

THE  
HUNGER  
PROJECT

# 2013 State of Participatory Democracy Report



UNDEF



The United Nations  
Democracy Fund

# **2013 State of Participatory Democracy Report**

**The Hunger Project, in partnership with the UN Democracy Fund**

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The Hunger Project  
5 Union Square West  
New York, NY 10003  
Telephone: +1-212-251-9100  
[www.thp.org](http://www.thp.org)  
Project site: [localdemocracy.net](http://localdemocracy.net)

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# Executive Summary

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One of the most important factors in human development has been largely missing from the international agenda: democratic decentralization, and the establishment of local governance that is responsive, transparent, effective and participatory.

This is beginning to change. The UN Secretary-General's High-Level Panel on the Post-2015 agenda wrote in its report:

"Local authorities form a vital bridge between national governments, communities and citizens and will have a critical role in a new global partnership... Local authorities have a critical role in setting priorities, executing plans, monitoring results and engaging with local firms and communities."

In recent years, remarkable innovations have emerged, and many countries have passed legislation designed to move government closer to the people. Yet, in many countries, there is a big gap between the policy and the implementation. Too often, local government lacks the financial and human resources, decision-making autonomy, and mechanisms for social accountability to fulfill their responsibilities.

There are thousands of individual experts and organizations devoted to these issues, yet most of them have lacked a global forum. There are no agreed-upon measures of local governance, nor is there a global database.

To remedy that situation, the UN Democracy Fund is supporting The Hunger Project to conduct a two-year project to cultivate a global community of practice, develop a multidimensional Participatory Local Democracy Index, and publish an annual report of its findings, of which this is the first.

Following a series of consultations with experts in Asia, Africa, Europe and the Americas, a **five-dimensional index** was developed, and surveys were conducted among practitioners worldwide to measure both the legal structure and perceptions of how well it is being implemented.

The response was gratifying: experts contributed perceptions from 90 countries, and there was sufficient data to rank 35 countries. This data was supplemented by literature reviews to produce profiles of these 35 countries.

The key findings validate the instincts of many practitioners: (a) laws are in place in many countries to move government closer to the people, (b) implementation is widely perceived to be lagging, and (c) decentralization faces significant challenges that must be addressed for local governance to play its vital role as a vehicle for sustainable, people-centered development.

The authors hope that this initiative will contribute to mainstreaming participatory local democracy in development policies and programs, ensuring that people's fundamental human right to participate in public affairs is assured.



# Acknowledgements

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The consultations that produced our index were made possible by organizations and leaders with long experience and dedication to this issue as well as broad networks of practitioners. Our thanks to George Mathew and Ash Narain Roy of the Institute of Social Sciences, New Delhi; Luciano Carrino of KIP International School, Rome; Mirjam van Donk of the Isandla Institute, Cape Town; and the staff and volunteers of The Hunger Project in Mexico City, New Delhi, Dhaka, the Hague, Kampala, New York and Washington, DC. We also want to acknowledge the wisdom and experience contributed at these consultations by dedicated individuals from the UN system, government ministries, NGOs and academia.

These leaders make up our informal advisory council. They are joined by others who provided overall guidance and assisted us greatly in reaching out to experts in this field around the world, including Art Kaufman at the National Endowment for Democracy, Junaid Ahmad at the World Bank, Pablo Innecken of RedLad, Geraldine Fraser-Moleketi of UNDP, Juan Botero and Alejandro Ponce of the World Justice Project, Sjon van 't Hof of the Royal Tropical Institute, and Josep Roig and Edgardo Bilski of UCLG.

We particularly want to acknowledge the advice of Anwar Shah, formerly of the World Bank, whose report "How Close is Your Government to Its People" contains the only other global review of decentralization we're aware of. We are indebted to the LogoLink network, which provided a roadmap.

Our approach was inspired greatly by *Cultivating Communities of Practice* by Etienne Wenger et al, and the development of multidimensional indices by the Oxford Poverty & Human Development Initiative. We make no pretense that our work, at this stage, is as rigorous as theirs.

Summaries and links to the work of all these great teams can be found on our project website – [localdemocracy.net](http://localdemocracy.net).

This report represents the research, writing, project management and outreach skills of Leanna Beaber, Stephanie Cappa, Danielle Dean, Elisabeth Epstein, Luke Fuller, Sam Kendall, Mai Otake, Clare Robertson, and Danielle Smith. Translations were provided by my colleagues Bridget Barry, Ariadna Saavedra, Victoria Watts and Margaux Yost. The report was greatly enriched by the experts who wrote our profiles, whose names are listed in their bylines.

This report is dedicated to the memory of Prof. Ramlal Parikh, a true Gandhian, great teacher and visionary champion for village self-government.

Responsibility for any errors of fact or judgment, however, rests with the principle author. We welcome any input.

John Coonrod, Principal Author, Executive Vice President, The Hunger Project, Washington, DC  
Email: [john.coonrod@thp.org](mailto:john.coonrod@thp.org)

# Introduction: All Politics is Local

All Politics is Local.

This famous saying, by the late speaker of the US House of Representatives Thomas “Tip” O’Neill, underscores the centrality of grassroots level governance to the issues that matter most to people’s daily lives: health, education, water, sanitation, family income, nutrition, equal rights and public safety.

In recent years, many nations have taken bold, and often innovative, steps to decentralize government and move resources and decision-making closer to the people. Nations have moved beyond merely decentralizing government services, to directly engaging an active, organized citizenry in making key decisions and pioneering new forms of participatory local democracy such as participatory planning and participatory budgeting.

Yet, despite their importance to nations and people’s lives, decentralization and participatory local democracy are not priorities on the international agenda.

This report, and the growing community of practice that has contributed to it, represents an initiative to fill this gap. It follows the well-trod path that began with UNICEF’s James P. Grant and the 1980 State of the World’s Children Report and continues with the annual Human Development Report and many others: identify a simple, compelling index, and rate countries on it.

Like those authors, we also present profiles on best practices and broader, contextual information on the issue. But unlike our predecessors, we discovered that we cannot draw upon and consolidate a great body of existing secondary data. Surprisingly little data exists on local governance. This report is a step in building such a database.

Our purpose, however, is not academic research—it is advocacy. We want more people in the development community to be more aware of the role of local governance, and the innovations underway.

Why should specialists in agriculture, gender, education and health care about trends in local governance?

One reason is the commitment to **do no harm**. Too often, well-meaning project teams, NGOs and other organizations create local participatory “parallel structures”—such as school, health or water management committees—that duplicate structures of local government that carry the constitutional mandate to fulfill this function, yet which may lack the resources, training and autonomous decision-making authority to succeed. While creating parallel structures might be convenient in the short term, it undermines the democratic process, and diminishes the chance for a society to develop the sustainable institutions of local government that it needs.

Where such local institutions do not exist or are dysfunctional, it should be the duty of all development actors to advocate for their implementation and help provide them with the capacity building required.

**The best reason** that all practitioners should pay attention to local governance is that it is where the rubber hits the road. It is the only society-wide mechanism through which people can take action to secure their most basic human rights.

## Why is Participatory Local Democracy so important?

Participatory Local Democracy is not new. It represents a common-sense approach for people to work together to solve collective challenges. Formal processes have existed since ancient times and are described in detail in Vedic scriptures (Singh, 1999).

Many modern nation-states emerged, bottom-up, from a base of local governments, but this was not the post-colonial experience. These nations often adopted top-down, bureaucratic structures that mirrored their colonial past. As a former Indian chief minister who championed decentralization once said, “The British created a system to enslave us, and we have carefully preserved it ever since.” (Ramakrishna Hegde, personal communication, 1994)

Modern democracy is based on human rights—on the principle of the dignity of the human person. Article 21 of the Universal Declaration of Human Rights asserts the right to take part in governance, and Article 29 points beyond mere voting to fuller participation when it adds that “Everyone has duties to the community in which alone the free and full development of his personality is possible.”

Mahatma Gandhi’s memorable policy advice (Pyrelal, 1958) is to “Recall the face of the poorest and weakest man you have ever seen and ask yourself whether the step you contemplate will... restore him to control over his own life and destiny.” For the poor, whose universe is circumscribed by the distance she or he can walk, the only meaningful government is government within about 10km. This is reflected in Gandhi’s vision of an India as an ocean of “village republics” based on its village panchayats.

This bottom-up vision was refined in Catholic social teaching (Pius XI, 1931) into the principle of **subsidiarity**—that “It is an injustice and at the same time a grave evil and a disturbance of right order to transfer to the larger and higher collectivity functions which can be performed and provided for by lesser and subordinate bodies.”

The principle of subsidiarity is defined in Article 5 of the Treaty on European Union (EU, 1992). It ensures that decisions are taken as closely as possible to the citizen.

In the 1980s and 1990s, the development community experienced a rebirth of interest in decentralization based on efficiency and effectiveness. The 35 countries profiled in this report reflect the following key motivations for decentralization:

1. **Regional differences:** a decentralized system can reduce regional, language, religious and ethnic conflicts by better

- responding to diverse regional aspirations.
2. **Social accountability:** When leaders live close to the people, it is far easier for people to demand transparency and accountability.
  3. **Deepening democracy:** When meaningful decisions occur at the local level, people are more inclined to participate, to willingly contribute, and to recognize and demand their rights.
  4. **Effective public services:** The logistical challenges of providing access to primary health, primary education, water, sanitation and public safety can best be solved locally.
  5. **Community mobilization:** Participatory local government can best mobilize mass action campaigns for road repairs, sanitation, behavior change and other “people-power” solutions to achieving community priorities.
  6. **Empowering women and marginalized groups:** It is far easier for women and marginalized groups to organize and express their demands at the local level.

### Challenges faced by local governments

Realizing the advantages of democratic decentralization is an uphill battle; centralized authorities and entrenched special interests are loath to give up real power. Our 35 case studies reveal the following challenges:

1. **Financial resources:** Upper-income countries often place 20-40% of public resources in the hands of local government; for the lowest income countries, this may be only 2%. Local governments may lack clearly distinguished tax revenue sources, and local taxing power may prove politically impossible.
2. **Lack of autonomy:** Central government officers see local governments as the bottom of their command and control hierarchy, rather than as autonomous “little republics.” In some countries, government officers can override democratic local decisions and remove elected representatives.
3. **Political interference:** Many local government systems are ostensibly non-partisan, yet are unable to overcome partisan pressures for favoritism.
4. **Corruption and low levels of transparency** may persist, accompanied by vague delineation of accountability between local and central responsibilities.
5. **Lack of guidelines:** Locally elected representatives and line-ministry officers may have little understanding as to how to work with one another.
6. **Lack of capacity and training:** Elected representatives may have low educational levels, and no access to training

- to fulfill (or even fully understand) their responsibilities.
7. **Lack of active citizenry:** Dysfunction may be so long-standing and entrenched that citizens have resigned themselves to powerlessness, and are unaware of opportunities to take direct action to improve their lives.
  8. **Disparities in devolution:** While health and education services may be decentralized, local government may have no clear way to monitor and hold those services to account.
  9. **Structural barriers to planning:** Local bodies may have terms that are too short, or top-down revenue disbursements that are too slow, to enable them to properly plan and implement development projects.

### Participatory Local Democracy, the MDGs and the Post-2015 Agenda

As the “Moving Out of Poverty” study (World Bank, 2009) demonstrates, participatory grassroots democracy is integral in the eradication of poverty. Representative local government empowers people to participate in setting priorities and holding their representatives accountable for results—actions that can help lift communities out of poverty.

There was no mention of local governance in the declaration (UN 2000) that launched the Millennium Development Goals (MDGs), and surprisingly few steps taken to “localize” the MDGs (UNDP, 2006 and box on page 8).

Today, the tide appears to be turning. As the international community discusses what poverty reduction goals will follow the MDGs, governance and local democracy are increasingly recognized as critical elements of the Post-2015 agenda. The UN Secretary-General’s High Level Panel stated in their report (UNHLP, 2013):

“Local authorities form a vital bridge between national governments, communities and citizens and will have a critical role in a new global partnership...

“Local authorities have a critical role in setting priorities, executing plans, monitoring results and engaging with local firms and communities. In many cases, it is local authorities that deliver essential public services in health, education, policing, water and sanitation. And, even if not directly delivering services, local government often has a role in establishing the planning, regulatory and enabling environment—for business, for energy supply, mass transit and building standards. They have a central role in disaster risk reduction—identifying risks, early warning and building resilience. Local authorities have a role in helping slum-dwellers access better housing and jobs and are the source of most successful programs to support the informal sector and micro-enterprises.”



## Localizing the Millennium Development Goals

By Steven J. Klees, University of Maryland

There was talk of “localizing” the Millennium Development Goals (MDGs) from the beginning of their development, yet this did not receive much attention until the mid-2000s. In 2005, the United Nations Development Program (UNDP, n.d.) published a “Toolkit for Localizing the Millennium Development Goals,” which has been followed by UNDP and other development agencies promoting and even funding efforts at localization and publishing reports on related issues and applications (see bibliography).

What is localization of the MDGs? UNDP (n.d., p. 4) argues:

“Localization is a method for:

- addressing disparities and marginalization at the sub-national level;
- providing an integrated framework for development through the inter-relationships between the MDGs;
- linking global, national, sub-national concerns through the same set of goals;
- providing a framework for accountability through the setting of targets and indicators;
- supporting marginalized groups in democratic governance and participatory decision-making processes;
- and lastly, supporting good governance.”

Proponents of localization point out that while national averages on MDG indicators may have risen, that is often accompanied by increasing inequality as advantaged communities benefit more than disadvantaged ones. While localization does not necessarily require administrative decentralization, the latter can facilitate the former. However, there are many instances of decentralization that do not promote the kind of local and participatory needs assessment, program design, implementation, management, and evaluation that true localization requires.

There are many obstacles to localization. The Global Forum on Local Development (2010, pp. 13-15) points out five of them that bear some elaboration:

- **A lack of resources.** National budgets and international assistance have fallen far short of what is needed to achieve the MDGs. In addition, too few resources are available to local communities for MDG related projects. Without considerably more resources and direction to the local level, the MDGs and any post-2015 goals will remain a pipe dream.
- **Modest technical skills.** Capacity building is as important as funding. An array of skills are needed to manage projects locally and these are generally in short supply.
- **The lack of a coherent, multi-level governance**

**framework.** A coherent framework for relations between local and central government is needed to facilitate participation by legitimizing and integrating such efforts. Equally important is the ability of all levels of government to work across sectors such as education, health, water, etc. The MDGs demand cross-sector approaches from the international to the community level. This has proven very difficult to accomplish at all levels.

- **Political and institutional obstacles.** Political and institutional barriers are many. There is often opposition at the national level to ceding power to localities. There also can be opposition at the international level where contacts and comfort make linkages to the national level easier.
- **A lack of explicit national policies for local development and MDG localization.** Without such national policies, locally determined, participatory policies will remain sporadic, ad hoc, uncoordinated, and of limited influence.

Nonetheless, despite these problems, all agree that the most important feature of localization is participatory democracy. There is now some case study information on at least a dozen localization projects including: Albania, Benin, Colombia, Guinea-Bissau, Macedonia, Niger, Philippines, Tanzania, Uganda, and Viet Nam (see bibliography). Two examples from Colombia:

- **Nariño Department.** To accelerate the empowerment of women (MDG3), three interventions were emphasized: training in women’s rights and participation, participatory budgeting, and income generation projects. Through participatory processes, implemented strategies included: gender-sensitive budgeting, awareness raising, legal support for local organizations, capacity development, facilitating land reform, and assigning an economic value to domestic work in project proposals.
- **Cundinamarca Department.** To promote inclusive development for poverty reduction (MDG1), three interventions were prioritized: income generation projects, access to credit for vulnerable populations, and land reform. Through participatory processes, implemented strategies included: capacity development, information dissemination, microfinance and revolving funds, and awareness raising for claiming property rights. (UNDP, 2010, pp. 55-64)

But, at most, these case studies describe what has been done; it is still too early to see results. However, all development is local by necessity and so we must figure out how to do it well. Our success with the current MDGs and our post-2015 goals depends on it.

# Global Community of Practice

Around the world, there are thousands of individual experts, institutes, governmental and non-governmental organizations and networks of organizations working to strengthen participatory local democracy. They have made their voices heard at the numerous consultations held by the UN High Level Panel. Yet unlike issues of health, education and food security, there has not existed a means for these champions of decentralization to work together and project their recommendations to a broader development audience.

These experts don't even have a name. Should they be called Decentralists? Devolutionaries? Participationalists? Localistas?

In our consultations, we found resonance with the term Localistas, so we will use it here.

Obviously, there is no central recognized authority among Localistas. Therefore, the centerpiece of the two-year partnership between The Hunger Project (THP) and the UN Democracy Fund that began in November 2012 has been to cultivate a vibrant, global community of practice among Localistas, and draw from the experience of that community to build this report.

In reaching out to Localistas globally, we drew upon the experience, support and advice of several existing networks and associations:

- **GNLG:** the Global Network on Local Governance, ([www.issin.org/gnlg.asp](http://www.issin.org/gnlg.asp)) coordinated by the Institute of Social Sciences in New Delhi;
- **Logolink** ([logolink.org](http://logolink.org)), launched originally by the Institute of Development Studies and now coordinated by the Polis institute in São Paulo;
- **UCLG:** the Global Network of Cities, Local and Regional Governments ([uclg.org](http://uclg.org)) headquartered in Barcelona;
- **KIP** International School in Rome ([kip-un.org](http://kip-un.org));
- **GGLN:** Good Governance Learning Network ([ggln.org.za](http://ggln.org.za)) supported by the Isandla Institute in Cape Town;
- UNDP-India's **Solutions Exchange** Decentralization Community of Practice. <http://www.solutionexchange-un.net.in/communities/decentralization>;
- The **World Justice Project** ([worldjusticeproject.org](http://worldjusticeproject.org)); and
- The **World Movement for Democracy** ([wmd.org](http://wmd.org)) whose secretariat is housed in the National Endowment for Democracy in Washington.

**Consultations:** From November 2012 through April 2013, consultations were held in Capetown, Dhaka, Mexico City, New

Delhi, New York, Rome and Washington. We called on technical professionals, project managers, civil society, political leaders, and academics to inform the development of the index and survey. We consulted these groups through one-on-one conversations, recorded interviews (available on the [localdemocracy.net](http://localdemocracy.net) website), conferences, and in-person consultations of 15-40 members of the community of practice hosted by partners of the project in each region. Sites were selected based on the presence of existing networks of participatory governance practitioners, and high levels of interest and activity around the issue within each region.

The consultations elicited priorities for advocacy for local democracy and examined the strategies to build a global community of practice. They produced the alignment behind our multidimensional index.

**Internet presence:** A web portal—[localdemocracy.net](http://localdemocracy.net)—was established along with weekly update newsletters that now reach 2,000 development practitioners.

**PLDI: The Participatory Local Democracy Index.** Recommendations from the Community of Practice were incorporated into a survey instrument designed to measure participatory local democracy in five dimensions—both what is in the law, and how people perceive the reality of the law's implementation.

**Profiles of Practice:** To illustrate what is possible in this arena, THP has invited global practitioners to submit brief profiles of participatory local governance in action. These profiles are highlighted throughout the report. They range from the adoption of Kenya's 2010 constitution to the experience of Naga City, Philippines in instituting Citizen Compacts for participation and development outcomes.

**Country Profiles Contextual Information:** Each profiled country and its local institutions operate in a unique historical and structural context. Along with an Index score, the Report provides a snapshot of this background information for each profiled country. This information includes:

- A description of local government structure and electoral processes;
- Capacity-building institutions and civil society actors;
- The amount of fiscal control exercised by local government;
- Key initiatives and remaining challenges for participatory local democracy.

# Five Dimensions of Participatory Local Democracy

This report is based on five dimensions of Participatory Local Democracy. Traditionally, research on decentralization has focused on three major dimensions, in order of both difficulty and historic popularity: administrative, political and fiscal. Most governments have some form of decentralization of its bureaucratic administration going back to colonial times. Establishing directly elected political bodies at the local level is also quite common, although in many countries the powers and resources of these bodies are highly restricted. Fiscal decentralization—allowing local governments to independently raise and spend a meaningful share of public revenues—is rarer still, but is vital to meaningful participatory local democracy.

As we began our consultations, it was immediately apparent that—from a human rights perspective—people’s participation is not at all a given, and in many areas is repressed through both legal and cultural means.

Finally, in our Mexico consultation, participants underscored that local-level planning is not merely an administrative function. It must include all four other dimensions through a well-orchestrated, deliberative process.

## Dimension 1: Active Citizenry

At the core of participation in governance is the citizen. Beyond infrequent elections, the citizen must have the right to participate in governance and be capable of claiming that right. Meaningful participation requires skills and resources that are traditionally lacking in marginalized and disadvantaged groups, such as the ability to work well in teams or to articulate one’s view. Participation also comes with certain costs (e.g. time or resources) that tend to affect some groups more than others, particularly among poor or traditionally marginalized communities. Additionally, participation can be detrimental to marginalized groups when social or political elites dominate the political process.

This is especially important for women. In many areas, more than half the population is effectively excluded from political leadership. Many countries have successfully established quotas in local government for women and for marginalized groups.

