facilitated the design of appropriate clearings for navigation and water exchange. However, disagreement between mobile fishers and net enclosure owners stalled agreement on fishing rights in waters adjacent to net enclosures. An impatient local government went ahead with the implementation of waterway plan, and used police to coerce the net-enclosure owners to relocate their operations. Neither did they adopt the conflict resolution measures nor the provisions for shared fishing access in the waterways that had been proposed by the research team. Negotiations collapsed and conflicts between mobile gear fishers and net enclosure owners escalated into violence.

This experience taught the provincial fisheries officials the arguments of the research team that conventional top-down planning would not work. Eventually, they were eager to try other approach in Quang Thai commune, where conflicts were now emerging as fish pens proliferated. The research team made it clear that solutions could come only from participatory planning and co-management, in which local fishers and governments agreed on guiding principles for use of the resources and made commitments that could be jointly enforced. They were aided by the introduction in 2003 of new national legislation providing for fisheries co-management through locally defined user groups, and specifically mandating provincial authorities to implement the legislation.

All the parties involved could now benefit from the experience gained in 6 years of participatory research:

- The provincial department of fisheries saw this as an opportunity to solve an obvious problem and test practical implementation strategies for its new mandate.
- Local fishers had learned a lot about the lagoon resource base, and had sufficient information to make reasoned arguments and plans.
- The research team had acquired skills in communications and facilitation and could lead the process without imposing solutions.

With a lot of enthusiasm, fishers in Quang Thai proposed forming a user group. Its first task would be to formulate a plan for allocation of the lagoon's surface area. The lagoon planning process was launched at a stakeholder meeting and workshop. The research team provided technical resources and facilitated consensus on key problems and overall strategy for the planning process. All participants agreed that the plan should

maintain access for all current users, respect customary rights, and share the dislocations needed to re-arrange gear in the lagoon waters.

What emerged as the key difference between case 1 and 2 is the use of participatory research and planning; the involvement of the community right from inception of the plan to its implementation made reaching a middle ground among the stakeholders possible. The tools were shared information from joint mapping, focus group surveys, and group analysis. The process reinforced local knowledge as well as the insights from scientific research, and provided a foundation for new approaches to co-management and local governance. Local government officials initiated and led local resource planning. Provincial and district staff provided technical resources and facilitated local conflict management and problem solving.

The success of the Quang Thai experience has set it as an example and it is being replicated in adjoining municipalities in the lagoon. Training materials and guidelines are being developed for provincial staff who are taking leadership in fostering the new co-management system. Says the fisheries department's Nguyen Luong Hien: "Now we are-looking for ways to better integrate community management and provincial government planning."

Interestingly, researchers observed that women were able to negotiate better terms for fishing access than men, because they were perceived to use less aggressive fishing techniques.

## **Case Study 5: Cat Que Commune in Ha Tay Province takes up Environmental Management**

With the sustained mobilisation of mass organisations, villagers have gradually come to participate in environmental protection. In 2003, Cat Que organised three events to clean sanitation systems done by the Youth Unions and villagers. In many small hamlets, elders organised to clear drainage systems, communal roads and areas surrounding villager's houses. Groups also collected garbage with funds from donations from villagers.

In some hamlets, farmers contributed funds to build drainage systems for their farm activities, while in other hamlets villagers built and improved drainage systems in their residential areas. The activities of villagers in rural environmental management were found to be very practical. However, the scale of the activities is too small compared to the increasing levels of pollution. They need more support from higher levels of government.

The management started with the community developing an understanding about what environmental pollution is all about and made it a part of their local discussion and action. The elders first grew concerned about the rise in pollution and set the process of forming action groups to solve the problems. Soon, some hamlets organised construction of drainage systems and roads; the money for this came from money collected from village community. An average of 500,000 VND to 700,000 VND was contributed per household. In 1998 in Hamlet 1, Xuan Thang village, each household

contributed 400,000 VND to 500,000VND to build drainage systems and roads. In addition, the payment of garbage collectors was done by each household contributing 2000 VND per month. It is commendable that villagers have taken the responsibility of collecting garbage and cleaning drainage systems during the food processing season. Xuan Thang village from within the hamlet has exhibited maximum motivation and collective consciousness in environmental management in Cat Que commune.

This is not to suggest that the local authorities played no role in finances. In fact, the expenditure on sanitation and waste management has shown upward curve. In 2002 and 2003, Cat Que commune invested 300 million VND to build an important drainage canal in Tam Hop and Xuan Thang and 1 billion VND to construct a road. In addition to this, the Commune People's Committee also came forward to pay for the construction. This action by the committee was very symbolic in that it showed its awareness and acceptance of responsibility in regard to environmental management.