These sub-components therefore attempt to capture the main factors essential for citizens to be empowered to participate in local governance.

**Aware.** Citizens should be knowledgeable about their rights and informed of government decisions, requiring civic education,

transparency in government activities and decisions, and regular reporting and investigation by media and citizen groups.

**Inclusive.** It is critical that marginalized groups (including women and minorities) are guaranteed a voice in decision-making processes through transparent institutions and decision-making rules.

**Organized.** Unity is strength. Women, the poor and other like-minded groups must be able to organize and negotiate collectively to ensure their issues are being addressed.

**Participating.** Real participation goes beyond voting, to actively participating in setting priorities, designing, implementing and monitoring government programs.

Our survey attempts to reveal the effects of a range of barriers and opportunities for active citizenry and empowered women in participatory governance.

## Dimension 2: Political Mandate

Participatory Local Democracy can only occur in a legal framework that devolves specific powers, responsibilities, and mechanisms for direct citizen participation. It must have a legally binding political mandate for its job. The components of this mandate include legislation to ensure that local government is:

**Democratic.** Citizens must be allowed to represent themselves through localized decision-making processes. These processes include direct democracy, such as public referendums, or participatory democracy, such as regular town hall meetings or local councils. Often, localized mechanisms encourage a more deliberative process, allowing everyday citizens to influence the formulation and implementation of policies.

**Autonomous.** Political decentralization requires constitutional and legal structures, including local elections and laws, that empower local governments to evaluate, decide and implement local solutions to existing problems.

**Accountable.** Legal mechanisms must exist to allow the public to hold local government to account, and intervene in cases of corruption and abuse of power.

**Transparent.** There must be laws that guarantee citizens’ Right to Information (RTI), and mechanisms that make those laws effective in a timely manner. RTI campaigns have been successfully carried out in many countries, and have proven to be a critical tool to improving local governance.

## Engaging Civil Society with Local Government in Mexico

*Rocio Alvarez, NDI Mexico*

Despite the advances Mexican democracy has made to conduct transparent elections, there is still much progress to be made in regards to citizen participation in public decision making, especially at the local level where there is little opportunity for participation. In recent years, the exponential increase in violence that has spread across the country due to organized crime and coupled with a high degree of impunity has greatly undermined confidence in governance institutions and the safety of citizens. Ciudad Juárez, located on the northern border, is the fifth most populous city in Mexico and was the most affected during this period, with 2,980 murders recorded in 2010.

In this context, in 2009 the Mexico office of the National Democratic Institute for International Affairs (NDI) launched a program for the strengthening of political parties, civil society, and consensus building processes. One objective of this program was to increase the capacity of Civil Society Organizations (CSOs) to engage and collaborate with political parties and governments in the formulation of public policies.

**Training and Strategy:** During the first half of 2010, NDI approached the CSO Juárez Strategic Plan (PEJ, [www.planjuarez.org](http://www.planjuarez.org)) with a proposal to strengthen PEJ's ability to influence local decision-making. PEJ had a clear understanding that it should focus its efforts at the municipal level and address the causes of several complex problems in the city including insecurity, poverty, unemployment, and hunger, symptoms of poor city governance with roots in corruption, impunity, authoritarianism, lack of transparency, and lack of citizen participation. PEJ requested help to build capacity in the area of local government advocacy and NDI facilitated a workshop on the methodology of advocacy. During this workshop, PEJ team members learned about tools to design, implement, and evaluate strategies for advocacy.

The PEJ team also received training on participatory budgeting methodology from expert Jaime Vásquez who presented successful cases of participatory budgeting implementation in Latin America. More than 65 representatives and leaders of civic organizations, municipal government, political parties, and aldermen of the City of Juárez attended the workshop. NDI also invited specialists in the use of ICT. Through these workshops and working sessions, PEJ was able to design and improve their digital communications strategy and modifications to their web pages.

The main objective of the intervention model designed by PEJ states that by 2018, the citizens of

Juárez will affect the decisions of the council. To achieve this objective, PEJ identified four strategic areas with complementary objectives: community, legal, media, and policy strategies. To meet these objectives and strategies, PEJ has implemented four areas of action. It developed a system of indicators of quality of life to measure how citizens live, the rights they have, the services the city provides, their economic situation, levels of public participation, and the work of the municipal government. With this, PEJ provides important data to improve decision-making for use both by civil society organizations and government actors.

PEJ offers a series of trainings to Juárez citizens to know their rights and obligations. It has mobilized Neighborhood Committees to work together as a Network Neighborhood to improve both their neighborhood environment and their city. In the same vein, PEJ has formed a group of CSOs that were created around the Municipal Development Plan and the new government public policy proposals. PEJ has also developed the Regidor 19 project and successful litigation in favor of citizen participation, transparency, accountability, and access to local government information. Finally, PEJ maintains constant communication with the public and local authorities through traditional and digital media to raise awareness of these issues, disseminate information, and support their advocacy.

**Implementation and Outcomes:** Regidor 19 is a project designed and executed by PEJ with the support of citizen volunteers to monitor and ensure that aldermen fulfill their functions. This oversight includes monitoring the performance of aldermen (attendance at regular meetings of the council, voting, and committee work), disseminating ratings of the Cabildo, and live streaming council meetings. The project has produced three reports which included data on the work of the council including the low percentage of council member attendance to commission meetings that address specific issues of the city (public safety, public works, family, social, sport, transport, etc.). Regidor 19 continues to present monitoring results from the work of the council committees and disseminates these results through traditional media, the PEJ website, social networks, and emails. This has helped to raise awareness among citizens about the performance of their local leaders and to place the issue of local governance on the public agenda.

PEJ identified the need to promote legal recourse for these sessions to be opened to the public and

promoted an injunction in favor of transparency and citizen participation at the municipal level. Finding legal traction in the principle of maximum disclosure of government information established in Article 6 of the Mexican Constitution, Miguel Fernández, the president of PEJ, was permitted to attend a meeting for the first time on June 11, 2013. However, the ability to sit in on a meeting was given exclusively to a single citizen, Miguel Fernández. In the coming months, PEJ will pursue methods to enable more citizens to enjoy this right.

Through the presentation of the defense case in favor of transparency, PEJ strengthened partnerships with CSOs that are working on the issue of transparency in various fields and has joined the Mexican Network for Just Cities, Democracies and Sustainability and the Latin American Network for Fair and Sustainable Cities. These networks provide their own spaces to promote an exchange of best practices for measuring quality of life

in cities, inclusive citizen participation, transparency and access to information.

Although PEJ continue to focus its efforts on the municipality, it recognizes that their experiences can trigger processes in other parts of the country. Since the end of the rule of Felipe Calderon, the government has announced the huge growth of the state and municipal debts but little has been said about the fate of these resources. PEJ's work demonstrates that in addition to these regulations, vigilance and active participation of citizens is required to make change happen.

**Challenges:** PEJ faces a difficult political environment, dominated by one party, with citizens excluded from decision-making and few guarantees of access to information. To address these challenges, PEJ will soon launch a television program through the internet called PactoTeVe to disseminate information about its initiatives and encourage the participation of citizens.

## Dimension 3: Administrative Decentralization

The key responsibility of government administration is the delivery of public services, and it has been the experience of many countries that moving service personnel closer to the people—and giving them flexibility in how they respond to local needs—is critical. The components we measure is whether the administration is:

**Decentralized.** Local government decisions must be upheld and equally enforced in the legal frameworks of both the national and local governments. Government representation at the local level increases the accessibility of citizens to participate in the decision-making process as well as the responsiveness of the government to the community's direct needs. By decentralizing the government power structure, local governments become more responsive and accountable for their actions.

**Trained.** Local government leaders must have the capacity to effectively carry out the wishes of their constituents. Operational training cannot simply consist of training on service delivery, transparency and management, but also must consider negotiation techniques, taxation, and national legal mechanisms. Such training will ensure that local government officials have the knowledge to run local government operations in a participatory manner.

**Effective.** The outputs of local government equates to its supplied service delivery. Measuring the amount of electricity or water that goes through the system is not always an adequate measure of how effective the system is working, as the services may be directed at one particular group. We have sought to survey practitioners with direct experience of the reality on the ground.

## Dimension 4: Fiscal Decentralization

Are local governments equipped to fund the services demanded of them by the citizens? Many of them are not. Some countries have decentralized the responsibility without the means to pay for it, either through reliable transfers or local taxing authority. We have sought to measure these key subcomponents:

**Support.** Realizing the potential benefits of decentralization inevitably requires that local authorities have sufficient resources to pursue local priorities. Subnational governments should be assigned their own and shared revenue sources with which to fund their responsibilities, so as to reduce dependency on the central government and to facilitate local financial and economic planning.

**Independence.** Local governments must have sufficient autonomy to efficiently and effectively manage and implement local priorities. Too often these resources are restrained by centralized fiscal systems in which high-level government agencies control the great majority of public finances. Successful fiscal decentralization depends on the extent to which revenues and expenditure assignments are localized. Expenditure responsibilities should be assigned to the lowest level of government capable of effectively managing them. It is essential that the process of developing a public budget and allocating local resources be accessible to citizens, civil society and local stakeholders, and that the final budget decisions are accountable to the public.



## Reinventing Local School Boards in Naga City, the Philippines

*Milwida M. Guevara, President, Synergeia Foundation*

Mayor Jesse Robredo was the youngest mayor ever elected in Naga City, serving in the post for nineteen years and winning acclaim for introducing a participatory style of management. One of the many challenges he tackled during his long tenure was Naga City's failing school system. In 2000, Robredo learned that the city's children were scoring at 40% on a basic standardized test, the National Examination—far below what school officials were reporting to him.

Believing the community would share his outrage, Robredo went from school to school consulting with parents, teachers, village officials, and NGOs on how to improve access to quality education. As a result of these consultations, Robredo worked to transform a perfunctory organization, the Local School Board (LSB), into a leader of education reform.

This goal was achieved in several ways. Board membership became more broad-based and inclusive, including new representatives from the Naga City People's Council (the organization of CSOs and NGOs in Naga), private schools, and business chambers.

The Board's educational operations and budgeting became more transparent and participative, with community members voting on priority expenditures of the Special Education Fund tax (SEF) and full transparency in the hiring of teachers.

Naga City developed a community-owned local education plan with strong citizen participation. Mayor Robredo instituted a performance incentive system where students were regularly tested. Incentives were given to schools where there was a significant improvement in pre- and post-test results. The Naga City School Board pays special attention to outcomes and tracks accomplishments of education targets every year.

The Ford Foundation awarded Naga City a grant of US\$130,000 in 2001 and a follow-on grant in 2003 to scale up the program.

All children in Naga are enrolled in school. This performance is far above the national average of 89%. Naga is in the top tier for completion rates in the country with almost 9 out of 10 children completing grade six, compared to the national average of 72%. Robredo instituted a culture where policies, budgets, and decisions were made transparent through the

availability of information on the city's website. The city now enforces accountability through a Citizens' Charter where the rights of citizens and the responsibilities of public officials are defined. In addition, the charter provides benchmarks and timelines within which performance can be measured. Mayor Robredo credits the enthusiastic involvement of citizens in the success of all his reforms.

The major challenge to this reform was the lack of accountability of the Department of Education to local governments. School officials report to the central government and resist allowing local governments to take an active role in decision-making, budgeting, and policy formulation. This was addressed through a covenant with the Department of Education that defined the responsibilities of the central and local government and the standards through which processes should be performed. However, since Secretaries of the department are political appointees, enforcement of the covenant remains a challenge.

The Robredo model has served as the template for "Reinventing Local School Boards" in the Philippines. Synergeia Foundation, a coalition of individuals, institutions, and organizations working to improve the quality of basic education, shepherds this process and is currently working with more than 300 local governments. Innovative local governments have customized the model to address challenges in their own communities. Manuals, briefings, and the training of mentors have guided replication. School boards now serve as "Performance Officers" of the Department of Education and hold teachers, principals, parents, and village officials accountable for children attending school and learning. The school boards have evolved from nominal bodies into leaders and trailblazers in their communities.

Citizens will always demand a program that produces good results. The clear impact the program has had on creating participatory management and good governance, and most importantly, on giving children equal access to good education helps ensure its sustainability. The program will continue to develop torchbearers and to standardize processes and systems into modules and templates for use in other communities.

## Dimension 5: Multi-Stakeholder Planning

Planning is perhaps the most important and most challenging role of participatory local democracy. Many local government systems are ill-equipped to fulfill it. They lack the skills, and sometimes serve terms that are too short for meaningful long-term planning. The need for planning to span electoral cycles is nearly universal. The ideal situation is for the community to do its planning and elect officials to implement it, rather than the other way round.

Many local authorities in Europe and elsewhere have pioneered multi-sectoral, participatory LEDAs: Local Economic Development Authorities to perform this function.

The elements we attempt to measure are:

**Capacity.** It is important that the human resource capabilities on the government level be adequately utilized in order to ensure adequate long-term planning. The government's ability to fully plan out a project and carry it through within one electoral term has been identified as a limiting factor. Similarly a lack of decent demographic data limits the ability of local governments to plan ahead.

**Deliberative.** Citizens need to be a part of the discussions in deciding the important steps forward. The effectiveness of meetings where citizens can participate enables citizens to overcome both the incentive gap, that those with fewer resources face greater cost burdens, and power gaps, dominating groups use participation to advance their own personal interests instead of the communities.

*Elected local committee at a Hunger Project epicenter in Uganda.*



## MDG Unions in Bangladesh

*John Coonrod, The Hunger Project*

What would it take for participatory local governance to play a key role in achieving the MDGs? The Hunger Project-Bangladesh, the national chapter of a global NGO, set out to answer this question. Working in partnership with BRAC and the UN Democracy Fund, and based on 20 years of experience in bottom-up, gender-focused rural development, it is pioneering an affordable, replicable methodology known as “MDG Unions.”

The MDG Union strategy combines intensive transformative capacity building of both the population and the local government, based on shifting the mindset from a deeply-entrenched prevailing clientelism, to one based on mobilizing people-power, women’s empowerment, and participatory governance.

This has become possible as new local governance reforms took hold with the most recent 2011 union parishad (UP) elections—the lowest rural tier of elected government.

During 2012, the methodology was launched with 80 UPs across all seven divisions of the country—where each union has a population of approximately 30,000 people. During the first year, the strategy:

- Formalized the commitment of the UP to this process through signing an MOU, and providing a five-day capacity-building course to all elected union-parishad members.
- Trained a critical mass of village volunteer “animators,” 40% of whom are women, who are the spark-plugs for mobilizing self-reliant action campaigns and for conducting baseline surveys.
- Trained a cadre of women leaders, two in each of the nine wards that make up a union, who have the knowledge and skills to bring rights- and behavior-change education to families where women are confined to their household, through “court yard meetings” which not only sensitize women to their rights, but also their mothers-in-law and husbands, who wield decision-making authority in the family.
- Trained youth facilitators, who are able to mobilize youth for self-employment, rights education and social service.
- Built civil society from the bottom-up: facilitating the community to create local groups for women, the

ultra-poor, youth, and for advocating girls’ rights and good governance.

- The UP and the mobilized communities implement the now-mandatory (yet rarely implemented) citizen charters, public budget meetings, ward assemblies (*ward shava*) and the participatory creation of five-year union development plans.

This intensive building of “democratic social infrastructure” results in mass action campaigns. For example, during 2012, mobilization of the first 80 MDG Unions produced the following outcomes utilizing existing local resources:

- MDG1: New self-employment initiatives for 6,341 individuals, formation of 754 local enterprises involving 15,946 women and men.
- MDG2: Enrollment of 8,435 girls and 7,922 boys in school, sending 2,129 dropped-out girls and 1,846 boys back to school and adult literacy training for 9,637 women and 2,368 men.
- MDG3: Halting 1,299 early marriages, 2,434 cases of domestic violence and conducting 2,501 dowry-free marriages.
- MDG4: Legally registering 64,442 births, immunizing 180,871 children, providing vitamin A supplements to 123,509 children.
- MDG5: Immunizing 24,591 pregnant mothers and providing 20,979 with nutrition support, attending 22,680 safe births (in a country where birth attendance is rare).
- MDG7: Testing 9,358 tube-wells for arsenic, installing 20,334 sanitary latrines and 2,613 new tube-wells, planting 313,699 trees.

A goal in 2014 is to utilize new household surveys to empower both elected and local civil society leaders to know and be able to track progress on all MDGs, and mobilize the community to identify and construct key missing infrastructure components.

Ten new MDG unions were launched in 2013 in partnership with the UN Democracy Fund, with the express goal of promoting this approach through careful documentation and strategic media communications. You can track the progress of individual unions at <http://mdgunions.org>.

## Kenya's Constitutional Devolution: A Promising Path to Participatory Governance

*Dr. Collins Odote, University of Nairobi*

**Introduction:** On March 4th, 2013, 12,330,028 Kenyans went to the polls in a general election that was profound in several respects. This election marked a record 86% turnout of registered voters and was momentous in its transitional nature held against the backdrop of the 2007-08 post-election violence and the ongoing trials of several Kenyans at the International Criminal Court. Critically, this election marked the completion of the transition to the full application of a new Kenyan Constitution. Kenya adopted a new Constitution following a successful referendum in August 2010. The 2010 referendum occurred after a failure to adopt an earlier draft in 2005 that resulted in political reorganization in the country, the emergence of a new opposition movement, the Orange Democratic Movement, and set the tone for the 2007 elections. As a result of those elections and the ensuing violence, a mediation panel headed by Kofi Annan identified the failure to adopt a new democratic constitution as one of the causes of the violence and consequently prioritized the adoption of such a constitution. The 2010 referendum resulted in a resounding victory for proponents of the draft, with 68.5% of the 9,106,285 who voted supporting the adoption of the Constitution.

The clamor for constitutional reform was based on the need to revise the framework of governance, enhance protection of human liberties, reform land tenure and use regulation, and make leadership more accountable to the citizenry. The new Constitution came after many years of agitation, debate, and acrimony within the Kenyan society. Kenya's civil society, professional bodies, and the political opposition largely spearheaded the fight for reform. However, for several decades, former President Moi and the ruling class were seen as the greatest obstacles to the adoption of a new Constitution. This long struggle made the referendum outcome in 2010 a momentous occasion in the country's history, setting the stage for improved governance and greater protection of citizens' rights.

At the basis of the new constitutional arrangement is the adoption of a devolved system of government and the primacy of citizens in the new constitutional order.

**Citizen Participation:** The motivation for a new constitution was the need to make government accountable to the people. This desire was informed by the country's history, marked by an active citizenry and civil society, but held back by a largely opaque, restrictive, and unaccountable legislature. The design of the current constitution seeks to place citizens at the center of governance. It makes participation by the

people a part of the national values and principles of governance. Every public actor responsible for policy decisions affecting the enactment of laws and policies is under a constitutional duty to ensure the public is involved in the process. In addition, power is to be exercised only through the sovereign will of the citizens. Article 10 of the Constitution that addresses national values and principles of governance provides that these will include..."democracy and participation of the people." Fundamentally, the structure of the Constitution departs from Kenya's previous one which focused first on the branches of government. The current Constitution starts with the people. Article 1 addresses the sovereignty of the people, stating that all sovereign power belongs to the people, to be exercised by them or by those to whom they have delegated that power in accordance with the Constitution. Importantly, that power is exercised at both the national and county level.

Sovereignty and citizen participation traces its importance within Kenya's constitutional architecture to the process through which the Constitution was adopted. The process involved several years of consultation including the Constitution of Kenya Review Commission extensively collecting opinions from citizens of all walks of life across the entire country. It also involved formal and informal debates and finally approval through a referendum. Indeed capturing the aspirations of the people became such a fundamental requirement of the country's Constitution making that it led to the concept of *wanjiku* as a depiction of the people's involvement in Constitution making.

### **Devolution and Participation in Governance:**

A fundamental critique of the previous governance framework within Kenya was the centralization of power. Power was not only concentrated at the headquarters of the country in Nairobi, but also largely in the institution of the Presidency at the expense of the other branches of government. Kenya's experience with a centralized government resulted in state capture by a small political elite with negative consequences including endemic corruption, poor governance, the marginalization of segments of the society, and a feeling of exclusion of the people from the governance of the country. The system also resulted in unequal development across the country. The need to depart from this past and chart a path based on participation, democratic governance, inclusion, and equitable distribution of resources formed the basis for the agitation for and eventual adoption of a devolved system of government.



Kenya's devolution is unique and responds to the country's specific context and circumstances. It is based on two levels of government, defined by the Constitution as national and county level, with the country being divided into 47 counties. The two levels of government are distinct and inter-dependent and expected to conduct their mutual relations on the basis of consultation and cooperation. This system has been described as combining elements of autonomy and inter-dependence thus characterized as a Cooperative System of Government. People at the local level have the space and flexibility to make decisions that affect them at that level based on clear authority and limitations within the Constitution. At the same time, the people organized around counties share in making the decisions that affect the entire country, hence the concept of shared government at the national level. The desire for decentralization in Kenya was to ensure that power and resources were dispersed and equitably distributed across the country so that one region does not feel marginalized as happened in the past. Secondly, due to Kenya's multi-ethnic composition and past challenges with tribal clashes, the design was to ensure that the country remains unified and cohesive, hence the delicate balance in designing the Country's devolved structure.

In terms of structure devolution does not stop at the county level. The Constitution provides in Article 176 that "every county government shall decentralize its functions and provision of its services to the extent that is efficient and practicable to do so." This requires that county governments ensure that their structures and services are further decentralized to lower units and are as proximate to the people as possible. The County Government Act provides how this decentralization will take place. Further decentralization is to take place to urban areas, cities, and sub-counties which will be equivalent to constituencies. Further down the line of devolution will be wards and then villages. Every County elects a Governor to be the Chief Executive of the county and also a Senator to represent it in the Senate. At the County Assembly there are elected County Assembly representatives, with one representative per ward. Finally to the national assembly there are elected one member per constituency. In addition the Constitution pays special attention to the participation of women, youth, persons with disabilities, and other marginalized groups and sets aside seats largely based on party lists for their representation to the county assemblies in the counties and the national assembly and senate. A woman is elected from every county as a member of the national assembly.

The rationales for devolution in Kenya are varied and include the dispersal of power, enhancing equitable development within the country, promoting accountability in the exercise of public power, guaranteeing greater citizens participation in governance and improving service delivery. Following the elections of 4th March 2013, 47 governors were elected to take charge of the counties and spearhead the implementation of devolution at the local level as well as the county assembly members. The transition process is challenging, requiring a re-orientation from a centralized mindset with all decisions being controlled in Nairobi, to one based on cooperation and consultations between the national government and devolved governments. It also requires paying attention to the unique needs of all parts of the country, ensuring that all disparate voices are heard and included in the process of governance. This may slow down some processes, but in the end it ensures that decisions made have the greatest support of the populace.

**Conclusion:** Laws that have been passed to implement the constitutional provisions on devolution underscore the importance of citizen involvement in governance. Moving beyond the letter of the constitution and laws to actual change on the ground requires adequate resources, greater awareness, responsive leadership, political commitment, and citizens' engagement. Kenya has taken the initial steps on this long journey. The country also realizes that achieving this target is not a one step-event hence its desire to transition the implementation process of devolution within a time-frame of three years and the creation of several transition bodies to guide the process.

The Constitution provides for the establishment of a Constitution Implementation Commission (CIC) to spearhead the process and oversee the development of legislation required to implement several of the provisions. CIC was formed in January 2011 and has five years to shepherd the constitutional implementation process, by which time the laws listed in the fourth Schedule of the Constitution should all have been enacted.

The second institution with a specific mandate to guide the devolution process is the Transition Authority. The Transition Authority has three years after the March 2013 election to ensure an orderly transition to the devolved system of government. This requires unbundling the functions listed in the Constitution so that there is clarity on the specific roles of the county and national government. The Authority is supposed to ensure that the transition process is smooth and orderly, that it addresses the issues of former staff of local authorities, that it determines which staff go to county governments and



which ones remain with national governments, and it deals with assessing and transferring functions to county governments.

The process of transition to a devolved system of government faces several challenges that the country will have to grapple with. Some of the most critical include capacity building for counties to improve their abilities to handle their functions effectively; managing relationships between national and county governments; allocating resources to support the devolution process and determining the allocations; determining the roles of members of Parliament who have in the past performed

some developed functions in the absence of a devolved structure of government and reconciling this with devolution; and raising the level of awareness amongst the citizenry. The development challenges for most counties as well as the levels of expectations are high.

The initial building blocks for successful devolution in Kenya are in place but the level of public expectation is high such that for the ordinary citizen the success or otherwise of devolution will mark the success or failure of the new Constitution, demonstrating the link between devolution and participatory governance resulting in the improved livelihoods of citizens.

## Health Decentralization in Thailand

*By Wenchi Yu*

Thailand has a history of successful health development thanks to its decentralization policy, created to balance the development of human, social, economic and environmental resources to achieve sustainable and people-centered development.

In the 1997 Constitution, decentralization was a key innovation to shift resources from central to local governments, with the target of a 35% share of the total central government budget by 2006. The Decentralization Act in 1999 and the Decentralization Action Plan in 2001, 2008 and 2012 further realized the transfer of responsibility of different levels of health facilities to local governments, especially at the sub-district and provincial levels. At the provincial level, the "Area Health Board" was also created to allow participation of all levels of local governments, civil society groups and health experts.

The number of health staff transferred from the Ministry of Public Health to local governments increases yearly. Approximately 1,000 staff have been transferred to municipal and district level governments. According to the World Health Organization (WHO), Thailand's total health expenditures is about 4.1% of its GDP, or US\$328 per capita, relatively low for its health achievements. And the extensive network of health facilities played a crucial role in improving health for the rural population.

Long-term government pro-poor health policies have been critical to Thailand's successful expansion of district health systems and financial risk protection for the poor. The Government's decentralization policy for education and economic development also contributes to higher-level literacy, especially among women, leading to the success of Thailand's health outcomes.

Political instability might have been the main challenge to Thailand's implementation of a sustained decentralization policy. While the targeted share of the total central government budget is 35%, it remains relatively low so far (just above 25%, the minimum requirement). Highly trained health workers also lack upward mobility at local health facilities, creating staff retention issues. Migrant workers and the "greying" population in Thailand also create new challenges to Thailand's health care system.

In Thailand's Eleventh National Economic and Social Development Plan (2012-2016), the major shift from the Tenth Development Plan is from the growth-oriented approach to "people-centered development" which prioritizes civil society, private sector and academia participation, including increasing public health expenditures.

## Participatory Budgeting in Porto Alegre, Brazil

*By Jorge Lafitte, American Friends Service Committee Latin America*

Throughout the 1990s and 2000s, an innovation in participatory governance swept through Latin America: participatory budgeting. Created in 1989 by the City Hall of Porto Alegre (Brazil), the Participative Budget (PB) aims at the inclusion of all possible social actors upon the decision on 10-20% of the city's public yearly investment budget, equivalent to US\$75-90 m.

By enhancing citizen participation, participatory budgeting aims to avoid government corruption and the diversion of public funds. As such the PB is part and parcel of urban governance, where each person is equal to one voice.

The main success factor has been the active involvement of the main community, including the lower-income neighborhoods of the city, in the priority-setting and budgeting process. The fact the municipal authorities accept and implement people's choices have been of paramount relevance to keep the legitimacy of the program and motivate people to take part.

The PB confronts three main challenges in the short run:

1. Educating people in formulating a big picture of the city, meaning that citizen's participation is more than simply getting a neighborhood project approved;
2. Implementing a regular training course to enhance minority group's skills for oral expression and meeting techniques, so to ensure their full participation;
3. Finally, designing strategies to ensure the interest and active participation of the upcoming urban middle class (Class C in Brazil) with the PB.

In Porto Alegre, participatory budgeting has drawn in a diverse set of stakeholders, with strong representation from less wealthy individuals. Some 16,000 Porto Alegre inhabitants attended the PB assemblies in 2009, while surveys show 60% of the population is aware of PB.

More than 54% of participants were women, 27.5% described themselves as black, and more than half came from families earning less than 2x the minimum wage. The wealthy (earning more than 12x minimum wage) were 2%. Unemployed and pensioners were 20% and self-employed were 20%. More than half have access to the internet.

The PB involves actors at three levels. The city is divided in 17 sectors, where local inhabitants annually choose delegates and counselors for each sector to the Municipal Council of Government Plan and Budget. Individuals define and prioritize the themes and budget items to be discussed by this Council.

The Plan and Budget Council coordinates and organizes the budget and investment priorities and presents the draft document to the City Mayor, who submits the proposal to the Municipal Legislative Council for final approval. Each year, the City Hall promotes an assembly where the accounting and achieved results of the previous year approved investment plan are reviewed.

Clearly the priorities from the poorest regions (housing, basic sewage systems, mobility) are dominant in the Porto Alegre Municipality's investment agenda.

Definitively, progress has been made in enhancing infrastructure and housing in poor areas.

In 2011, the larger investment (R\$81m=US\$43m) was on roads/streets, followed by public mobility (R\$29m=US\$15m)

Compared to 2003, the number of projects related to road/streets were 56 while in 2011 were reduced to 14. Similarly, in 2003, public transport also counted 56 projects though they reduced to 5 in 2011.

Investment priorities in 2003 focused on access to water, basic sewage systems and public roads.

Although the Participative Budget has made the municipal budget system more transparent, it has not solved all problems. In fact the Participatory Budget relates to allocation of funds from the Capital Budget, mostly provided by the Federal Government. A new source of Municipal income should be sought to ensure PB sustainability. Introduction of progressive municipal taxes to real state speculation and individual car use could be workable options.

Participatory budgeting is being replicated in 70 Brazilian cities as well as in Uruguay, Argentina, Peru, Ecuador, Belgium, Canada and New York City. In 1996, UN Habitat defined the Participative Budget as an innovative financial practice to enhance participation, municipal accountability and good urban governance.

## People's Plan Campaign in Kerala State, India

*By Joy Elamon, CEO, Intercooperation Social Development India*

Amendments to the Constitution of India in 1993 established local governments in rural (Panchayats) and urban areas. Kerala, one of the southern most states in India, took this initiative earnestly. Recognizing that the mere passing of legislation will not lead to functioning local governments, the state used local level participatory planning as the tool for developing effective local governance.

In August 1996, the state government announced a campaign for decentralized, bottom-up planning. The government pursued a "Big Bang" method of transition, which included large-scale fiscal devolution, along with a campaign for local level planning, the People's Plan Campaign. It was envisioned that the participation of people would act as the pressure for strengthening decentralization.

Plan formulation activities begin with gram sabhas, village assemblies that assess needs and priorities for developing local level planning. Gram sabhas identify volunteers for various participatory rural appraisal activities prior to the preparation of a **development report**. This report is the consolidation of gram sabha reports that includes situational analyses of various development sectors, reviews of on-going schemes and projects, a collection of secondary data, and a geographical study of the area and local history. This is followed by a **development seminar** which discusses the development report, provides final suggestions on solutions to development issues, and forms sector task forces including health, education, animal husbandry, agriculture, minor irrigation, women's welfare, scheduled caste and scheduled tribe development, drinking water and sanitation, and housing. The role of the task forces is to prepare projects based on the issues and solutions suggested.

This plan also has sub plans or programs such as the women component plan, tribal sub plan, special component plan, anti poverty sub plan and destitute rehabilitation plan. The Panchayat committee prioritizes the projects so as to finalize the plan, which is presented to the gram sabha before being approved for implementation.

The People's Plan Campaign was designed to facilitate the preparation of scientific, participatory, and time bound annual local plans. The Campaign effectively brought together current and retired officials, experts, volunteers, and masses of people under the elected representatives. At the Gram Sabha, every adult in the village has the right to participate. It was also stipulated that 10% of the population is the quorum for a Gram Sabha. Initially the participation of women was lower, but as the process continued, women became the majority

in Gram Sabhas in most of the places, thanks to the efforts of mobilizing women as well as the establishment of women's self help groups.

Evidence of success lies in the fact that all the rural local governments could prepare their development reports and annual plans, and implement them. The process has continued since 1997, with modest improvements made over the years.

Success factors of the Campaign include: the successful mobilization of citizens, capacity building exercises conducted on the village level, the high level of volunteerism, and the political will of the state government which ensured the transfer of funds, functionaries and functions to the local governments.

While the constitution of India provided the legitimacy for such an initiative, the Plan faced a number of challenges. In the transition from centralized to decentralized governments, actors who had power in the centralized system often fear losing their power. Additional challenges included using the full-scale big bang approach to decentralization, attempting to encourage mass citizen participation, and involving all kinds of stakeholder groups. The strong commitment of the state government was helpful in overcoming some of these barriers to some extent.

Though not on the scale of what has been implemented in Kerala, the process of plan preparation under the leadership of local governments has been adapted by the Planning Commission of India and the Ministry of Panchayati Raj (India's system of rural local governance) in preparing the guidelines on local planning for the entire country. The central bodies are encouraging replication in many other states in the country.

A system and methodology for participatory planning under the leadership of local governments evolved through a process that could not be repealed, as there was massive people's participation and support and, thus, ownership at the local level. Along with the campaign for local planning, the Committee on Decentralization of Powers was also created. This committee designed the institutionalization of the decentralization process. The Committee suggested clause-by-clause amendments to the existing laws including a scheme for redeployment of local staff, a system for improving the auditing of the accounts of local bodies, and guidelines for revision of rules. The Kerala Institute of Local Administration was designated as the nodal agency for capacity building and it took over the institutionalization process of capacity building to provide for continued and sustainable decentralization and participatory planning.

# Index Methodology

The research question guiding this study has been, is there enough commonality in local governance for a global community of practice to utilize a common measurement?

We have succeeded in piloting a first online survey tool simple enough and complete enough to elicit voluntary participation by practitioners worldwide.

We faced some initial skepticism that local governance could be measured globally, because there are not even agreed ways to measure governance globally at the national level. We found, however, that—in many ways—local governments are far more similar than they are different, and the complex challenges they face are largely universal.

We had hoped to be able to draw on existing databases, and we met with numerous groups doing global surveys, but were disappointed to discover that there was very little available.

Some studies have been done within India, Brazil and South Africa, and across the Commonwealth, but the only global study we found is the remarkable report “How Close is Your Government to Its People” (Ivanya/Shah, 2012) which ranks countries by the structural aspects of fiscal, political and administrative decentralization, based on data from the IMF, UCLG, Commonwealth and government websites.

Our consultations recommended five major dimensions and 15 total subcomponents for our index. Each component was translated into a multi-part, multiple-choice survey question. Respondents could also say “I don’t know” for most questions, and these numbers were excluded from the averages.

The average rankings for each question were normalized to a scale of 1-100.

The subcomponents were averaged within each of the five dimensions, which are reported here, and these are further averaged into an aggregate score.

For this first pilot exercise, we have simply weighted each of the components equally overall, and each subcomponent was weighted equally within its dimension.

The one clear message from our consultations was that there is often a gap between legal structures and the reality on the ground. For example, for twenty years in India there is a legal mandate for quarterly public assemblies (gram sabhas) to be attended by a quorum of citizens, yet there are not reliable mechanisms to ensure that these are held.

For these reasons, we organized the survey in two parts: (a) the legal structure and (b) the perceptions of implementation.

We found that practitioners were hesitant to answer questions about the actual structures, and many pointed out

that lack of awareness about the laws related to local governance —by both citizens and elected representatives—is a major issue to effective citizen participation, particularly in areas where educational levels are low. There were strong calls for greater investment in capacity building for both citizens and elected representatives, and our survey revealed that such training is rarely required or available.

The full, anonymous, datasets from the surveys are posted on our website.

Our group identified nearly a dozen reports and international indexes that attempt to quantify the quality of governance among multiple countries. However, with the exception of the one-time State of Participatory Democracy in South Asia Report, these publications only provide data from country-level indicators and fail to reflect more distinct local experiences. Other resources provided information on certain specific aspects of participatory governance within a much larger framework, however the methodologies for producing such scores were rarely compatible with one another and so they could not be combined into composite scores for the sub-components of our index.

Our approach is not simply a reaction to limited resources. People’s perceptions about the performance and accessibility of government speak volumes to the nature of participation in decision-making processes. The experiences of individuals in engaging with local institutions is ultimately the most important measure of the quality of participatory governance, and so capturing key elements of these experiences and gaining more qualitative insights has been the highest priority.

Over a three-month period, THP collected survey data in English, French, Portuguese and Spanish. The surveys are administered through targeted emails and are also available on THP’s website (<http://localdemocracy.net>).

The survey utilizes a non-probability based purposive sample designed to maximize resources, utilize expert opinions within the community and to gather well informed answers. Survey respondents were selected based on their knowledge of participatory democracy or affiliation with a development, democracy or human rights organization. Participants were contacted directly by email or through the project’s weekly newsletter or visited the project’s website to fill out the surveys. In addition, all survey respondents that THP contacted by email were requested to forward the survey on to appropriate colleagues, increasing the reach of the survey.

Given the target respondents of this survey are experts, it does not in any way represent a statistical sample of public opinion.

# Index Results: What we learned

As noted, we conducted this survey in two parts — legal and perceptual.

We received more than 200 responses to our legal survey from 45 countries and more than 800 responses to our perceptual survey from 90 countries. Latin America participated far more enthusiastically than did the rest of the world—we had more responses in Spanish than in English. This is not surprising, given that participatory local democracy is a hotter topic in Latin

American development discourse than elsewhere (so far).

From these we chose 35 countries where we had at least five perceptual responses. Of these, the legal responses for Cuba and Niger were incomplete.

The legal survey results are shown in Table 1, sorted alphabetically, set alongside the Government Closeness Index. GCI (Ivanya/Shah 2012).

**Table 1: Results of the Legal Survey**

Country	Overall	Citizenry	Political	Admin	Fiscal	Planning	GCI
Total	61.8	80	71	9	74	75	1.98
Argentina	39.6	79	75	9	35	0	1.23
Bangladesh	58.6	78	69	7	63	76	0.40
Bolivia	66.3	70	67	12	83	100	3.51
Brazil	75.9	90	86	12	92	100	8.10
Burkina Faso	70.5	100	73	0	80	100	0.01
Cambodia	62.1	94	66	11	69	70	0.03
Cameroon	60.4	100	63	6	33	100	0.01
Canada	75.7	100	78	0	100	100	9.32
Chile	70.1	80	79	12	80	100	1.89
China	58.8	80	43	6	82	83	5.46
Colombia	61.0	79	55	12	59	100	4.85
Costa Rica	74.8	91	77	12	94	100	0.15
Cote d'Ivoire	69.5	100	75	12	60	100	0.06
Ecuador	76.4	100	82	0	100	100	1.23
Ghana	73.0	100	76	10	92	87	0.17
Guatemala	53.4	75	92	0	50	50	0.21
Honduras	58.5	80	50	12	50	100	0.35
India	66.2	88	80	8	81	74	0.70
Kenya	65.4	73	67	12	86	89	0.10
Malawi	66.3	95	73	12	69	83	0.01
Mali	60.1	100	29	12	60	100	0.01
Mexico	51.4	59	64	9	58	67	0.31
Nepal	67.7	89	83	12	90	64	0.05
Nicaragua	48.2	40	39	12	50	100	0.03
Nigeria	62.8	97	73	9	70	65	1.54
Pakistan	54.7	50	63	12	71	78	1.24
Peru	58.0	44	73	10	63	100	1.44
Philippines	57.0	76	62	6	74	67	3.97
Senegal	57.4	100	55	12	20	100	0.17
South Africa	77.9	100	89	0	100	100	1.56
Thailand	56.0	40	45	12	83	100	2.00
Tunisia	61.7	75	62	12	60	100	0.08
Uganda	68.5	76	74	11	95	87	1.46
USA	63.4	79	71	5	95	67	17.56
Venezuela	56.5	100	88	12	82	0	0.25



We included the GCI, which is also based on legal structures, hoping it would compensate for our weak findings on legal structures for administrative decentralization. The GCI, however, also does not strongly distinguish most of these countries. Nearly half the countries have a GCI less than 20% of the average value. We join the GCI authors in the call for more data on this.

The findings of our perceptual survey are shown here in Table 2, alongside the aggregate legal survey numbers.

**Table 2: Results of the Perceptual Survey**

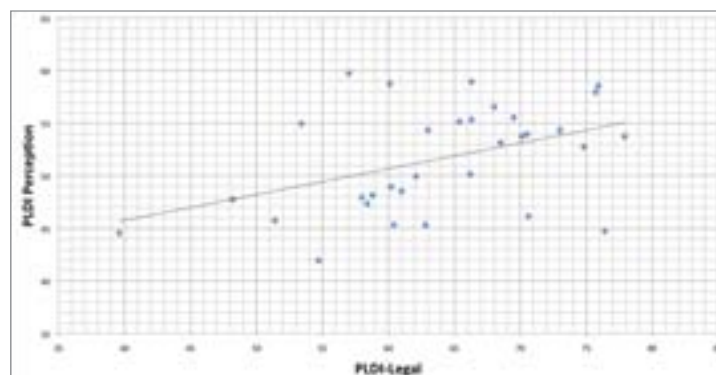
Country	Legal	Overall	Citizenry	Political	Admin	Fiscal	Planning	Rank
ALL		51	49	59	51	31	65	
Argentina (AR)	39.6	44.6	47	61	43	20	52	33
Bangladesh (BD)	58.4	47.4	45	59	40	30	63	26
Bolivia (BO)	66.3	55.4	48	62	57	40	70	8
Brazil (BR)	75.9	58.6	58	72	58	40	65	4
Burkina Faso (BF)	70.5	54	51	59	52	32	76	13
Cambodia (KH)	62.1	50	48	54	50	28	70	20
Cameroon (CM)	60.4	45.4	49	47	39	28	64	31
Canada (CA)	75.7	58	55	72	69	25	69	5
Chile (CL)	70.1	53.8	41	68	57	41	62	15
China (CN)	58.8	48.2	46	47	59	24	65	23
Colombia (CO)	61	48.6	45	56	52	31	59	22
Costa Rica (CR)	74.8	52.8	50	63	54	37	60	17
Côte d'Ivoire (CI)	69.5	55.6	49	64	53	35	77	7
Cuba (CU)	NA	30	23	25	30	13	59	35
Ecuador (EC)	76.4	44.8	44	45	45	32	58	32
Ghana (GH)	73	54.4	62	60	54	35	61	12
Guatemala (GT)	53.4	55	52	53	60	44	66	10
India (IN)	66.2	50.2	51	61	47	29	63	19
Kenya (KE)	65.4	55.2	52	68	57	35	64	9
Malawi (MW)	66.3	59	48	75	57	39	76	2
Mali (ML)	60.1	58.8	59	64	67	32	72	3
Mexico (MX)	51.4	45.8	45	48	48	31	57	29
Nepal (NP)	68	56.6	52	65	61	36	69	6
Nicaragua (NI)	48.2	47.8	46	54	45	32	62	25
Niger (NE)	NA	52	54	61	46	28	71	18
Nigeria (NG)	62.8	45.4	47	49	42	28	61	30
Pakistan (PK)	54.7	42	40	51	40	15	64	34
Paraguay (PY)	NA	46.4	45	60	45	26	56	27
Peru (PE)	58	48	43	55	47	32	63	24
Philippines (PH)	57	59.8	61	65	63	42	68	1
Senegal (SN)	60.2	49	51	57	50	23	64	21
South Africa (ZA)	77.9	53.8	50	65	56	29	69	14
Uganda (UG)	68.5	53.2	47	63	56	34	66	16
United States (US)	63	54.4	59	66	54	31	62	11

The instinctual response of many participants in consultations is that implementation is lagging on the legal mandates, and this sense seems to be validated by Table 3.