A unique approach named '*Strengths, weaknesses, opportunities and threats*' (SWOT) approach was used to analyse the capacity of villagers to implement environmental management in Cat Que, a craft village.

Assessment exposed that the problem was two folds. On one hand, legal documents relating to environmental management did not reach the common people. In 1999 the Convention of Building Cultural Village for Cat Que, Part C of Articles 17, 18, and 19 clearly regulated environmental protection. However this information never reached the villagers. In a regional meeting it was claimed by leading government officials that policies relating to environmental protection were distributed. However, the leader of Duong Lieu said that they did not have these documents. Coupled to that, was the ignorance of the villagers; it obstructed solving environmental pollution in craft villages, especially in rural areas. Disposal of garbage in drainage systems was a common occurrence in hamlets. While the Cat Que People's Committee tried to regulate the disposal of garbage and waste, some people continued to litter the streets and drainage systems.

The waste was so scattered and the amount was so huge, despite Cat Que People's Committee providing a dust-cart and safe working clothes, hamlets could not manage to pick up the waste. The hamlets explained that the equipments did not suffice. This resulted in the hamlet remaining polluted and the villagers' awareness remaining low.

There is observable change in the living conditions of villagers who has taken up craft production. This is the time to canvass villagers to contribute money and labor within the formula of "*State and people cooperate to do (Nha nuoc va nhan dan cung lam)*" to build infrastructure and to achieve environmental protection. In this situation any new buildings could be fitted with biogas, sewers, drainage system, and roads.

The local communities have formulated an action plan for participatory environmental managements. The first level of drafting the plan was the participants detailing the action, the associated level of importance, location to be implemented, planning time, people responsible, support required and the expected results. Based on the participatory assessment, almost all of these actions will initially be carried out by the community with support from donor institutions for activities such as the installation of a biogas plant. The plan does not rely on assistance from district or provincial



authorities. The actions outlined in this plan also show that the community understands their responsibilities towards environmental protection. It also supported the argument that the community did not clearly understand the role that district and provincial authorities should be playing. Local authorities should capitalise on villagers' awareness and establish activities aimed at protecting the environment. Obviously, this will not solve the environmental pollution problem in rural areas; however it may help to minimise the effects.

*Community works out solutions*

The local people got together to establish an action plan to protect their environment. The people involved in the establishment of the plan were both involved in creating pollution and people that were exposed to the pollution because of where they live.

*Always clean the flows in drainage system*

Maintaining a regular cleaning schedule of drainage system will prove to be helpful. Local mass organisations and leaders of villages will be responsible for the mobilisation of villagers to participate in this form of environmental protection.

*General planning to improve drainage system*

Villagers believe that the planning has to be implemented without any delay and feel that the local authorities should take up this responsibility. While the villagers have confirmed that they will pay, a part of the solution will be funded by the government.

*Organise waste collection groups*

This solution should be implemented as soon as possible. Villagers believe that commune level authorities and village leaders should be responsible for the establishment and action, while villagers will contribute for collection.

*Shift to crafts that cause less or no pollution*

What is astonishing is the proposed solution reflects that the villagers are placing greater importance on the reduction of environmental pollution than on maintaining tradition skills, which is not only their livelihood but a part of their social and cultural identity.

# INDONESIA

## Case Study 6: Kebumen Uses *Musrenbang* to Enhance People's Participation

Kebumen has been widely known as one of a few districts that have attempted to implement principles of good governance such as participation and transparency ever since the introduction of decentralisation. The *kabupaten* has been headed by a reform-minded lady (Bupati Rustriningsih), who has gone on to take up some very bold innovations in the government, breaking the bureaucratic regiment. This step has attracted several donor-supported programmes that attempted to assist governance reforms in Kebumen.

Since the launch of decentralisation, public consultation became a compulsory step to complete the planning process. For this specific end, the Government of Indonesia introduced a formal forum named *musrenbang* meaning a Multi Stakeholder Consultation Forum for Development Planning. In support of this participatory *musrenbang* process, a number of regional governments have tried to increase participation by passing *perda*, or local bylaws, to legislate transparency in budgeting and deepen the consultative approach down to the community level. The purpose of this forum is to reach an agreement on programme priorities of the local government departments.