**Table 3: Comparison of Legal and Perceptual Results**

Country	Legal	Perception	Difference
ALL	63.9	51.6	12.3
Argentina	39.6	44.6	-5.0
Bangladesh	58.4	47.4	11.0
Bolivia	66.3	55.4	10.9
Brazil	75.9	58.6	17.3
Burkina Faso	70.5	54.0	16.5
Cambodia	62.1	50.0	12.1
Cameroon	60.4	45.4	15.0
Canada	75.7	58.0	17.7
Chile	70.1	53.8	16.3
China	58.8	48.2	10.6
Colombia	61.0	48.6	12.4
Costa Rica	74.8	52.8	22.0
Cote d'Ivoire	69.5	55.6	13.9
Ecuador	76.4	44.8	31.6
Ghana	73.0	54.4	18.6
Guatemala	53.4	55.0	-1.6
India	66.2	50.2	16.0
Kenya	65.4	55.2	10.2
Malawi	66.3	59.0	7.3
Mali	60.1	58.8	1.3
Mexico	51.4	45.8	5.6
Nepal	68.0	56.6	11.4
Nicaragua	48.2	47.8	0.4
Nigeria	62.8	45.4	17.4
Pakistan	54.7	42.0	12.7
Peru	58.0	48.0	10.0
Philippines	57.0	59.8	-2.8
Senegal	60.2	49.0	11.2
South Africa	77.9	53.8	24.1
Uganda	68.5	53.2	15.3
United States	63.0	54.4	8.6
Venezuela	70.6	46.2	24.4

Legal scores better than Perception in all but 3 countries. Even when we do a linear fit to the two series around the average difference (offset) of 12.3, only 8 have a lower-than-average gap and 25 are above the average gap.



If we group and average these regionally, we see that the gaps and scores are not all that different across regions, although from Table 3 there are clearly some outliers where the gap is particularly big, and these are all in Latin America.

**Table 4: Regional Summaries**

Region	Legal	Perception	Difference
ALL	63.9	51.6	12.3
Africa	66.8	53.1	13.7
Asia	60.7	50.6	10.1
Latin Am	62.1	50.1	12.0
North Am	69.4	56.2	13.2

# Future of the PLDI and this Report

Your response to this report could help shape the future of this project. One thing all scholars in this field agree on is that there is a severe paucity of data. Based on our experience of the past year, here are some steps our team hopes to take in the coming year:

- **Improve and streamline the PLDI.** We need better and simpler ways for assessing administrative competence, the issue of patronage, and the issue of parallel structures. We also need to make our instrument “self-scoring” for easy use at the community level.
- **Expand the Community.** We want to be sure we’re in direct communications with a significant number of practitioners in at least the 75 countries with the highest burden of preventable child deaths (Countdown 2015, 2011), and hopefully with UN member states.

- **Complete a basic set of Country Profiles.** We want to post on our website basic information on participatory local democracy in/for at least 100 countries.
- **Develop disaggregated data by province/state in federal countries.** Implementation of decentralization can vary dramatically across provinces in federal countries such as Brazil, India, Nigeria and the USA.
- **Dig deeper by sector.** What are good practices for the role of participatory local democracy in health, education, food and nutrition security, water, sanitation, gender equality and social justice?
- **Dig deeper into capacity building.** There is a strong demand, and few resources, devoted to improving the skills of elected local representatives and the civil society organizations they work with. How can we leverage the skills of the Community of Practice, and new internet-based tools?

## Country Profiles

On the following pages are short profiles of participatory local democracy in each of 35 countries. We’ve included the results of our PLD Perceptual Survey, recent population and Human Development Index Rankings from the 2012 UNDP Human

Development Report, and a map courtesy of the Nations Online Project for this education endeavor. Other sources particular to each page are included at the end of each profile page.

*Elected women leaders at a capacity building workshop in Rajasthan, India.*



# ARGENTINA

PLDI	44.6
Citizenry	47
Political	61
Administrative	43
Fiscal	20
Planning	52
Population	41m
HDI ranking	45/186



In 2001, Argentina faced a major economic downturn, which forced the country to reestablish and grow its local government structures. In the past decade, the economy has been recovering at a steady pace and the political system is stronger than before. (UCLG, 2008)

## Local governance at a glance

- The federal state of Argentina is structured into a two-tiered sub-national government:
  - 23 provinces led by a governor, and one federal district (Buenos Aires) led by the president.
  - 2,252 local governments or municipalities, of which 1,151 have established additional tiers of government while 1,101 have not. (UCLG, 2008)
- Provinces are autonomous, organizing their own elections and constitutions, though they cannot pass laws that contradict the Constitution and federal laws. Some provinces have bicameral provincial legislatures, while others have unicameral ones. (Argentina Constitution)
- Gender quota laws vary between states, but most states have provincial and local gender quota requirements. (Quota Project, 2010)

## Civil society actors

- Equipo Latinoamericano de Justicia y Género (ELA) works to promote the exercise of women's rights and to establish fair laws that incorporate the best interests of both women and men.
- Argentine Network for International Cooperation is composed of 74 civil society organizations, and the network aims to promote conversation and create a space for information exchange.

## Capacity building institutions

- The Federación Argentina de Municipios (FAM) provides training on topics ranging from e-government to decentralization.

## Fiscal control

- In the 1990s, risky financial behavior by subnational governments spurred a period of hyperinflation and economic instability. The Law of Economic Emergency of 2002 and the

Budget Law of 2006 gave the central government increased discretion in transferring federal funds or unilaterally interrupting disbursement. (UCLG, 2010)

- The federal government transfers around 7-10% of overall GDP to local municipalities, comprising nearly half of the central government's expenditures. (IDB, 2012)
- Local governments receive a portion of the taxes collected by their province.
- Nearly 50% of local expenditures are from own-source taxes and fees. (UCLG, 2010) Sales tax and real estate tax are the most prominent contributors to local government's revenue. (IDB, 2011)

## Key initiatives for participatory local governance

- Since 1983 when democracy returned to Argentina, national and local voting levels have remained around 80%. (UCLG 2008)
- Instead of enumerating the fiscal powers of local government in the Constitution, Argentina gives provinces, the intermediate level government, discretion to structure fiscal arrangements directly with the municipalities. (UCLG, 2010)
- Several provinces in Argentina have adopted a form of participatory budgeting (UCLG, 2010)

## Challenges for participatory local governance

- According to a 2008 report from the United Cities and Local Governments, there is a disparity among municipalities due to the fact that a majority of the local government seats are representing small communities with less than 10,000 citizens. Therefore, representation is skewed toward the country's population that resides in small municipalities. (UCLG, 2008)
- The Federal Council for Fiscal Responsibility (created by the Fiscal Responsibility Law of 2004) is in charge of monitoring compliance with norms and rules of fiscal and financial behavior, but does not receive timely information from the majority municipalities. (UCLG, 2010)

## List of sources (in order of citation)

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# BANGLADESH

PLDI	47.4
Citizenry	45
Political	59
Administrative	40
Fiscal	30
Planning	63
Population	152m
HDI ranking	146/186



Recent (2011) reforms introduced mandatory mechanisms for citizen participation in local government, including citizen charters, ward assemblies, five-year plans and the right to information.

## Local governance at a glance

- Responsible agency: Local Government Division within the Ministry of Local Government and Rural Development and Cooperatives with the exception of the hill district parishads which fall under the auspices of the Ministry of Hill Tract Affairs. (CLGF, 2011)
- Local governance consists of a four-tiered structure: 7 regions (appointed), 64 districts (appointed), 484 upazilas (indirect elections) and 4,451 elected union parishads (village clusters) of 9 wards.
- The ten largest urban areas are administered as city corporations and 310 other urban municipalities are administered as paurashavas.
- The zila parishad includes five women's reserved seats with members elected by an electoral college. The members of the upazila and union parishads are directly elected. (CLGF, 2011)
- Within urban units, mayors and councilors are directly elected and include reserved seats for women. (CLGF, 2011)
- Three directly-elected women's seats are added to each union parishad, each representing three wards. (Quota Project, 2011)

## Civil society actors

- BRAC's Active Citizens and Accountable Local Government. (BRAC, 2013)
- SHUJAN: Citizens for Good Governance, facilitated by The Hunger Project.
- Trinamul Unnayan Sangstha strengthens ethnic communities' access to Information in the Chittagong Hill Tracts. (TUS, 2013)

## Capacity building institutions

- The Association of Union Parishads, the Association of Upazila Chairmen, and the Association of Paurashava. (CLGF, 2011)
- The National Institute of Local Government. (NILG, 2012)

## Fiscal control

- Although local governments have to collect revenue from income taxes, tolls, fees, rates, rents and profits from property, funds from the center are 90% of total revenue. (UCLG, 2010)

## Key initiatives for participatory local governance

- Bangladesh's constitution of 1972 and 2011 amendments, mandate that the state shall encourage "effective participation by the people through their elected representatives in administration at all levels." (Constitution 1972, 2011)
- After the military took power in 1982, local government was reorganized through the Upazila Parishad Ordinance which created stronger Upazilas. (Fox, Menon 2008)
- From 2000 - 2005, the Sirajganj Local Governance Development Fund Project (SLGDFP) piloted approaches to capacity building and block grants, social mobilization, public score cards, complaint books, open budget meetings, and ward-level bottom-up planning. (Public Affairs Foundation, 2007)
- Success of the SLGDFP led in part to the Local Government, or Union Parishad, Act of 2009 which mandated these innovations. (LGA, 2009)
- In 2009, first-ever elections were held for Upazila Parishads. (Ahmed et al, 2011)
- In 2007, the government and World Bank launched the Local Government Support Program (LGSP) with block grants under the control of each union parishad. (UNCDF, 2013)

## Challenges for participatory local governance

- Local representatives are elected, but they lack de facto authority or the resources available to meet basic needs. (World Bank, 2012)
- The central government continues to exercise control over local governments and starve these agencies of resources. (UNESCAP, 2005)

## List of sources (in order of citation)

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# BOLIVIA

PLDI	55.4
Citizenry	48
Political	62
Administrative	57
Fiscal	40
Planning	70
Population	10.2m
HDI ranking	108/186



Democracy was restored to Bolivia in 1982 (IRI), and the new constitution of 2009 accelerates decentralization plans, making Bolivia one of the most decentralized countries in the region. (Carnegie, 2011)

## Local governance at a glance

- Responsible agency: Vice Ministry of Popular Participation
- Bolivia is divided into: 9 Departments, 112 Provinces, 327 Municipalities, 1374 Cantons or Territories of traditional peoples.
- The people directly elect the mayor and councilors who oversee the functions of municipalities.
- Each canton chooses one person to represent the citizens on the Vigilance Committee which oversees the budget and expenditures. (Hadenius, 2003)
- The Electoral Law passed in 2010 mandates that Bolivia have an equal number of men and women candidates for regional and municipal elections and the names must be alternated on the ballot starting with a woman's name. Candidate lists that do not comply will be excluded. (Quota Project, 2013)

## Civil society actors

- The Bolivian Foundation for Multiparty Democracy (FBDM) hosts workshops, discussions and provides information regarding democracy and pluralism.
- Support for the Indigenous of Eastern Bolivia (Apoyo Para el Campesino-Indígena del Oriente Boliviano) provides education on political rights.
- The Participation and Justice Network connects civil society actors.
- CIPCA (Centro de Investigación y Promoción del Campesinado) promotes the rights of indigenous peoples in the political sector.

## Capacity building institutions

- The 1994 Law of Popular Participation came at a time when local government in Bolivia was relatively non-existent. This law established a new standard for resource allocation, mandating 20% of national tax revenue be transferred to municipalities; it shifted more responsibilities for health and infrastructure to the municipalities; local representatives were to oversee decision-making processes. (Development Research Centre, 2003)
- The Law of Political Parties granted civil organizations and indigenous groups the right to nominate their own political candidates. (Schilling-Vacaflor, 2011)

## Fiscal control

- The 1994 Law on Popular Participation shifted funding away from

three major cities, from 86% of local resources to 27%, and shifted the remainder to smaller municipalities. (Netherlands, 2012)

- Local government expenditures are reportedly around 17% of total government expenditures. (UCLG, 2010)
- After the National Dialogue in 2000, the government implemented new financial transfers aimed at alleviating debt and poverty. (UNDP, 2005)
- Property taxes are the primary source of income for local authorities. (UNDP, 2005)

## Key initiatives for participatory local governance

- The 1994 Law of Popular Participation transferred full responsibilities to municipalities and legally recognized local territorial organizations, with a Vigilance Committee established in each municipality. (UNDP, 2005)
- The 1995 Law of Administrative Decentralization regulates the actions of the administration unit between central government and municipalities. Known as Prefectures, they are responsible for public investment in infrastructure and general budgeting. (UNDP, 2005)
- In 2000, the Bolivian government initiated the National Dialogue against Poverty between local and municipal leaders. These consultations resulted in an agreement that more funds should be provided for debt and poverty alleviation. (UNDP, 2005)
- Bolivia adopted a new constitution in 2009 that established its current four tiers of governance (department, municipal, indigenous, and regional). The first elections for governors and regional assemblies were held in 2010. (IDEA, 2013)
- Regional legislative assemblies are currently drafting autonomy statutes that, once adopted, will serve as subnational constitutions. (IDEA, 2013)

## Challenges for participatory local governance

- Decentralization policies do not take into account the differences in resources and capacities between cities and municipalities. Some areas are in need of greater support to further decentralization, while others need fewer regulations. (UNDP, 2005)
- Vigilance committees have not been effective in oversight of municipal accounts and halting corruption. A lack of municipal transparency is a potential cause and low revenue collection may put community engagement at risk. (Netherlands, 2012)

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# BRAZIL

PLDI	58.6
Citizenry	58
Political	72
Administrative	58
Fiscal	40
Planning	65
Population	198m
HDI ranking	85/186



Brazil has long been considered a leader in the region for democratic practices, implementing successful participatory budgeting projects and incorporating local government rights into the 1988 constitution. (IDB, 2005) Over the past decade, Brazil's economic growth and social programs, such as Bolsa Familia, helped enable more than 22 million people to emerge from poverty. The country has a goal of eliminating extreme poverty by 2014. (World Bank, 2013)

## Local governance at a glance

- Brazil is made up of 26 states, which are divided into 5,560 municipalities and one Federal District, the capital city Brasilia. (Government of Brazil website)
- A directly elected mayor and municipal council govern each of the autonomous municipalities. (World Bank, 2002)
- Brazil has legislated candidate gender quotas to assure that 30% of candidates in races at the local government level are women. (Quota Project, 2011)

## Civil society actors

- Transparência Brasil is an autonomous organization working to combat corruption in Brazil.
- Pólis is a non-profit research organization specializing in citizen participation and urban governance.
- Participate is a Brazilian association that promotes citizen participation through informational exchange and trainings.

## Capacity building institutions

- The Brazilian Institute of Municipal Administration (IBAM) addresses local issues through working groups and local networks. IBAM trains community leaders, policy-makers and public officials to strengthen their capacity to lead and develop successful development projects as well as solid political structures.
- Brazilian Association of Municipalities (ABM) promotes cooperation between municipalities, institutions, states and the international community.
- The National Confederation of Municipalities (CNM) works toward strengthening the autonomy of municipalities and promote citizen participation.
- The National Front of Mayors (FNP) promotes the participation of the local community and exclusive mayoral leadership within the municipalities.

## Fiscal control

- Local government expenditures are reportedly around 26% of total government expenditure, or roughly 8% of GDP. (UCLG, 2010)
- Participatory budgeting (PB) processes began in Brazil in the late 1980s, and due to the successful initiatives led by Brazilian municipalities, the country has paved the way for citizen involvement in budget processes around the world. PB incorporates the voices of the people and ensures that citizens and elected officials work together to decide how to spend the money within local areas. (IDB, 2005)
- The Ministry of Cities is responsible for housing, sanitation and transportation as well as supporting citizen participation. Since over 80% of the population in Brazil lives in a city, this ministry is important for promoting public policies that better the lives of the people.

## Key initiatives for participatory local governance

- Brazil adopted a new constitution in 1988, which directly stated that municipal, state and federal governments must commit to a set of social rights surrounding health care, housing and education. The constitution also addressed direct participation of citizens in local governments and moved the decentralization process forward. (PSA, 2012)
- As mentioned in the Fiscal control section, Brazil has been a key leader in participatory budgeting, and citizens across the country are mobilized by initiatives to engage them in active budgeting processes. (IDB, 2005)

## Challenges for participatory local governance

- Social and regional inequality is prevalent in Brazil and negatively impacts the municipalities' ability to implement policies and distribute resources. (World Bank, 2002)
- Though poverty rates have fallen throughout the country, extreme regional disparities remain. The South and Southeast tend to be wealthier and feature more favorable social indicators compared to the North and Northeast. (World Bank, 2013)

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# BURKINA FASO

PLDI	54
Citizenry	51
Political	59
Administrative	52
Fiscal	32
Planning	76
Population	17.4m
HDI ranking	183/186



The country's first major local elections took place in 2006, though major challenges, such as widespread illiteracy in rural areas, remain for decentralization implementation. (Europeaid, 2013)

## Local governance at a glance

- Responsible agency: Ministry of Territorial Administration and Decentralization (MATD)
- The commune is the basic unit of local government, of which there are three types: 302 rural, 47 ordinary urban, and 2 special urban (Ouagadougou and Bobo-Dioulasso). (Government of Burkina Faso)
- Each commune has a directly elected council which in turn elects a mayor. (World Bank, 2013)
- Special status communes are organized into arrondissements, sectors, and villages. At the end of 2011, Ouagadougou had 12 arrondissements, 55 sectors, and 17 villages; and Bobo-Dioulasso had 7 arrondissements, 33 sectors, and 36 villages. (World Bank, 2013)
- There is a legislated 30% candidate gender quota at the local level. If a party fails to meet this quota, their public funding is cut in half; if a party exceeds the 30% quota, it receives additional funding. (Quota Project, 2010)

## Civil society actors include

- Réseau Afrique Jeunesse, youth network.
- Yam Pukri, a technology association that created Democr@TIC.

## Capacity building institutions

- The Centre International de Formation des Autorités/Acteurs Locaux (CIFAL), serves 15 West African nations. (University World News, 2010)
- The Burkina Faso Urban Country Program is a government initiative to include the poor in the planning and decision-making processes. (Cities Alliance)

## Fiscal control

- In 2005 and 2007, local government received 2% of total public sector spending. (World Bank, 2008; UCLG, 2010)
- Taxing authority remains largely with the central government. (World Bank, 2008)

## Key initiatives for participatory local governance

- In 2004, the General Code of Territorial Collectivities (Code général des collectivités territoriales) "communalized" the

entire country, bringing the levels of local government to two. The grouping of the country's 8000 rural villages – where 80% of the population lives – into self-governing communes was designed to enhance local capacity to plan, manage and mobilize resources for their development. (IDA, 2007)

- In 2006, the first country wide municipal elections took place, electing representatives for the 13 regional governments and the 351 urban and rural communes.
- In 2007, the Government of Burkina Faso adopted a decade-long strategy (2006-2015) for implementing decentralization reform. (German Agency for International Cooperation)
- At the 2008 National Decentralization Conference the Government committed to reporting annually on implementation. A fund has been set up to finance municipal infrastructure. (German Agency for International Cooperation)

## Challenges for participatory local governance

- 90% illiteracy rate among nearly 16,000 rural officials. (UNDP, 2009)
- Weak technical capacity and poor support mechanisms for decentralized services. (UNDP, 2009)
- Low degree of discretionary power. (Journal of Public Administration and Development, 2010)
- Uncertainty, as regional agencies are both local and national. Lack of legitimacy for regional assemblies as they are indirectly elected. (World Bank, 2013)

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# CAMBODIA

PLDI	50
Citizenry	48
Political	54
Administrative	50
Fiscal	28
Planning	70
Population	14.5m
HDI ranking	138/186



After several decades of internal conflict, Cambodia has pursued decentralization policies. In 2001 Cambodia created semi-autonomous elected governments in 1,621 communes/sangkats. Since then the process has been extended to the provinces/municipalities and their district/khan subdivisions. (Smoke, 2008)

## Local governance at a glance

- At the national level, the Department of Local Administration supervises the communes and sangkats and the General Department of Local Administration and Secretariat of Sub-National Democratic Development oversee the district/municipality/khan and capital and provinces. The Department of Finance supervises the budgets and other financial processes of the local governments. (UCLG, 2011)
- The National Committee for Sub-national Democratic Development (NCDD), established in 2008, is the inter-ministerial body that promotes democratic development through decentralization. (NCDD, 2013)
- Two systems of sub-national governance and administration exist: provincial administrations and local systems. (UCLG, 2011)
- Local citizens directly elect representatives to the communes and sangkats councils. Those councils then elect the District/Municipality and Provincial Councils. (UCLG, 2011)
- While there are no legislated gender quotas, the government has committed to promoting gender equality through the Millennium Development Goals with targets of increasing female representation in the Commune/Sangkat Councils to at least 25% by 2015. (CCHRC, 2012)

## Civil society actors

- The Committee for Free and Fair Elections in Cambodia works in part on citizen participation in local democratic development. (COMFREL, 2012)

## Capacity building institutions

- The National League of Communes/Sangkats is an association to enhance the status and capacity of Commune/Sangkat Councils and further effective, transparent, sustainable, and self-reliant decentralized administrations.
- The Provincial Association of Commune/Sangkat Councils does this work on the provincial level. (UCLG, 2008)

## Fiscal autonomy

- Local governments may keep revenues from fiscal and non-fiscal taxes and service charges and may also receive grant resources from the central government. (UCLG, 2011)
- The Law on Sub-National Fiscal Regime and Property Management passed in 2011, aimed to create sources of finance for sub-national government bodies to have sufficient means to carry out their local development. (Cambodian National Budget, 2013)

## Key initiatives for participatory local governance

- The 2001 law established the Commune/Sangkat councils and in 2008, the Organic Law on Sub-national Administrations focused on the Provincial, Capital, Khan, Municipal, and District levels. (UCLG, 2011)
- The National Program for Sub-National Democratic Development (NP-SNDD) is a ten-year comprehensive plan for governance reform of sub-national administrations. It aims to strengthen good governance at all levels. (NCDD, 2013)
- Commune councils must prepare a five-year Development Plan as well as a three-year Investment Program. To achieve these plans, each council appoints a committee including a male and a female representative from each village, commune councilors, and one representative from every NGO registered with the council. (Smoke, 2008)

## Challenges for participatory local governance

- According to CDRI, Cambodia's leading independent development policy research institute, fiscal decentralization has been focused primarily on funding provisions for the communes with little emphasis on reforms for the province and municipality governance bodies. (CDRI, 2011)
- A report presented at the Andrew Young School of Policy Studies states that while the legal framework and overall strategy for decentralization has been laid, there are few details on implementation. (Smoke, 2008)

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# CAMEROON

PLDI	45.4
Citizenry	49
Political	47
Administrative	39
Fiscal	28
Planning	64
Population	20m
HDI ranking	150/186



Cameroon continues to make progress transferring responsibilities to the local level; however, fiscal decentralization, a lack of local capacity, and the absence of strong civil society continue to challenge this process. (GIZ)

## Local governance at a glance

- At the national level, the Ministry of Territorial Administration and Decentralization (MINATD) has responsibility for relations between central and local government, including the power to suspend local authorities in the case of emergencies. (CLGF, 2008)
- Cameroon is divided into 10 administrative provinces, each placed under the jurisdiction of a governor appointed by the head of state. (CLGF, 2008)
- There are 374 local municipalities with elected councilors. Each council is headed by a mayor who is elected from its members with the exception of 14 urban metropolitan areas whose mayor is a delegate of the central government and appointed by the head of state. (CLGF, 2008)
- Traditional rulers are important as community leaders in many parts of Cameroon, although their powers are legally vague. Traditional rulers are ultimately responsible to MINATD and may be removed from office, though this is rare. (CLGF, 2008)
- Cameroon does not have gender quotas at the subnational level. (Quota Project, 2009)

## Civil society actors

- Youth Tracking Decentralization in Cameroon is a project that seeks to promote good governance through transparency and a participatory decision-making process in the management of municipal councils. It aims to empower youth leaders' participation in municipal council budgetary affairs and provide them with tools to fight the misuse of public funds.

## Capacity building institutions

- The Centre de Formation Pour L'Administration Municipale (CEFAM) is a training center for local government officials and staff.
- United Councils and Cities of Cameroon (Communes et Villes Unies du Cameroun – CVUC) is an association of all of Cameroon's councils.
- The National Committee of Local Finance (Comité National des Finances Locales – CONAFIL) was established by law in 2009 to monitor local government's revenue generation and expenditures.

## Fiscal control

- Local authorities can raise revenue through select local taxes and also receive transfers from central government through MINATD via the Special Council Support Fund for Mutual Assistance (Fonds Spécial d'Equipement et d'Intervention Intercommunale – FEICOM). (CLGF, 2008)
- FEICOM provides grants, technical assistance, and loans to local authorities, with a focus on schools and hospitals. (CLGF, 2008)

## Key initiatives for participatory local governance

- The Constitution of 1972 and the Poverty Reduction Strategy of 2009 identify local governance as a means of improving service delivery, accountability of officials, regional tensions, inclusion, and environmental management. (World Bank, 2012)
- Additional legislation on decentralization was adopted in 2004, establishing a National Council for Decentralization and an Interministerial Committee for Local Services. Previously, council level decisions had to be approved at the provincial governor level; only the central government could remove a delinquent mayor; and council budgets required approval of the central authority. (CLGF, 2008)

## Challenges for participatory local governance

- The lack of accurate, up-to-date population figures pose a serious problem for council finances with approaching decentralization. (UCLG, 2008)
- A 2012 World Bank report found the following: "The legal framework relating to decentralization is overlapping, cumbersome and contradictory, and in many respects open to different interpretations. The main difficulty is that decentralized functions are ill-defined and not distinct from deconcentrated operations of the central government."
- Despite strong decentralization legislation, Cameroon lacks an effective strategy and an operational plan for decentralization. (World Bank, 2012)

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# CANADA

PLDI	58
Citizenry	55
Political	72
Administrative	69
Fiscal	25
Planning	69
Population	34.6m
HDI ranking	11/186



As Canada has shifted from a primarily rural to an increasingly urbanized country, the laws over the last decade give local bodies greater autonomy. (UCLG, 2008)

## Local governance at a glance

- Municipalities are not officially recognized in the constitution. (CLGF, 2013)
- The local government system is highly diverse. Legislative Acts within provinces and territories govern local government systems under those jurisdictions. (CLGF, 2013)
- Provincial and territorial ministers mandated with local government oversight are responsible for local government legislation. (CLGF, 2013)
- In the ten provinces and three territories, there are
  - 2 supra-regional authorities (Montreal and Quebec)
  - 143 regional authorities, and
  - Over 3,600 local governments. (CLGF, 2013)
- Urban areas in Ontario except for Waterloo, Niagara, Halton, Peel, York, and Durham are governed by a single-tier municipal government. The Montreal and Quebec city-regions have been administered to some extent by municipal institutions called metropolitan communities, but these bodies have limited functional authority. (CLGF, 2013)
- In Canada's disorganized territories or unincorporated areas where large areas of land are sparsely populated, some services are provided by provincial or territory authorities and others by a regional body. (CLGF, 2013)
- The aboriginal peoples of Canada have the right to govern. (CLGF, 2013)
- Council representatives in single-tier and lower-tier governments are usually elected in direct first-past-the-post systems. Mayors are directly or indirectly elected, but those who serve in single-tier councils or lower-tier councils are usually directly elected. (CLGF, 2013)
- Representatives in upper-tier local governments are drawn from the mayors of lower-tier councils or appointed from lower-tiers. Wardens in rural municipalities are usually elected by council members. (CLGF, 2013)
- Canada does not have legislated quotas at the sub-national level. (Quota Project, 2011)

## Civil society actors

- The Guelph Neighbourhood Support Coalition.
- CivicInfoBC is in information sharing.
- Canadian Research Policy Networks. (CPRN)

## Capacity building institutions

- The Federation of Canadian Municipalities (FCM) is the national advocate for municipal governments and represents local governments at the national level.
- Each province and territory has at least one local government association. (CLGF, 2013)
- The Federation Quebecoise des Municipalities. (FQM)

## Fiscal control

- Real property taxes serve as the main source of revenue for local governments, and municipalities set their own tax rate. (CLGF, 2013)
- Municipal governments receive financial transfers from provincial governments and these are about 80% specific purpose and 20% general transfer. (CLGF, 2013)
- The federal government also provides transfers to local governments and these tend to be evenly divided between specific and general purpose transfers. (CLGF, 2013)
- Some areas are trying new revenue sources for local governments including transfers of portions of provincial gas tax and revenue sharing of video lottery or casino revenues. (CLGF, 2013)

## Key initiatives for participatory local governance

- Section 92(8) of the Constitution Act of 1867 provides for provinces to make laws in relation to "Municipal Institutions in the Province." (CLGF, 2013)
- Council meetings are open to the public except for certain exceptions outlined in legislation. (CLGF, 2013)
- In 2007, Canada implemented the Gas Tax Fund (GTF) transfer to municipalities as a means to provide stable, long-term funding to support infrastructure. (CLGF, 2013)
- Local governments use E-governance, including surveys on municipal budgets and other initiatives. (CLGF, 2013)

## Challenges for participatory local governance

- The question of how to create and maintain a coordinated policy framework to guide the municipal-federal relationship remains unanswered. (FCM, 2013)

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# CHILE

PLDI	53.8
Citizenry	41
Political	68
Administrative	57
Fiscal	41
Planning	62
Population	17.4m
HDI ranking	40/186



The recent history of democracy in Chile began in 1990, and in 1992, the country held its first democratic elections for local leadership. The history of military rule in Chile contributed to its decentralization process, when several responsibilities were transferred to the municipalities in the 1980s. (UCLG, 2008)

## Local governance at a glance

- The Ministry of the Interior maintains responsibility for the local authorities.
- The country is divided into 15 regions, led by an executive officer appointed by each regional council.
- 345 municipalities are lead by popularly elected mayors and councilors. (UCLG, 2010)
- Chile does not have legislated local gender quotas. (Quota Project, 2010)

## Civil society actors

- Action for the Earth (acción por la tierra) promotes citizen participation and transparency around environmental and developmental issues affecting Chile.
- The Proyectamérica Corporation is a center for dialogue and information exchange in Chile.

## Capacity building institutions

- The Chilean Association of Municipalities represents the municipalities to assist with decentralization efforts and improve citizen's access to participatory practices.

## Fiscal control

- In past years, the federal government transferred 13.2% of total revenue to the municipal governments. (UCLG, 2008)
- Local administrations do not have the legal authority to collect taxes or to borrow money. (UCLG, 2008)

## Key initiatives for participatory local governance

- The educational decentralization program that took place in the 1980s shifted control of public schools into the hands of private institutions. This model strengthens the quality of the education because schools must compete for students and families are invested in the school. (World Bank, 2004)
- The Chilean Association of Municipalities initiated a municipal reform in 2005 to broaden the scope of governance for municipal administrators and to promote collaboration between municipal governments. This same reform proposed an increase in spending on local governments to 30% of total national revenue. (UCLG, 2008)

## Challenges for participatory local governance

- According to UCLG's county profile, Chilean municipalities are limited by their dependence on the federal government. This same report discusses the issue of limited funds for municipalities, and local governments do not have the resources to successfully complete the number of jobs set before them.
- The UNDP's assessment of their work in Chile from 2001-2009 mentions the goal to "advance decentralization" has yet to amount to anything significant. (UNDP, 2010)

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# CHINA

PLDI	48.2
Citizenry	46
Political	47
Administrative	59
Fiscal	24
Planning	65
Population	1,353m
HDI ranking	101/186



China has followed a stop-and-go decentralization pattern. Most recently, the country's decentralization agenda has been tied to economic development and fiscal reforms.

## Local governance at a glance

- China is divided into provinces, autonomous regions and municipalities that are under control of the central government. Large cities are divided into wards and districts. (UCLG, 2010)
- Provinces are divided into autonomous prefectures, districts, autonomous districts, and cities. Districts and autonomous districts are further divided into townships, ethnic townships, and towns. (UCLG, 2010)
- China has 34 provinces, 333 prefectures, 2,862 counties or districts, and 41,636 townships. (UCLG, 2010)
- Hong Kong and Macao are considered special administrative regions with a significant degree of self-government. (UCLG, 2010)
- China has begun to establish a democratic self-government system on a highly localized level of both rural village and urban neighborhood committees. The committees create groups including mediation, security, and public health and they convey residents' demands to the government. (UCLG, 2010)
- China does not have legislated gender quotas at the local level. (Quota Project, 2013)

## Civil society actors

- Jhosang Community Development Association.
- Chengdu Shuguang Community Development Capacity-Building Center.
- The Institute for Civil Society at Sun Yat-sen University conducts research on civil society.

## Capacity building institutions

- The ICMA China Center improves the quality of city management.
- The China Association of Mayors.

## Fiscal control

- Economic decentralization is substantial. Local governments regulate their economy, have power over large expenditures; and manage 80% of state-owned enterprises. (UCLG, 2010)
- Central and local governments share revenues with taxes divided into central, shared and local. Shared taxes are usually related to economic development, while local taxes include those from local industry and agriculture. (UCLG, 2010)

- Central and the higher levels of government mandate tax rates, bases and local expenditure responsibilities. Local governments have a high degree of freedom in the use of non-tax revenues including land development and real estate business fees. (UCLG, 2010)

## Key initiatives for participatory local governance

- China's Constitution mandates the creation of local people's congresses. Regions, prefectures and counties that are autonomous establish their own units of self-government. These local governments function as executive bodies of state power and administration at the various levels of government. (UCLG, 2010)
- The Organic Law of the Villagers Committees was revised in 1998 to ensure self-government by villagers, enabling them to administer their own affairs according to the law. Each Villagers Committee is directed to "manage the public affairs and public welfare undertakings of the village, mediate disputes among villagers, help maintain public order, and convey the villagers' opinions and demands and make suggestions to the people's government." (China.org, 2013)

## Challenges for participatory local governance

- China's growth model has eroded certain social and institutional arrangements and structures while creating issues of urban poverty, out-migration from rural areas, and sharp income inequalities. (World Bank, 2008)
- Despite greater health concerns in poorer rural communities, per capita government allocations in health services increasingly favor wealthier areas which also have higher quality health services. (World Bank, 2011).
- Local governments have increased infrastructure spending since late 2008, but have also been under increasing pressure to allocate additional funding to security, education and health care. Local government finances are becoming increasingly strained and they have increased their investments in state-owned enterprises, as local governments are unable to borrow. (World Bank, 2010)

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# COLOMBIA

PLDI	48.6
Citizenry	45
Political	56
Administrative	52
Fiscal	31
Planning	59
Population	47m
HDI ranking	91/186



The decentralization process in Colombia began in the late 1970s. The process took nearly 25 years, significantly longer than neighboring countries, and there are still improvements to be made. The original motive for decentralization was to subdue the nation-wide violence that began in the 1960s.

## Local governance at a glance

- The Ministry of the Interior is responsible for overseeing the relationship between the national government and the local government.
- Colombia is divided into: 32 departments, led by a Governor and a Department of Assembly, and 1,119 municipalities, led by a mayor (alcalde) elected by a popular vote and a municipal council.
- Colombia has reserved seats for women at the local level for contests with lists in which five or more candidates are chosen for local government bodies through popular vote. In these contests, candidates chosen must be elected by a minimum of 30% of each gender. (Quota Project, 2013)

## Civil society actors

- Red de ONGs Por la Transparencia (Network of NGOs for Transparency) envisions civil society organization to be as open and transparent as possible, and they strive to make this possible.
- Federación Antioqueña de ONG (The NGO Federation of Antioquia) influence policy changes to benefit social sector organizations.
- Confederación Colombiana de ONG (Colombian Confederation of NGOs) exists to strengthen NGOs building social inclusion, participation, and democratic coexistence.
- The National Democratic Institute (NDI) works in Colombia to promote women's and Afro-Colombians' participation in the government.
- Transparency for Colombia (TPC) is the local chapter of Transparency International, working to ensure that finances are clearly accounted for in political campaigns.

## Capacity building institutions

- A Javeriana University program promotes local access to government and participation. The University also created a network for departmental and municipal governments to share information and improve overall participation. (WMD, 2013)

## Fiscal control

- Central government funds make up 40% of the budget transferred to local governments. As part of the constitutional

reform, the majority of this money must be spent on health and education. (Journal of Development Studies, 2008)

- A 2013 International Center for Public Policy paper found, "Not only have [Colombia's] public finances generally been managed surprisingly well and responsibly in recent decades, through periods that were difficult both domestically and internationally, but at the same time, Colombia has also become one of the most fiscally decentralized countries in the region." (ICPP, 2013)

## Key initiatives for participatory local governance

- In 2007, the country initiated a reform of its fiscal transfer system to increase transfers from the central to local governments.
- 1986, Colombia initiated direct elections of municipality mayors (alcades). (ICPP, 2013) In 1991, the country initiated direct elections of governors. (World Bank, 2009)
- The 2012 peace talks between the federal government and the Revolutionary Armed Forces of Colombia (FARC) demonstrate steps toward progress. (FCO, 2013)
- In May of 2013, FARC and the Colombian government signed an agreement concerning land issues, furthering the peace process. (IDMC, 2013)
- In June 2013, the FARC issued a call for further decentralization to "guarantee and stimulate the participation of regions, territorial entities and territories, and the political, economic, social, cultural and environmental definitions of the State, compensating the excessive centralism." (Colombiareports, 2013)

## Challenges for participatory local governance

- A 2009 report from the World Bank details Colombia's decentralization efforts and outlines several challenges, including: uneven performance and capacity of subnational governments, independent fiscal capacity, and coupling increased central government transfer to incentives for improved service delivery. (World Bank, 2009)

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# COSTA RICA

PLDI	52.8
Citizenry	50
Political	63
Administrative	54
Fiscal	37
Planning	60
Population	4.8m
HDI ranking	62/186



Costa Rica has long been recognized as having one of the most centralized systems of governance in Central America. Since the early 2000s, the government has taken steps to promote decentralization, including a landmark 2010 fiscal decentralization law.

## Local governance at a glance

- The Institute of Municipal Development and Assistance oversees municipal authorities and local governments.
- The country is divided into seven provinces, each one led by a governor appointed by the president.
- Provinces are divided into 81 counties (cantones) with locally elected councilmen, called mayors.
- Municipal district (districtos) councils are popularly elected. (UCLG, 2011)
- Costa Rica passed a 2009 candidate quota law at the subnational level which mandates that all nominations must comply with rules of parity and alternation: therefore, 50% of the candidates on a party list must be of each gender and two people of the same sex may not be listed subsequently. Electoral authorities can reject lists that do not comply. (Quota Project, 2013)

## Civil society actors

- The Omar Dengo Foundation focuses on educational reform at the national and regional level.
- Jóvenes Ciudadanos en Acción (Young Citizens in Action) is a project supported by the Paniamor Foundation and UNDEF to strengthen young people's participation in local decision-making.
- DEMUCA Foundation strengthens municipal administration. It creates technical units to support small municipalities in tax collection and other activities for which they have insufficient funds.

## Capacity building institutions

- The National Union of Local Governments (UNGL) represents local governments. (UCLG, 2008)
- The Institute of Municipal Promotion and Evaluation promotes the interests of municipalities. (UCLG, 2008)

## Fiscal control

- In 2010 a new law, the Transfer of Competencies and Resources to Municipalities, mandated that the central government transfer at least 10% of federal funds to the local level within

seven years, while ensuring local entities have the capacity to administer these funds appropriately. Costa Rica reportedly transferred only 2% of funds in 2010, the lowest percentage of any Central American country. (TicoTimes, 2010)

- Municipalities collect taxes to use for public services; however, Congress must approve local taxes. (UCLG, 2010)

## Key initiatives for participatory local governance

- The 2010 decentralization law
- The central government created several reforms in the late 1990s, promoting decentralization and citizen participation:
  - o The municipal executive elections shifted to a popular election. Voters must approve any changes in municipal regulations or practices.
  - o Open meetings called cabildos provide a public forum to comment on decisions or issues in a district or municipality.
  - o Mayors are annually required to make public an outline of local government priorities.
  - o Local voter turnout increased from 59% in 1999 to 87% in 2010. (Wiley, 2012)

## Challenges for participatory local governance

- According to the International City/Council Management Association (ICMA), many municipalities have limited financial management, and there are no regulations for administering taxes. (ICMA, 2004)
- The Manual of General Job Descriptions is intended to promote local jobs; however, it is not regularly updated, nor is its use widespread. (ICMA, 2004)
- The lack of municipal government training is a significant challenge. A lack of funding inhibits proper training and no set training regulations have been identified. (ICMA, 2004)
- While several government reforms are in place, accountability is limited and the decentralization process lacks momentum. (USAID)

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# COTE D'IVOIRE

PLDI	55.6
Citizenry	49
Political	64
Administrative	53
Fiscal	35
Planning	77
Population	20.6m
HDI ranking	168/186



Cote d'Ivoire has faced periodic political instability and violence over the past decade, including a civil war in 2002 and an outbreak of violence after presidential elections in 2010. This violence and instability has led to uneven implementation of fiscal and administrative reforms.