It is not uncommon to see districts which have not seriously attempted any significant effort to improve the quality of their respective planning and budgeting processes, such that the entire institution of *musrenbang* has been legitimised in the process. An exception has been *Kebumen* regency which has had a lot of people participation at the level of planning. This has also been made possible by ILGR<sup>6</sup>, which provided technical supports for enactment of bylaws (*perda*); these are essential to realise the acts to grassroots participation, transparency and accountability. This certainly influenced and improved the integration of planning and budgeting in the participating districts, including Kebumen. It is generally expected that better participation, transparency and accountability in planning and budgeting processes would improve the effectiveness and efficiency in the (limited) resource utilisation.

In order to have relatively more time for planning and budgeting processes, Kebumen has now moved up (earlier) the start of the process from January to November of the preceding year (14 months prior to the budget implementation year). On one hand this could potentially give more time for better participatory planning processes, especially at the village and sub-village levels; but on the other hand the longer time also opens up more possibility that things have changed by the time activity proposals are executed.

What has acted as a catalyst in initiating participatory planning processes in Kebumen and has been responsible for its continuous improvement was a woman leader. The election of the first woman named Bupati Rustriningsih to head a district in Indonesia

<sup>6</sup> It is a World Bank supported civil society organisation.

since the introduction of decentralisation has interested donors from world over to come to Kebumen and provide assistance for local capacity building, especially in the budget making procedure. Bupati herself has also shown a lot of enthusiasm in bringing about reforms, though not all initiatives were hers. She has paved the path to form an active and open-minded civil society. At the administrative side, the current district administration led by Bupati herself has opened up many parts of governance processes, even in planning and budgeting to the community. As one of the results, information on what the local government is doing is now relatively easier to access than it was in the previous district administrations.

It is the local officials, part of the government who facilitate and carry out the *musrenbang* processes uniformly. It is thus essential to have capable officials and community facilitators, even if in limited number. There is however a variation in terms of the sections that get represented, even if the process is participatory. For instance, in Kebumen, special attention to gather women's voices has been paid dividend while in some villages they do not even come for the multi-stakeholder dialogue.

Another important component is philosophy in facilitating participatory processes. Such skills and knowledge ensure that participatory processes do not remain a mechanistic or procedural ones. To this end, FORMASI (*Forum for Indonesian Cooperative Movement*) members have been trained to facilitate participatory planning processes. FORMASI assisted participatory planning processes in a number of sub-villages (*dusun*) prior to the *musrenbang-desa*. At the preparatory stage, the philosophy of deepening democracy through direct involvement of the people has to be inculcated. Once this is done, the entire process moves in one direction trying to include as many voices as possible.

A chief lacuna was the lack of information. This is where the civil society has pitched in; it has brought in transparency in the process between the government and the people; they have been responsible in not only creating access to relevant information but also in integrating planning and budgeting. It is the initial phase of planning that has maximum people's participation, particularly in a few villages where local NGOs assisted the processes. But in the later stages where higher levels of *musrenbangs* were decided, direct involvement of the people and their access to the process diminishes gradually. The official processes of formulating KUA and drafting of APBD were still relatively closed for public (only the DPRD's and local government's budget committee members are involved). It is only a few 'prominent' NGO activists who to a certain extent, can access these officially closed parts of the planning – budgeting processes. They have used such an access to promote some changes or activities that were said to be in the interest of the public or local communities.

The most limiting issue in this district is the participation seems to have been dominated by a small number of NGOs rather than the community. The channels which are otherwise blocked do not allow the public to access information about the higher levels of policy decision.

Planning alone cannot guarantee accountability from the government since it is a one-time intervention in the process. One of weaknesses observed in citizen participation at the district (which actually also happens in most districts in Indonesia) is the absence of an evaluation mechanism of the immediate past planning – budgeting implementation. Even if conducted, it is often weak and decisive. This dilutes the citizens' stake in the planning process.

What participation seeks to address are issues of poverty and inequality. With regard to the pro-poor nature of Kebumen planning and budgeting processes, activists at FORMASI have had limited success. This is caused by the way “pro-poor” planning is defined; if the poor are participating in the processes, even if partially, if education and health services is free and there is some betterment in physical infrastructure for the poor, like roads, sanitation then the planning is poor inclusive. As observed by some local NGO activists in Kebumen, an integrated and structural approach to reduce poverty which will alter social structures of power is yet to be taken up in the local development plans. The work is limited to the superficial level.

When it comes to gender sensitive planning and budgeting is still largely understood as women participate in planning and budgeting processes, even if it is sporadic and that there are budget allocations for women groups and activities. Other dimensions of gender planning, like bringing them to a decision making position, or creating a regular channel of participation are missing from the agenda.