## Local governance at a glance

- At the national level the General Directorate of Decentralization and Local Development (DGDDL), within the Ministry of State, Interior and Security, is responsible for local government financial support, capacity building, and technical support as well as monitoring power transfer from the State. (DGDDL, 2010)
- Cote d'Ivoire is divided into 31 provinces, 81 departments, and 197 communes. (DGDDL, 2010)
- Municipal councils are directly elected for five-year terms. Local executives are indirectly appointed. (UCLG, 2010)
- Cote d'Ivoire does not have legislated gender quotas at the local or national levels. (Quota Project, 2013)

## Civil society actors

- The Coalition de la Societe Civile pour la Paix et le Developpement en Cote d'Ivoire is an organization that has worked in several areas to strengthen social cohesion and accountability, including promoting post-conflict reconciliation and training locally elected leaders on good governance and civil society engagement.

## Capacity building institutions

- The Union des Villes et Communes de Cote d'Ivoire (UVICOCI) was established in 1993 by municipal leaders and has served to support government decentralization policy.

## Fiscal control

- The local government does not collect taxes, but can change rates and receives a share of tax revenue from the central government. (UCLG, 2008)
- In 2007, expenditure by local governments is estimated to have been 11% of total government expenditure. (UCLG, 2010)
- The Loan Fund for Local Authorities (Fonds de Prêt aux Collectivités Locales-FPCL) makes loans to local governments and is capitalized by the central government and the international community. (UCLG, 2010)

## Key initiatives for participatory local governance

- Cote d'Ivoire's first autonomous communes were established in the 1970s. (UNDP) Throughout the 1980s the Government rapidly expanded this effort, creating 35 municipal governments in 1980 and over 60 more in 1987. (RTI)
- A government coup in 1999 was followed by the adoption of a new constitution and a legal framework favoring decentralization in 2001. However, civil war broke out from 2002-03, dividing the north from the south, which remained under government control. (Arial Programme)
- The eruption of violence and a major political crisis took place in 2010 after President Gbagbo refused to step down after an election. By 2011, the country had recovered enough to hold successful legislative elections. (IMF, 2012)
- From 2009 to 2013 the Government achieved the following:
  - o Drafted 15 local development plans with local participation
  - o Trained 50 female local leaders in leadership, and participatory planning,
  - o Disseminated the local participatory planning manual developed by the Ministry of State, Ministry of Planning and Development. (IMF, 2012)

## Challenges for participatory local governance

- The 2012 country plan jointly developed by the IMF and the Government of Cote d'Ivoire describes the following challenges for participatory governance:
  - o Low overall citizen involvement in local community management, and
  - o An absence of a consistent decentralization strategy and resources to finance its development and execution. (IMF, 2012)

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# CUBA

PLDI	30
Citizenry	23
Political	25
Administrative	30
Fiscal	13
Planning	59
Population	11.3m
HDI ranking	59/186



Due to Cuba's communist rule, local governments are hardly autonomous and political processes tightly controlled. However, some civil society organizations do aim to promote political rights and participatory governance within the communist regime.

## Local governance at a glance

- Cuba is divided into 15 provinces plus one special province (Isla de la Juventud) and further divided into 168 municipalities.
- The country's elections are controlled by the Communist Party. Candidates are selected by candidacy commissions that are subordinate to the Party. (Cubamet, 2007)
- The capital city, Havana, has its own form of local government similar to the provinces and is made up of 19 urban municipalities. (UCLG, 2008)
- Cuba does not have legislated gender quotas at the local level. (Luciak, 2012)

## Fiscal control

- Public spending on the local level is nearly 40% of total expenditure. (UCLG, 2008)

## Civil society actors

- The Center for a Free Cuba (CFC) promotes human rights and a shift toward democracy. CFC also assists with information outreach to citizens to promote access to information and inform the people of humanitarian programs.
- The Cuban Democratic Directorate (Directorio) supports the exchange of information among citizens and pro-democracy organizations in Cuba as well as internationally.
- The Lawton Foundation for Human Rights promotes the study of human rights violations in Cuba in an effort to reduce these violations.
- The Solidarity of Cuban Workers (STC) was formed by union leaders and continues to advocate on behalf of workers' rights and a democratic society.

## Key initiatives for participatory local governance

- Cuba's Constitution was established in the 1970s and states that local governments adhere to "socialist democracy" principles. (UCLG, 2008)
- In September 2010, Cuba slightly reorganized its provincial territory designations, particularly around the capital city of Havana. (Juventud Rebelde, 2010)

## Challenges for participatory local governance

- The Communist Party heavily influences the actions of local governments, controls media outlets and citizen access to the Internet. (Human Rights Watch, 2012)
- In practice, subnational governments have limited autonomy. (UCLG, 2008)

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# ECUADOR

PLDI	44.8
Citizenry	44
Political	45
Administrative	45
Fiscal	32
Planning	58
Population	14.86m
HDI ranking	89/186



Ecuador enacted several reforms in the 1990s that set up a framework for decentralization; however, the government did not follow through with establishing laws or policies until the 2000s. Today, progress is being made to implement these laws and promote decentralized local governments.

## Local governance at a glance

- The Secretariat of Planning and Development and the Ministry of Economy and Finance implement decentralization at the national level.
- The country is divided into:
  - o 21 provinces, each with an autonomous council;
  - o 221 municipalities, or cantons; and
  - o 1,500 Parishes.
- Provincial and municipal authorities are directly elected by a secret popular vote. (UN, 2007)
- A law passed in 2000 provides for 30% women to be included on candidate lists on the local level. (Quota Project, 2009)

## Civil society actors

- Grupo FARO monitors and evaluates the transparency within the oil industry in Ecuador. (IDB, 2012)
- Observatorio de la Política Fiscal (OPF - Observatory of Fiscal Policy) is an organization of citizens advocating for greater government fiscal transparency.
- Fundamedios emphasizes the importance of democratic media organizations and transparent journalism.

## Capacity building institutions

- Asociación de Municipalidades del Ecuador (AME - Association of Ecuadorian Municipalities) promotes decentralization and autonomy with the municipalities.
- The Consejo Nacional de Gobiernos Parroquiales Rurales del Ecuador (CONAGOPARE - Ecuadorian Association of Village Councils) is an association of rural government leaders.
- Asociación de Mujeres de Juntas Parroquiales Rurales del Ecuador (Women's Association of Parochial Rural Ecuador) is an association of rural women leaders.
- Consorcio de Gobiernos Autónomos Provinciales del Ecuador (CONGOPE - Consortium of Autonomous Provincial Governments of Ecuador) is an association of provincial leaders articulating provincial priorities.

## Fiscal control

- Local government expenditures are reportedly around 23.4% of total government expenditure, or roughly 4.5% of GDP. (UCLG, 2010)

## Key initiatives for participatory local governance

- In 2008, Ecuador approved a new Constitution aiming to promote human rights, democracy and transparency. In addition, the country has adopted a policy that all public budgets must explain how they promote gender equality. (GIZ)
- The Ministry of Nonrenewable Natural Resources committed to improve access to information regarding the oil sector. In recent years, transparency has been improved, but more efforts are needed to continue improvements. (IDB, 2012)

## Challenges for participatory local governance

- The Inter-American Development Bank 2012 report acknowledges three particular challenges concerning transparency within the government and the oil sector:
  - o The standards set for participants in the oil industry are not equal, and the government discriminates against particular groups, making some working conditions more favorable than others.
  - o Citizens are meant to own, and have an equal stake in, the oil industry; however, oil revenues are not equally distributed. Interest groups with more political influence benefit from a higher percentage of oil revenues, negatively impacting the welfare of the general citizens.
  - o Access to information is limited regarding the level of oil exploitation and how the general society would be best served. (IDB, 2012)

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# GHANA

PLDI	54.4
Citizenry	62
Political	60
Administrative	54
Fiscal	35
Planning	61
Population	25.5m
HDI ranking	135/186



## Local governance at a glance

- Responsible agency: Ministry for Local Government and Rural Development. (MLGRD) (CLGF, 2011)
- There are 10 Regional Coordinating Committees headed by presidential appointees. (USAID, 2010)
- There are 170 Metropolitan, Municipal and District Assemblies (MMDAs), the units of local government, including:
  - 6 metropolitan assemblies covering urban areas
  - 40 municipal single-town councils
  - 124 district assemblies which combine rural areas and small towns.
 (Georgetown 2010)
- Metropolitan assemblies are four-tiered. (Georgetown, 2010)
- Municipal and district assemblies have a three-tiered system, composed of zonal or urban/town/area councils and unit committees. (CLGF, 2011; Ghana Districts, 2006)
- MMDAs are led by a chief executive appointed by the President and approved by assembly members, 70% of whom are directly elected and up to 30% of whom are appointed by the President. (Georgetown, 2010)
- Ghana adopted an Affirmative Action Policy that includes a 40% female gender quota at the District Assembly level. (AFDB, 2008)

## Civil society actors

- The Ghana Center for Democratic Development (GDD).
- Abantu for Development is dedicated to gender equality.
- The Institute of Democratic Governance.
- The Integrated Social Development Center (ISODEC).
- The Institute of Economic Affairs, Ghana (IEA).

## Capacity building institutions

- The National Association of Local Authorities in Ghana (NALAG). All district assembly members are members.
- Institute of Local Government Studies (ILGS).
- The National Commission for Civic Education (NCCE).

## Fiscal control

- The Constitution established the District Assemblies' Common Fund (DACF) and recently increased the percentage of total revenues provided to MMDAs from at least 5% to at least 7.5% for development. (CLGF, 2011)

- MMDA's have little fiscal autonomy, deriving 85% of their budgets from the central government or donor agencies. (Georgetown, 2010)

## Key initiatives for participatory local democracy

- Ghana's 1992 Constitution includes many features to foster accountable, decentralized, transparent and participatory democratic governance.
- Citizens can hold elected assemblies accountable for their actions either through the Commission for Human Rights and Administrative Justice (CHRAJ) or the judicial system. (CLGF, 2011)
- Auditing of assemblies is led by an Auditor General and each district must also establish a committee, led by the assembly chairperson, to hear public complaints. (CLGF, 2011)
- The Local Government Act 1993 provides that each assembly member must consult with the electorate on issues that come before the assembly and frequently consult civil society. (CLGF, 2011)
- Ghana's policy on development planning "encourages a bottom-up approach by which planning is initiated at community level and harmonised at the district and national levels. Public hearings to obtain input from local people are required at both the community and district level." (CLGF, 2011)
- In 2010, the government released a National Decentralization Action Plan to strengthen the local government system. (GoG, 2010)

## Challenges for participatory local democracy

- The Decentralization Action Plan of 2010 identified limited funds, accountability, effectiveness and sub-district structures as challenges. (GoG, 2010)
- The district development plan and budget are prepared—and approved—by appointees of the central government. "For these reasons, MMDAs have little autonomy even within their areas of jurisdiction." (Georgetown 2010)

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# GUATEMALA

PLDI	55
Citizenry	52
Political	53
Administrative	60
Fiscal	44
Planning	66
Population	15m
HDI ranking	133/186



Recent decentralization efforts in Guatemala began in 2002; however, limited progress has been made. Guatemala is known for being very centralized, and while several great policies do exist, the trouble lies in successful implementation. (UCLG, 2011)

## Local governance at a glance

- At the national level the Secretary of the Presidency addresses issues relating to decentralization; additionally, the Ministry of the Interior oversees the authority of local governments. (World Bank, 2011) (UCLG, 2008)
- The country is divided into:
  - 22 departments are each governed by a Departmental Council for Development, elected by a majority vote. A governor, chosen by the president, oversees the councils.
  - 332 municipalities are each governed by a mayor, who is directly elected by the people. (UCLG, 2008)
- Guatemala has no legislated subnational gender quotas. (Quota Project, 2013)

## Civil society actors

- The Center for Mesoamerican Research (CIRMA) is a source of information regarding social sciences and the political history of Guatemala. All materials are accessible to the public and the center provides spaces for citizens to exchange knowledge and ideas.
- The Association of Investigation and Social Studies (ASIES) supports activities that promote public participation. The association is a national forum for citizens to reflect and discuss political, social and economic concepts pertaining to Guatemala.
- Citizen Action (Acción Ciudadana) is a branch of Transparency International working to combat corruption in Guatemala and promote democracy and citizen participation.

## Capacity building institutions

- The Guatemalan Association of Indigenous Mayors and Authorities (AGAAI) focuses on strengthening the municipalities and supporting the indigenous population holding positions of leadership on a local level.
- The National Association of Municipalities of Guatemala (ANAM) is a private entity with the mission of strengthening municipalities and promoting local leadership.

## Fiscal control

- Municipalities account for less than 5% of Guatemala's total public expenditure. (IFS, 2007) (UCLG, 2008)

## Key initiatives for participatory local governance

- In 1985, Guatemala changed its constitution to include more democratic initiatives and began to transition toward a decentralized state. (IDB, 2001)
- The Guatemala Decentralization Forum, started in 2005, provides an organized agenda for government authorities to come together and discuss the challenges facing decentralization. These workshops assist in creating the opportunity for information exchanges and brainstorming for stronger local governments. (World Bank, 2005)
- The Guatemala Municipal Radio Training Program is a World Bank initiative aimed at improving Guatemala's decentralization policy. The courses educate citizens, particularly community leaders, government officials and people interested in participating in the local government, about the law and how to formulate public requests and make municipal investments. (World Bank, 2007)
- Local governments have become less dependent on the central government; therefore balancing power more evenly. Local governments are granted autonomy within the constitution, and municipalities tend to defend their rights. (UCLG, 2008)

## Challenges for participatory local governance

- United Cities and Local Governments (UCLG) identified the challenge of mistrust within political parties. The level of power each party holds relies more on their monetary resources than their political views or citizen following. (UCLG, 2008)

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# INDIA

PLDI	50.2
Citizenry	51
Political	61
Administrative	47
Fiscal	29
Planning	63
Population	1,258m
HDI ranking	136/186



India's constitution calls for strongly decentralized, participatory local democracy. Implementation, however, is a state function and the degree of devolution varies.

## Local governance at a glance

- India is a federal republic with central, state, and local governments. The Ministry of Panchayati Raj is dedicated to the oversight of decentralization and local self-government. The Ministry for Housing and Urban Poverty Alleviation, the Ministry for Rural Development, and the Ministry for Urban Development also have oversight for developing policy in each sector. Every state has a minister responsible for local government administration. (CLGF, 2009)
- India is comprised of 28 states and seven union territories. (UCLG, 2011)
- Local governments are under the auspices of state governments, as the task of devolving power and developing local institutions lies with the state. (UCLG, 2011)
- Local government is divided into urban authorities or municipalities, and rural authorities or panchayats. (UCLG, 2011)
- The panchayat system in most states is a three-tiered structure. At the village level, citizens elect their governing council, gram panchayat, and a chairperson. The chairperson of the gram panchayat also serves on the council of the intermediate panchayat. Each intermediate panchayat elects representatives to the district panchayat. (Britannica, 2013)
- According to the 2011 Census of the Ministry of Panchayati Raj there are:
  - 589 District Panchayats
  - 6,323 Intermediate Panchayats
  - 237,527 Village Panchayats
- There are 3,694 urban local governments. Delhi has a popularly elected legislative assembly. Executive functions in many cities rest with a municipal commissioner who is appointed by the state. However, in West Bengal and Madhya Pradesh, executive powers lie with the directly-elected Mayor assisted by a council. (UCLG, 2011)
- Councilors are elected through a first-past-the-post system, and seats at various levels are reserved for Scheduled Castes and Scheduled Tribes in proportion to their populations. Chairperson seats are also to be reserved for these groups based on their population. (UCLG, 2011)
- According to the Constitution, at least one third of the total number of seats filled by direct elections in local government

bodies in every panchayat and municipality must be reserved for women. Some states have raised the quota for women to half of the seats in both panchayats and municipalities. States with 50% quotas for both include Kerala, Andhra Pradesh, Maharashtra and Tripura. In other states—including Assam, Bihar, Chhattisgarh, Himachal Pradesh, Madhya Pradesh, Manipur, Rajasthan, Uttarakhand, and West Bengal—the 50% reservation exists only in panchayats. (Quota Project, 2011)

- Mayors are elected both directly and indirectly depending on provisions within each state. (CLGF, 2009)
- Urban municipalities with populations over 300,000 must elect ward committees led by local ward councilors. These election processes are mandated by state municipal law. (CLGF, 2009)

## Civil society actors

- The Society for the Promotion of Area Resource Centers (SPARC) fosters community participation with local authorities to meet the challenges of urban population growth.
- The Accountability Initiative seeks to provide research and innovation for governance through exploring issues of accountability, access to information, and citizen empowerment tools.

## Capacity building institutions

- All India Council of Mayors
- All India Institute of Local Self-Government (AIIILSG) is an autonomous research and training institution to strengthen urban local governance, share best practices, and provide capacity building and training.
- The ministry of Panchayati Raj has a website, [pri-resources.in](http://pri-resources.in), that serves as a repository of training materials for local government representatives.
- Decentralization Community of Practice and Solution Exchange India is hosted by UNDP's Democratic Governance unit. Created in 2007, it brings together individuals focused on strengthening local governance. Topics covered include political, functional, administrative and financial decentralization for urban and rural areas as well as service delivery and access to justice. (UNDP, 2011)
- The National Council of Applied Economic Research has research on "Decentralization, Rural Governance and Inclusive Growth: Linkage and Implications." The research analyses aspects of rural governance to determine whether decentralization of governance and its institutions can effectively achieve inclusive and poverty-alleviating growth.

## Fiscal control

- State governments have the power to determine revenue bases, rate settings, local tax autonomy for local governments, grants in aid, and transfers.
- Local governments can impose taxes, user fees, and other charges and they also receive intergovernmental transfers. Property taxes amount to about 60% of revenue raised by municipalities. Some cities also levy taxes on goods brought

## INDIA (continued)

into the city. Intergovernmental transfers account for about 90% of rural panchayat revenue. (UCLG, 2011)

### Key initiatives for participatory local governance

- The institutional framework for local government evolved through the work of a series of committees beginning in 1959 and eventually led to the 73rd and 74th constitution amendments passed in 1992. (UCLG, 2011)
- The 73rd amendment created the three-tiered panchayat system, systemized elections at all three levels, gave panchayats greater political and fiscal authority, mandated that village meetings, gram sabhas, be held regularly to allow village discussions of budgets and development plans, and reserved a portion of seats for members of disadvantaged castes and women. (World Bank, 2013)
- The 74th amendment divides the urban local government system into three types: municipal corporations for larger urban areas, municipal councils for smaller urban areas, and nagar panchayats for areas transitioning from rural to urban. It mandates all seats in a municipality be elected through direct election and that municipal councils are headed by a mayor. (World Bank, 2006)
- The Panchayats Extension to Scheduled Areas Act of 1996 provided for the application of the 73rd and 74th amendments to the tribal areas of India. (UCLG, 2011)
- India has implemented an online Centralized Public Grievance Redress and Monitoring System for citizen complaints. The system is designed to improve public service delivery by enabling citizens to lodge grievances from any location and be able to view its status as it is being addressed. (Zeenews, 2012)
- Every year the Ministry of Panchayati Raj, through an independent agency, assesses the extent of devolution by states and publishes rankings on their web site.

### Challenges for participatory local governance

- Allocation of functions and service delivery between the state and local governments remains a problem due to inadequate administrative decentralization. (UCLG, 2011)
- The scope of municipal functions mandated in the 74th amendment is neither discrete nor absolute and there is an overlap between the functional domains of municipalities and the state governments. In practice, many municipalities have not assumed all of the responsibilities mandated and there are large disparities among jurisdictions. (World Bank, 2006)
- Municipalities have little autonomy in matters relating to tax rate setting. (World Bank, 2006)

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# KENYA

PLDI	55.2
Citizenry	52
Political	68
Administrative	57
Fiscal	35
Planning	64
Population	42.8m
HDI ranking	145/186



In 2010, Kenyans overwhelmingly approved a new Constitution designed to decentralize authority and promote local citizen participation. Elections were successfully held in 2013, and the country continues to try to strike a balance between high citizen expectations and the difficult realities of a transition to decentralized governance.

## Local governance at a glance

- Responsible agency: Ministry of Devolution and Planning.
- The new constitution replaced 175 elected councils with 47 county level governments. (Commonwealth, 2013)
- In March 2013, national elections put in place county governments, solidifying Kenya's new devolved system of government by transferring certain state authority, resources and key services from the national to subnational level of government. (IRI, 2013) (UPI, 2013)
- Kenya has a reserved seat gender quota stating that no more than two thirds of county assembly seats may be composed of one gender. (Quota Project, 2013)

## Major civil society actors

- Young Professionals in National Policy – Kenya (YPNP-Kenya).
- The Institute for Education in Democracy (IED).

## Capacity building institutions

- The Association of Local Government Authorities of Kenya (ACGOK) is a voluntary organization advocating a devolved, sustainable and democratic government in Kenya.

## Fiscal control

- The 2010 Constitution guarantees a minimum of 15.5% of total government revenue be transferred to the county level. Counties are granted limited revenue-raising powers. (World Bank, 2012)
- The Constitution established an Equalization Fund, at 0.5% of national revenues to address deep inequalities at the local level. (World Bank, 2012).

## Key initiatives for participatory local governance

- The Local Government Reform Strategy (2008-2012) aimed to put in place “a democratic and responsive system of Local Government that delivers quality effective and efficient services to Kenyans.” (Kenyan Local Government Reform Programme, 2010)

## Challenges for participatory local governance

- In 2010, the Kenyan Local Government Reform Programme identified the following challenges at the local level:
  - o Weak local authorities incapable of delivering effective and efficient services,
  - o Lack of capacity (human and financial) to effectively undertake reforms,
  - o Licenses used as revenue source rather than for regulation. (Kenyan Local Government Reform Programme, 2010)
- A 2012 World Bank Report warns that Kenya's decentralization “is a massive undertaking... and the transition will inevitably encounter teething problems. Since Independence, Kenya's leaders have held diverging views about devolution. From one perspective, it offers the potential to redress perceived ethnic and political bias by giving local communities far greater control over resources and decisions about service delivery. However, from another perspective, devolution could potentially undermine national unity by encouraging fragmentation of the state along partisan lines or by ‘decentralizing corruption’, leaving citizens worse off if local elites are able to capture resources to the detriment of the majority or if newly established counties fail to put in place the systems needed for effective and transparent service delivery.” The report concludes, “managing the transition to the new system and people's expectations will be critical.” (World Bank, 2012)

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# MALAWI

PLDI	59
Citizenry	48
Political	75
Administrative	57
Fiscal	39
Planning	76
Population	15.9m
HDI ranking	170/186



Decentralization in Malawi began in the late 1990s when the government enacted the National Decentralization Policy. (MLG, 2010)

## Local governance at a glance

- Responsible nationally: Minister of Local Government and Community Development.
- Malawi is divided into three regions, Northern, Central and Southern. Local governance structure is a single tier system, featuring 28 rural districts, 4 cities, and 8 townships. (Ministry of Local Government, 2013)
- District councils are elected under a first-past-the-post system.
- City councils are directly elected by the councilors.
- Six townships are combined with district assemblies, the other two act as municipal councils headed by mayors.
- Traditional leadership is prominent. A Group Village Headman is selected by the village headmen and is responsible for five or more villages. Senior chiefs have authority over all sub-chiefs, and sub-chiefs have authority over the hereditary traditional authority positions. (Commonwealth, 2011)
- Malawi does not have legislated gender quotas at the national or local levels of government. (AllAfrica, 2013)

## Civil society actors

- The World Banks' Malawi Social Action Fund (MASAF) is a key player in Malawi community development, participatory development, and increasing transparency and accountability. MASAF created a Transparency and Accountability Framework. (World Bank, 2010)

## Capacity building institutions

- The National Local Government Finance Committee (NLGFC) advances fiscal decentralization and ensures that local authorities have significant funds to carry out projects.
- The Malawi Local Government Association (MALGA) lobbies on behalf of the local governments.

## Fiscal control

- The National Local Government Finance Committee (NLGFC), created in 2001, oversees the financial relationship between the Central and Local Governments. (MLG, 2010)

- The central government provides district councils with the majority of their money; however, the councils also collect local taxes and fees.
- In 2008/2009 US\$76m was transferred to local governments. (Commonwealth, 2011)
- The Malawi Social Action Fund restructures the fiscal responsibility to focus more heavily on local governments, and the organization established Local Development Funds that were to be managed by District Councils. (World Bank, 2010)

## Key initiatives for participatory local governance

- The first local government elections took place in 2000. (MLG, 2010)
- The second National Decentralization Policy (NDP) was established in 2008. (MLG, 2010)
- The Local Government Act 1998 was changed in 2010 to reduce the number of local authorities to 34 and rename local authorities to "councils." (Commonwealth, 2011)
- The Malawi Social Action Fund builds citizen awareness about the local government, and that weak government and corruption stand in the way of productive development. (World Bank, 2010)

## Challenges for participatory local governance

- There are delays in the Local Development Funds, and a lack of follow-up and follow-through with projects. (World Bank 2010)
- Local elections have been postponed several times, directly affecting the ability of local government to deliver services and maintain transparency. (MLG, 2010)
- To prevent corruption, all districts are required to have Institutional Integrity committees; however, very few have been established. (MLG, 2010)
- Local government financial reports and budget information are inaccessible to most citizens. (MLG, 2010)

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# MALI

PLDI	58.8
Citizenry	59
Political	64
Administrative	67
Fiscal	32
Planning	72
Population	16.3m
HDI ranking	182/186



Mali has a long history of decentralization; however, in 2012 a military coup led to a political crisis. The recent presidential election was closely watched and, by most accounts, peaceful. (IRI, 2013)

## Local governance at a glance

- The Ministry of Territorial Administration, Decentralization and Regional Planning (MATDAT) oversees the local sectors of governance.
- The local government is divided into 8 Regions, 49 Cercles (districts) and 703 Communes where citizens elect councils to lead the communes, and the councils in turn elect mayors.
- There are no legal quotas legislated to ensure a minimum proportion of women in any decision-making bodies. (SIGI, 2012)

## Civil society actors

- SOS Démocratie, an NGO working to ensure fair elections and increase citizen turnout.
- Centre Afrika Obota-Mali (CAO-Mali) works to strengthen civil society.
- Groupe Pivot Droits et Citoyenneté des Femmes works to enhance the participation of women through rights awareness and access to the justice system.
- Conseil National de la Société works to increase the impact of civil society by coordinating engagement with the government and private sector and strengthening civil society's operating environment.
- Forum of Civil Society Organizations seeks to enhance coordination, capacity, and participation.

## Capacity building institutions

- Support Program for Local Authorities (PACT) under MATDAT.
- Association of Municipalities of Mali (AMM).

## Fiscal control

- Local governments have autonomous budgets and receive funding through local taxes, government budget transfers and investment grants through the National Local Government Investment Agency. (Kit, 2004)
- Local authorities raise few of their own funds and rely on transfers from the federal government. (World Bank, 2013)

- The National Local Government Investment Agency (ANICT) works with rural municipalities to formulate budgets and manage local funds. (World Bank, 2007)
- A National Budget Directorate oversees the Medium Term Expenditure Framework (MTEF) and local program budgets. They promote greater budget transparency and strengthen ties between local authorities and the Ministry of Economy and Finance. (World Bank, 2006)

## Key initiatives for participatory local governance

- Modern decentralization in 1992 in two phases covering a dozen years (1992-2004). The first phase implemented democratic reform. The second stage included a plan to further enact and consolidate reforms during the years 2005-2014. (World Bank, 2010) (IMF, 2013)
- The 1996 Principal Decentralization Law shifted responsibility for protecting natural resources and managing lands to local government. (WRI, 2011)
- In 2002, the National Government signed decrees to transfer responsibilities concerning health, education and water to the local authorities. (Kit, 2004)

## Challenges for participatory local governance

- Local authorities are dependent on transfers from the central government and outside funds, and these resources are not adequate to fulfill major responsibilities (World Bank, 2013)
- There is insufficient representation of civil society in local governance and budget decentralization. (World Bank, 2013)

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# MEXICO

PLDI	45.8
Citizenry	45
Political	48
Administrative	48
Fiscal	31
Planning	57
Population	116m
HDI ranking	61/186



Mexico has initiated decentralization reforms since the early 1990s. (IFS, 2007)

## Local governance at a glance

- Responsible official: The Secretary of Governance in the Ministry of Interior.
- Mexico is composed of 31 States and 1 Federal District (Mexico City).
- States are divided into 2,477 municipalities governed by Municipal Councils (Ayuntamiento) and headed by a mayor or municipal president. (SudHistoria, 2011)
- In the state of Oaxaca, 412 out of 570 municipalities are ruled by traditional indigenous leadership selection and community assemblies. As of 2005, the secret ballot was used in only 12% of these municipalities. (AU, 2005)
- Because Mexico is a federation, gender quotas are legislated on the state level. Almost half of the states have quotas for their state legislative bodies. (Quota Project, 2009)

## Civil society actors

- REDLAD (The Latin American and Caribbean Network for Democracy) acts as a platform to share information, best practices and strategies regarding democracy and human rights in the region.
- Observatorio Ciudadano is a platform that welcomes constructive criticism to provide solutions to problems and influence public policy in Oaxaca.

## Capacity building institutions

- SAGARPA's (Secretariat of Agriculture, Livestock, Rural Development, Fisheries and Food) Alianza program. (World Bank, 2006)
- State level platforms: State Councils for Sustainable Rural Development (CEDRS) and the Technical Committees of the Trusts. (World Bank, 2006)
- The Association of Local Authorities of Mexico (AALMAC).
- The Association of Municipalities of Mexico (AMMAC).
- The National Federation of Municipalities of Mexico (FENAMM).

## Fiscal control

- The majority of rural development funds come from federal sources, and the capacity of state governments to influence the allocation of these funds is small. (World Bank, 2006)
- Local government expenditures are reportedly around 6.5% of total government expenditure, or 2% of GDP. (UCLG, 2010)

## Key initiatives

- The 2001 Ley de Desarrollo Rural Sustentable (LDRS) was a step forward in decentralization to the extent that it created institutional platforms, like state, district, and municipal rural development councils. LDRS also mandates the signing of agreements between federal secretariats and the states to implement sectoral programs. Furthermore, the operation rules of Alianza have strengthened the state and municipal councils by making active use of them for program management. (World Bank, 2006)
- In June 2002, legislation was issued mandating the preparation of a Programa Especial Concurrente (PEC) to coordinate the rural development (RD) actions of the relevant secretariats. (World Bank, 2006)
- SAGARPA's Alianza Contigo (Alianza) program has been at the forefront of decentralization. Since 2001, it apportioned funds by an objective formula. (World Bank, 2006)

## Challenges for participatory local governance

- There is limited participation by civil society and a need for citizen education. Government information is not readily available online. (World Bank, 2007)
- Subnational governments are weak in strategic planning, procurement, financial management, collection of locally raised revenues, capacities to develop investment projects, monitoring, and dissemination of outcomes. (IDB, 2010)

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# NEPAL

PLDI	56.6
Citizenry	52
Political	65
Administrative	61
Fiscal	36
Planning	69
Population	31m
HDI ranking	157/186



Since the mid-1990s, Nepal continually suffers political instability, armed conflict and a prolonged peace process with little progress in the development of local self-governance. Although the country has initiated a process to draft a new constitution that may shift local governance institutions, deep political gridlock and in-fighting have stalled progress for over a year. (UCLG, 2010)

## Local governance at a glance

- Responsible agency; Ministry of Federal Affairs and Local Development. (UCLG, 2010)
- Nepal has a two-tiered local government system with 75 District Development Committees that act as the middle tier of government between the central and lower levels. (GDI, 2013)
- Districts are further divided into Village Development Committees and municipalities which are the lowest level of administrative and governance units. These are further divided into wards that serve as the lowest level of service delivery in the system. (GDI, 2013)
- Kathmandu, the capital, is located in the Kathmandu valley with four other municipalities and numerous Village Development Communities. There is no administrative provision for Kathmandu itself or the valley. (UCLG, 2010)
- Nepal's Local Self Government Act of 1999 mandates at least 40% of candidates in Municipal Council elections are women. (Quota Project, 2013)
- There have been no elected local governments since 2002 and administration is run by transitional structures with members appointed by the central government. (GDI, 2013)

## Civil society actors

- Local Governance and Accountability Facility is a semi-autonomous body that works to improve local governance through coordinating citizens in the cooperative local governance process.
- GoGo Foundation has a network of Good Governance Clubs in a number of districts to advocate for accountable, transparent, and participatory governance.

## Capacity building institutions

- Municipal Association of Nepal (MuAN)
- Association of DDCs in Nepal (ADDN)
- National Association of VDCs in Nepal (NAVIN)

## Fiscal control

- Local government funding is very low, and revenue collection is limited primarily to larger municipalities. (UCLG, 2010)
- Municipalities receive grants and revenues collected by the central government. Municipalities can tax housing and lands, rents, enterprises, vehicles, properties, entertainment and impose service charges and fees. (UCLG, 2010)
- District Development Committees receive budgetary transfers from the central government and can impose fees and service charges, and also tax transportation routes and certain goods. (UCLG, 2010)
- The Village Development Committees can tax housing and lands, rents, markets, vehicles, businesses, and natural resources; they can also impose service charges and fees. (UCLG, 2010)

## Key initiatives for participatory local democracy

- The Decentralization Act of 1982 decentralized the responsibilities to the district level government. (UCLG, 2010)
- After democracy was restored in 1991, three acts furthered decentralization reforms in 1992: the District Development Committee (DDC) Act, the Village Development Committee (VDC) Act, and the Municipality Act. (UCLG, 2010)
- The Local Self-Governance Act of 1999 allocated significant responsibilities in service delivery and mandated partial autonomy in decision-making and participation in local bodies. (UCLG, 2010)
- The Local Governance and Community Development Program (LGCDP) currently works toward alleviating poverty through creating inclusive, accountable and responsive local governments and participatory community-directed development. (GDI, 2013)

## Challenges for participatory local democracy

- There have been no local elections since 2002 and are instead administered by interim, unelected bodies that are run by bureaucrats appointed by the central government. (GDI, 2013)
- Corruption is rampant in local government bodies and has seriously affected the ability of local governments to perform necessary service delivery functions, losing much of their legitimacy in the eyes of Nepali citizens. (GDI, 2013)

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# NICARAGUA

PLDI	47.8
Citizenry	46
Political	54
Administrative	45
Fiscal	32
Planning	62
Population	6.0m
HDI ranking	129/186



After decades of political instability, Nicaragua entered into a period of economic growth, decentralized governance, and poverty reduction in the 2000s. However, in 2011 President Ortega defied the country's constitution by remaining President for a third term. Municipal elections in 2012 were also marked by irregularities, though popular support for government administration remains high. (NDI, 2013)

## Local governance at a glance

- The Nicaraguan Institute for Municipal Strengthening (INIFOM) and the Office at the Technical Secretariat of the Presidency (OAP-SETEC) play a leading role in decentralization. (Development Partners, 2007)
- Nicaragua is divided into 15 Departments and 2 autonomous regions.
- Within the departments are 111 municipalities, each with a municipal council directly elected by the citizens.
- Nicaragua does not have subnational legislated gender quotas. (Quota Project, 2013)

## Civil society actors

- Let Democracy (Hagamos Democracia) promotes the direct participation of citizens and ensures the democratic processes of local authorities.
- Group FUNDEMOS is committed to a democratic transition, and strengthening local democracy in Nicaragua municipalities.
- Group For Justice (Grupo ProJusticia) promotes Nicaraguans' understanding of the constitution and their rights regarding freedom of expression.
- The Institute of Strategic Studies and Public Policy (IEEPP) supports citizen participation in public affairs and promotes good governance.
- The Nicaraguan Institute of Humanistic Studies (INEH) works on training democratic authorities, focusing on gender equality and overall autonomy.

## Capacity building institutions

- The Nicaraguan Institute of Municipal Development (INIFOM) represents the interests of the municipalities as well as the federal government to strike a balance between the two and move decentralization forward.

- The Association of Municipalities of Nicaragua (AMUNIC) represents local governments statewide and played a key role in moving decentralization policies forward in the 1990s.
- The Federation of Central American (FEMICA) assists with capacity building workshops for municipal leaders and other local authorities.

## Fiscal control

- Local authorities must seek permission from the central government to introduce new taxes, and local taxes make up nearly half of the revenue on the local level. (UCLG, 2010)
- The Law of Transfers (Ley de Transferencias) came into effect in 2004 and mandates that 4% of state income be transferred to local municipalities. The law states that each year, the transfers will increase by 1% until they reached 10% in 2010. (UCLG, 2008)

## Key initiatives for participatory local governance

- The 1997 Law on Municipalities mandates participatory budgeting practices and requires that mayors hold town meetings to make the local budgets public knowledge. (ICMA, 2004)
- The 2003 Citizen Participation Law promotes participation through local departments and groups within municipalities. (Hansen, 2007)
- In 2006, the government initiated the National Policy of Decentralization, laying out the steps necessary to implement decentralization in the country. (UCLG, 2008)
- The sewage, lighting, and solid waste sectors of government are all decentralized. (UCLG, 2008)

## Challenges for participatory local governance

- There is no democratic representation below the level of the municipalities, so popular elections do not take place on the most local scale. (UCLG, 2008)
- The sectors of local government considered to remain the most centralized are public safety, education and health. (UCLG, 2008)

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# NIGER

PLDI	52
Citizenry	54
Political	61
Administrative	46
Fiscal	28
Planning	71
Population	16.6m
HDI ranking	186/186



Niger has suffered significant political and institutional instability in recent years, including military coups in 1996, 1999, and 2010. In its most recent 2010 Constitution, Niger establishes the institutional architecture of a republic including bodies and frameworks for cooperation on issues of national interest and establishes peaceful democracy. (IMF, 2013)

## Local governance at a glance

- The Ministry of Local Government has oversight authority over local governments. (Nigerstate.gov, 2013)
- The Niger government has three levels of subnational government:
  - 8 regions, led by a regional council and council leader;
  - 36 departments (sub-provinces), led by councils and a council leader; and
  - 265 municipalities (213 rural and 52 urban), led by municipal councils and a mayor. (UCLG, 2008)
- The only functioning level of local authority is the municipal level. (UCLF, 2008)
- Niamey, Maradi, Tahoua, and Zinder are all urban communities with urban community councils composed of delegates from each member municipality and urban community council leader elected by the delegates. (UCLG, 2008)
- Niger does not have legislated gender quotas for local government positions. (Quota Project, 2012)

## Civil society actors

- Association des Femmes Juristes du Niger works to improve the legal status of women.
- Youth Association of Women and Local Governance
- Démocratie, Liberté, Développement
- Association of Women for Development

## Capacity building institutions

- Association des Municipalités du Niger

## Fiscal control

- At the end of each fiscal year, local authorities send their financial and administrative accounts to the State Audit Office for review. (UCLG, 2008)

- Municipalities are generally funded through allocations from the central government and tax revenues. There are no laws that specify a set amount of transfer from the central government. Local and state authorities also have shared taxes where both parties receive congruent amounts of collected revenue. (UCLG, 2008)
- Local councils have the authority to create remunerative duties that pay for a service delivered by the region, department, or municipality that is for the personal benefit of the taxpayer. Councils can also add tax surcharges to central government taxes and surcharges. (UCLG, 2008)

## Key initiatives for participatory local governance

- In 1961 after independence, Niger adopted Law No. 61/30 that created local authorities and later in 1964, law 64/023 created administrative constituencies and included local authorities in the framework of state centralization. (UCLG, 2008)
- In June 2000, a law was passed to create quotas for female representation. The law mandates that political parties in electoral contests give 10% of the candidacies to whichever gender has the lowest level of representation. In the 2004 elections, women were elected to 17% of council seats. (UCLG, 2008)
- A law passed in 2002 made traditional chiefs ex officio members of local councils and gave them advisory capacities, which allowed for traditional chiefdoms to be included in local institutional plans.
- The National Decentralization Policy passed in March 2012, gives local governments, instead of the central government, local control over the implementation of policies, good governance, sustainable local development, and local democracy. (IMF, 2013)

## Challenges for participatory local governance

- Local governments are limited by the lack of resources and the limited ability to mobilize internal resources to fulfill their responsibilities and service delivery. (IMF, 2013)
- The illiteracy level and lack of training and capacity of a large number of councilors have resulted in weak local authority bodies and as a result, these bodies have experienced reduced autonomy. (UCLG, 2008)

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# NIGERIA

PLDI	45.4
Citizenry	47
Political	49
Administrative	42
Fiscal	28
Planning	61
Population	166.6m
HDI ranking	153/186



Nigeria is one of the more decentralized countries in Africa, distributing a significant portion of finances to local governments. The country is working toward a more transparent government and many civil society organizations are committed to moving the decentralization process forward. (IFPRI, 2009)

## Local governance at a glance

- The Ministry of Local Government is responsible for developing and maintaining responsive local government, managing budget proposals, and promoting capacity building initiatives.
- The local government structure is a single tier system across the 36 states. There are 768 areas of local government and 6 area councils. Local councils are directly elected and consist of 10 to 13 councilors. (CLGF, 2011)
- Nigeria does not have legislated gender quotas. (British Council, 2012)

## Fiscal control

- Taxes from all levels of government are pooled together and redistributed; about 20% of total federal revenue is allocated for local governments. (UCLG, 2010)
- States and local governments control approximately 50% of the government's total revenues. (World Bank, 2013)

## Civil society actors

- The Center for Constitution and Demilitarization (CENCOD) works on increasing democracy in Nigeria after the military rule.
- The Center for Environment, Human Rights and Development (CEHRD) works to educate rural communities about their rights and increase local participation.
- The Constitutional Rights Project promotes transparent budgeting through educational trainings and workshops.
- The Female Leadership Forum supports women leaders and enhances the participation of youth in local and national government.
- Strengthening Participatory Governance in Nigeria (SPGN) advocates for policy reform to improve equality in governance.