There is also a variation among villages in terms of the officials running the *musrenbang* play a determining role in how effective the multi-stakeholder dialogues can be. In many villages, such officials are not present so the process achieves little; this situation could also potentially result in the problem of unbalanced quality of plans and/or proposals among the villages in the same district. So what it demands is a rapid replication of successful village-level assistance (including the assistance to *Pre-Musrenbang* processes).

# THAILAND

## Case Study 7: Coastal Resource Management with Local Participation in Surat Thani, Thailand<sup>7</sup>

In Thailand, there are 2,614 km. of coastline located in 22 provinces along the gulf of Thailand and Andaman Sea consisting of three main coastal resources: mangrove forest, seagrass and coral reefs which closely relate to each other.

After 30 years of development, mangrove forest area was decreased by more than half. Degeneration was found at coastal area of the gulf of Thailand all over. In addition, the seagrass and coral reef were also destroyed. The main cause was by using the area for economic activities such as aquaculture, salt farming, agriculture, industry, sea port and mine. The deterioration of coastal resources in Thailand during the past 30 years of development effects both social-economic as well as political condition of local area and the country at the same time.

The existing system of coastal management in the region is considered ineffective on the following three points:

- Lack of policy with focus on sustainability of resources and preservation of natural resources.
- Lack of acknowledging traditional peoples knowledge
- Short-term development projects with focus on economic profit such as shrimp farming, large-scale commercial fishing in coastal area.

Presently in Thailand, people participation has been accepted from every level especially in natural resource management. The Environment Act 1992 <sup>8</sup> aimed to accept people participation but there were a lot of limitation in practice.

The area of Ta-Chana Bay village, Amphoe Ta-Chana, Surat Thani Province is situated on a 30-km long coast line and the majority of the people's occupation is small-scale fishing. However, illegally fishing within the 3,000 meters of natural coastal conservative area and the changes of mangrove forests for shrimp farm had serious effects on the local fishermen. Some fish became extinct and the income of local fishermen declined continuously.

To solve this problem, the local people formed "The Ta-Chana Gulf Conservative Group" in 1992. The solution was found in constructing artificial reefs in the preservative area and started the coastline activity and other activities to develop the community

<sup>7</sup> <http://srdis.ciesin.org/cases/thailand-001.html> (accessed 24/02/10)

<sup>8</sup> Enhancement and Conservation of National Environmental and Quality Act, B.E. 2535 (A.D.1992) the act has been considered one of the most comprehensive environmental laws in Thailand. The Act consists of six main sections: Introduction, Approaches to National Environmental Act, Environmental Protection, Pollution Control, Promotion Measures and Civil and Penal Liability.

potential such as the co-operative group, the fish sauces product group and integrated farming group.

The committee held regular meetings. Five years of sustained participation of local people in coastal resources management has brought significant changes in coastal resources, socio-economic and culture in that area. Some of its activities concerning local resource management are, for example, the construction of local artificial reefs, beach cleaning, planting of pine tree for coastal protection from wind stress, setting group cage culture, setting up revolving fund to purchase fishing gear for member, established community resource database, etc.

The changes observed with the concerted efforts for instance, seagrass and seaweed are now returning to fisher's nets, and dolphins and King Mackeril can be seen within 3 km of the coastal area. The stealing of nets has decreased and better cooperation among villagers has been developed. Villagers income increases as marine animal increases. It can be concluded that the establishment of local organisation for coastal resource management in this area has resulted in more involvement of local community in the otherwise, wider development process in coastal resources conservation; they are also involved in management, although with external cooperation from government officials, media, academician and NGO.

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## *About*

# **PRIA Global Partnership (PGP)**

*A Global Initiative on Citizenship and Democracy*

PRIA Global Partnership (PGP) is an initiative of PRIA to foster knowledge and relationships globally. PGP provides demand-based advisory and consulting services to advance its priority thematic areas and strategic activities. It emphasises the value of communication to strategic actors by using web-based technology and other popular mediums accessible to the communities it works with.

PGP strengthens and nurtures partnerships across communities and countries to 'make democracy work for all citizens' through:

- *developing local capacities,*
- *harvesting and sharing innovations through research and action learning,*
- *organising learning processes,*
- *promoting multi-stakeholder engagement and convening.*

The broad themes of PGP's work are:

- *Democratic governance*
- *Participation, voice and social accountability*
- *Effective and empowered civil society*
- *Agency for gender equity*
- *Environmental governance*

PGP's key strategic activities are:

- *Policy and practice oriented research on contemporary issues.*
- *Trans-national action-learning initiatives in partnership with other civil society groups.*
- *In-country, regional, trans-regional and global policy dialogues and learning events based on empirical research and knowledge production initiatives.*
- *Trans-national partnership and coalition building to support policy engagement.*