## Capacity building institutions

- The State Partnership for Accountability, Responsiveness and Capability (SPARC) is a program sponsored by the Nigerian and UK Governments to support current government reforms in Nigeria.
- The Nigeria Governors' Forum is a platform for governors to share ideas and promote good governance, democratic values and sustainable development.

## Key initiatives for participatory local governance

- The 1976 Local Government Reform brought the conversation about unified local government to the table, and the 1979 constitution identified local governments as the third tier of government in the country. (CJLG, 2013)
- In 2003, the Government instituted a series of governance reforms, including severing the direct link between the Government's budget and oil revenues. (World Bank, 2009)
- In 2011, Nigeria enacted a long-awaited Freedom of Information law to improve government transparency, though implementation has been uneven. (Freedominfo.org, 2013)

## Challenges for participatory local governance

- Women only account for less than 10% of elected local government councilors. (CLFG, 2011)
- Limited transparency and accountability in management of public resources at all levels of government, exacerbated by weak sanctions. (World Bank, 2009)
- A low capacity of the civil service to implement government programs and the need for wide-ranging civil service reform. (World Bank, 2009)
- A limited ability of state houses of assembly to play an effective role and the absence of social accountability mechanisms that ensure citizen's feedback on government performance and service providers. (World Bank, 2009)

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# PAKISTAN

PLDI	42
Citizenry	40
Political	51
Administrative	40
Fiscal	15
Planning	64
Population	179m
HDI ranking	146/186



Pakistan pursued reforms for deeper decentralization first in 1973 and then again in 2000 - 2001. However, in 2010, local governments were suspended and municipalities were placed under provincial authority. (UCLG, 2010) In June 2013, the Minister for Local Government announced that a new local government law will be introduced in six months and local government elections will be conducted under the new law. (Tribune, 2013)

## Local governance at a glance

- Pakistan's sub-national government is composed of four provincial governments and, prior to their dissolution, a three-tier local government structure. Provinces are responsible for creating local governments and have local government departments to administer local government matters. (UCLG, 2010)
- Local governments are divided into the following:
  - o 112 Districts (rural areas) and City Districts (large metropolitan areas),
  - o 399 Tehsils or Towns, and
  - o 6,125 Union Councils (UCLG, 2010)
- Pakistan has legislated gender quotas in the form of reserved seats. At each of the local government levels, 33% of seats must be reserved for women in each administrative body. In Provincial Assemblies, 22% of seats are reserved for women. (Quota Project, 2013)

## Civil society actors

- The Citizens' Commission for Human Development (CCHD) runs education programs regarding local government, and conducts advocacy campaigns on democratic governance.
- National Integrated Development Association (NIDA) supports capacity building for good governance, citizen participation, and public and private sector development.

## Capacity-building institutions or initiatives

- Local Councils Association of Punjab.

## Fiscal control

- A majority of fiscal power lies with the central government though provincial governments may collect minor taxes.
- Authority over property of local governments remains suspended. Local governments depend on financing from intergovernmental transfers and a substantial part of provincial revenues is transferred to local governments. (UCLG, 2010)

## Key initiatives for participatory local governance

- The Devolution of Power Plan (DOPP) passed in 2001 included electoral reform and changes to local government structures and processes including giving authority over access to revenue formerly to district government and authority over functions of the former municipal authorities to town governments. (CJLG, 2013)
- In 2001, Pakistan introduced a major territorial readjustment that increased the area of responsibility for the Town Municipal Authorities, including extending the levy of property taxes to these areas. (UCLG, 2010)
- It was recently announced that the Punjab provincial government will reinstate its local government system and prepare for local elections by the end of 2013. (Daily Times, 2013)

## Challenges for local participatory governance

- Institutionalizing political accountability at the local level has not been achieved. Local citizen control over civil servants remains weak. (UCLG, 2010)
- The local government commission and the provincial finance commission do not have adequate capacity to protect local government rights. (World Bank, 2010)
- Local governments face serious resource constraints and have very limited access to tax revenue at the local level with insufficient transfers from the provincial governments. (UCLG GOLD, 2010).

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# PARAGUAY

PLDI	46.4
Citizenry	45
Political	60
Administrative	45
Fiscal	26
Planning	56
Population	6.7m
HDI ranking	111/186



## Local governance at a glance

- Paraguay is divided into 17 departments and 231 municipalities. (UCLG, 2008)
- Citizens directly elect the mayor and a proportional representation system is used to elect the councilors. (UCLG, 2008)
- At the sub-national level, there are legislated candidate gender quotas that require parties to have internal party mechanisms to ensure participation of no less than 20% women in elected offices. Additionally, women must have every fifth position on candidate lists. If party lists do not reach the quota, they will not be approved by the Electoral Commission for election. (Quota Project, 2009)

## Civil society actors

- The Center for Judicial Studies (CEJ) is committed to improving the judicial system, increasing citizen participation and promoting effective access to justice.
- The Center for Information and Resources for Development (CIRD) works to mobilize the civil society to better manage resources and share information in order to promote social progress and social justice throughout Paraguay.
- Seeds for Democracy (Semillas para la Democracia) promotes citizen participation and the responsible exercise of government to improve the overall quality of democracy in Paraguay. They work alongside organizations and institutions responsible for developing policies and laws in order to ensure that these laws and policies support democratic practices and initiatives.

## Capacity building institutions

- The Paraguayan Intermunicipal Cooperation Organization (OPACI) formed in 1971 with the purpose of promoting cooperation between municipalities and strengthening local governments.
- The Board of Governors (Consejo de Gobernadores) was created in the 1990s to act as a platform for governors to discuss local issues and plans for the future. This board exists as a subset of the Ministry of Exterior Relations.

## Fiscal control

- Local government expenditures are reportedly around 1.8% of the total GDP, or roughly 7% of the total government spending. (UCLG, 2010)
- The distribution of local funds is still at the discretion of central authorities. (UCLG, 2010)

## Key initiatives for participatory local governance

- Municipalities directly elected mayors for the first time ever in 1991 after instating a new electoral code. (UCLG, 2008)
- Some municipalities have begun introducing participatory budgeting to include citizens in the financial decision-making process. (UCLG, 2008)
- Paraguay has succeeded in granting free access to primary health care and basic education to all citizens. (World Bank, 2013)

## Challenges for participatory local governance

- The government has had trouble working with small budgets to implement successful projects and build effective public institutions. (UN, 2004)
- Insufficient accountability mechanisms have been an inherent challenge to implementing policies and projects. (UN, 2004)

### List of sources (in order of citation):

United Cities and Local Governments (UCLG), 2008: "Paraguay Country Profile."  
 United Cities and Local Governments (UCLG), 2010: "Gold II Report"  
 Quota Project, 2009. "Paraguay."  
 World Bank, 2013: "Paraguay Overview."  
 UN, 2004: "Paraguay: Overview of achievements and challenges promoting gender equality and women's empowerment."

# PERU

PLDI	48
Citizenry	43
Political	55
Administrative	47
Fiscal	32
Planning	63
Population	29.8m
HDI ranking	77/186



The decentralization process in Peru began after the collapse of the Fujimori government, with a 2002 constitutional reform highlighting decentralization. Now the government is working to engage Peruvians and transform the country. (World Bank, 2011)

## Local governance at a glance

- The Ministry of the Interior is responsible for overseeing local governance.
- There are two types of municipalities: provincials and districts, of which there are a total of 1,834.
- Since 2002, both the provincial mayors and the district mayors have been elected by popular vote. (UCLG, 2010; Georgetown, 2013)

## Fiscal control

- The Ministry of Finance transfers 50% of revenues from the mining and hydrocarbon industries to local governments. (MEF, 2013)
- Local government expenditures are reportedly around 16.4% of total government expenditure, or roughly 2.5% of GDP. (UCLG, 2010)
- Peru has a legislated candidate quota at the subnational level according to a 2010 law that mandates that candidate lists for municipal and regional councils must include at least 30% of each sex. (Quota Project, 2013)

## Civil society actors

- Asociación para el Desarrollo Local (ASODEL), The Association of Local Development, assists several regions in Peru to utilize their income tax revenues responsibly and effectively.
- CooperAccion brings together local officials and members of the civil society to discuss plans for the future regarding development and democratic changes.
- The Global Center for Development (GCDD) developed a “Digital Democracy Network” funded by UNDEF and implemented wireless computer groupings that connected different disenfranchised groups, policymakers and political organizations.
- Micro Justice Peru provides legal empowerment and capacity building to individuals in the rural communities of Huancané. (2013)

- Transparencia educates citizens about their rights, to promote a more democratic and participatory society.
- Socios Peru strengthens democratic institutions and trains state, civil society and enterprise groups through capacity building workshops to promote equal rights and how to avoid future social conflicts.

## Capacity building institutions

- The Association of Municipalities of Peru (AMPE) unites the provincial and district municipalities to provide technical and legal advice to local leaders for maintaining municipal autonomy and processing decentralization.

## Key initiatives for participatory local governance

- The 2002 Decentralization Framework Law laid out which steps were necessary to transfer responsibilities to local governments. (IAF, 2013)
- In 2003, municipalities implemented the “Framework Law on Participatory Budgeting,” and progress has been made in involving local citizens in the budgeting process. (The Open Urban Studies Journal, 2009)
- Strategies for International Development-Peru organized a development fund to support local projects, and this fund promoted enthusiasm among citizens for decentralization and participating in these projects.
- A law on participatory budgeting requires municipality leaders to work with the civil society in planning the budget. (World Bank, 2011)
- A World Bank project, “Peru Capacity Building for Subnational Public Investment” is currently in progress that is focusing on decentralization, economic management and monitoring public expenditure. (World Bank, 2013)

## Challenges for participatory local governance

- Due to the rushed implementation of mandatory municipal participatory budgeting, limited resources exist for implementation or training in local administration practices by the municipalities. (World Bank, 2011)

### List of sources (in order of citation):

World Bank, 2011 “Decentralization and Spending Ability of Peruvian Municipalities.”  
 Quota Project, 2013. “Peru.”  
 Georgetown, 2013: “Republic of Peru.”  
 The World Bank, 2013. “Peru Capacity Building for Subnational Public Investment.”  
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 Revenue Watch Institute, 2012: “Peru Transparency Snapshot.”  
 Inter-American Foundation 2013: “Decentralization Peruvian Style.”  
 United Cities and Local Governments (UCLG), 2010: “Gold II Report.”  
 Hordijk, The Open Urban Studies Journal, 2009: “Peru’s Participatory Budgeting: Configurations of Power, Opportunities for Change.”



# PHILIPPINES

PLDI	59.8
Citizenry	61
Political	65
Administrative	63
Fiscal	42
Planning	68
Population	96m
HDI ranking	114/186



The Philippines has taken major steps in recent decades towards democratization and decentralization. The new constitution, ratified after the end of President Ferdinand Marco's tenure, laid the framework for decentralization. The 1990 Local Government Code provided for significant devolution of power to directly elected sub-national levels of government that were vested with power to share internal revenue as well as generate their own. (World Bank, 2011)

## Local governance at a glance

- At the national level, the Department of the Interior and Local Government is responsible for local government supervision and the Bureau of Local Government Finance of the Department of Finance exercises financial oversight. (UCLG, 2007)
- Elections for local councils are completed using a bloc voting plurality-at-large system in which candidates who receive the most votes fill the required number of seats in the council. (UCLG, 2007)
- The local government is structured as follows:
  - o 80 provinces
  - o 122 cities (urban areas)
  - o 1,512 municipalities (rural areas)
  - o 42,025 barangays (smallest administrative division) (DILG, 2013; UNESCO, 2003)
- The Philippines has legislated reserved seats for women according to the 1991 Local Government Code that requires women be one of three sectoral representatives that reside in every municipal, city, and provincial council. (Quota Project, 2013)

## Fiscal control

- Local government units receive 40% of the Internal Revenue Allotment and this allotment represents 50-99% of the total income of local government units. Local governments are allowed to collect a variety of taxes. (DELGO'SEA, 2013)

## Major civil society actors

- The Decentralization Program is a joint development effort between the governments of the Philippines and Germany to improve national and local governance. (DP, 2011)
- The Galing Pook Foundation recognizes ten excellent programs from over 1,000 applications from local government bodies that describe achievements in effective service delivery and community empowerment. (GPF, 2012)

## Capacity-building institutions or initiatives

- The Philippines has the League of Provinces, Cities, Municipalities, and Barangays as well as a confederation of these leagues called the Union of Local Authorities in the Philippines (ULAP). (UCLG, 2007)
- The Local Government Development Foundation (LOGODEF) works to strengthen local authorities and promote local governance. (LOGODEF, 2013).
- The Philippines Development Forum, the primary mechanism used by the government, has a working group on Decentralization and Local Government (PDF, 2013).
- The Local Government Academy is the leading capacity building institution for local government units.

## Key initiatives for participatory governance

- The post-revolutionary 1987 Constitution mandated extensive decentralization and increased local autonomy.
- The Local Government Code of 1991 provided for decentralization including devolution and delegation as well as decentralization of financial resources. (UCLG, 2010)
- The Local Governance Performance Management System was created in 2001 to help measure the effectiveness and efficiency of local government service delivery. (UCLG, 2007)

## Challenges for local, participatory governance

- The provisions of the 1991 Local Government Code create vertical and horizontal imbalances in local government's resource bases and tax assignments that favor local governments in cities. (World Bank, 2011)
- The lack of complete implementation of devolution has created confusion regarding expenditure assignments and clouded accountability and responsibilities. (World Bank, 2011)

## List of sources (in order of citation):

"Ripe for a Big Bang? Assessing the Political Feasibility of Legislative Reforms in the Philippines' Local Government Code". Yasuhiko Matsuda. World Bank, 2011.

United Cities and Local Governments, 2007. "Country Profile, Philippines."

Department of the Interior and Local Government, 2013.

UN Economic and Social Commission for Asia and the Pacific. "Country Reports on Local Government Systems: Philippines."

Quota Project, 2013. "Philippines."

Partnership for Democratic Local Governance in Southeast-Asia (DELGO'SEA), 2013.

Local Government Development Foundation, 2013.

Decentralization Program, 2011.

Galing Pook Foundation, 2012.

PLDI	49
Citizenry	51
Political	57
Administrative	50
Fiscal	23
Planning	64
Population	13m
HDI ranking	154/186



In 2009, Senegal created a Ministry of Local Government, which has continued to promote the Law of Decentralization. However, a lack of administrative capacity and fiscal control at the local level remain a challenge for participatory local governance. (World Bank, 2013)

## Local governance at a glance

- The Ministry of Planning and Local Government (Le Ministère de l'Aménagement du Territoire et des Collectivités Locales) was established in 2009 and is in charge of decentralization. The Directorate of General Affairs of the Territorial Administration (DAGAT) within the Ministry of the Interior is charged with managing relations with governors. (World Bank, 2012)
- Local government in Senegal is composed of three tiers of territorial collectives (CTs):
  - o 14 regions, led by a governor appointed by the President and a directly elected regional council;
  - o 113 municipal communes, led by a mayor and directly elected municipal council; and
  - o 370 rural communities, led by a directly elected rural council and a President elected from among the council members. (World Bank, 2013)
- At the sub-national level, candidate gender quotas are legislated to mandate parity to all candidate lists for regional, municipal, and rural elections. (Quota Project, 2013)

## Civil society actors

- The Senegalese Association for Equitable Development and Solidarity (ASDES) promotes active citizenship, particularly by youth and builds fair relationships among different groups to reduce economic disparities.
- The Citizen Movement of Senegal educates youth about their rights as citizens to foster participation from a young age.
- The Council of Senegalese Women (COSEF) promotes women's access to decision making through educational trainings and discussions regarding basic rights.

## Capacity building institutions

- The Local Government Association (Association des Maires du Sénégal) works to strengthen relationships between towns and promote decentralized cooperation among local entities.
- Union des Associations d'Élus Locaux Doolel Elilokoyi promotes decentralization and a dialogue between government, NGOs and the private sector.

## Fiscal control

- Central government transfers represent about 20% of the total expenditure of local governments. Local authorities are working to increase the level of local revenue in order to increase fiscal autonomy. (World Bank, 2013; CERDI, 2011)
- The Decentralization Allocation Fund (FDD) was established in 1996 to pay for the newly assumed responsibilities of CTs. (World Bank, 2012)

## Key initiatives for participatory local governance

- Senegal has accomplished several rounds of transparent elections and democratic transitions since independence in 1960. (World Bank, 2013)
- The 1996 Law on Decentralization shifted many responsibilities over to the local governments. This framework was further strengthened in the 2001 Constitution. (Ariai, 2011; World Bank, 2013)
- The 2004 Build-Operate-and-Transfer Law aimed at supporting local authorities by promoting the private sector to get involved in public infrastructure development. (Ariai, 2011)

## Challenges for participatory local governance

- The auditing of subnational accounts is far from the standard established in law. Many CTs reportedly do not keep full accounting records. (World Bank, 2012)
- Tax rolls are "always very late" and the "identification of tax bases is often inaccurate." In addition, "companies delay paying their taxes" while the "central government grants exemptions, mainly to companies, without informing or compensating the CTs concerned." (World Bank, 2012)
- Senegal traditional accountability and transparency systems were severely weakened between 2006 and 2011. Lack of transparency and accountability systems is undermining performance in the social sectors. (World Bank, 2013)

### List of sources (in order of citation):

World Bank, 2013: "Senegal Overview."  
 World Bank, 2012: "The Political Economy of Decentralization in Sub-Saharan Africa."  
 Quota Project, 2013. "Senegal."  
 Cerdi, 2011: "Does the System of Allocation of Intergovernmental Transfers in Senegal Eliminate Politically Motivate Targeting?"  
 CSIS, 2012: "Senegal, Assessing Risks to Stability."  
 Ariai, 2011: "Senegal."

# SOUTH AFRICA

PLDI	53.8
Citizenry	50
Political	65
Administrative	56
Fiscal	29
Planning	69
Population	50.7m
HDI ranking	121/186



Since the first truly democratic election in 2000, South Africa has made significant progress toward strengthening local democracies. The country is removing divisions set by apartheid and utilizing the newly organized local governments to move the country forward.

## Local governance at a glance

- The Department of Cooperative Governance and Traditional Affairs (CoGTA) is responsible for supporting provinces and local government.
- The three types of municipality include:
  - 6 urban metropolitan municipalities and double-tier rural authorities
  - 46 first-tier district municipalities
  - 231 second-tier local municipalities (Commonwealth 2011)
- Traditional leadership is incorporated into South Africa's constitution, and there are 760 traditional councils active in the country. (Commonwealth, 2011)
- Local governments make use of constituency-based elections in combination with proportional representation. (South African Parliament)
- South Africa has a legislated candidate gender quota according to the Local Government Act that mandates in elections for local councils, parties must ensure 50% of the candidates listed for the party are women. Parties must also ensure that male and female candidates are evenly positioned on the candidate list. However, there is no penalty for not complying. (Quota Project, 2011)

## Civil society actors

- The Institute for Democracy in South Africa (IDASA) is dedicated to democracy and social justice.
- Islandla Institute is a public interest think tank, working to reduce inequality and promote effective and inclusive local governance.

## Capacity building institutions

- The Local Government Sector Education Training Authority works to promote the efficiency and effectiveness of the local government.
- The South African Local Government Association (SALGA) is an autonomous group of municipalities that represents the interests of local governments. A mandate within the

constitution recognizes SALGA as the key representative of local government in partnership with the federal authority.

## Fiscal control

- Municipalities utilize taxes and service charges to raise the majority of their revenue. Government grants also contribute to the municipalities' financial allotment. The "local government equitable share" (LGES) transfers national money to municipalities and has grown significantly in the past decade. (Commonwealth, 2011)
- The Africa Budget Project is affiliated with the International Budget Project (IBP) and works with governments and citizens to promote effective budget policies.

## Key initiatives for participatory local governance

- The Municipal Structures Act of 1998 sets guidelines for the committees to enhance local participation.
- The Municipal Systems Act of 2000 holds the local government responsible for "the involvement of the local community and to consult the community about the level, quality, range and impact of municipal services provided by the municipality, either directly or through another service provider." (Commonwealth, 2012)
- In 2009, The CoGTA conducted assessments of all 283 municipalities to understand the challenges each area faced and how to best implement strong local governance. Key recommendations include: strengthening the relationship between national/state governments and local government; greater support from the provinces to local governments; municipalities identifying new goals and strategies; and launching a "good citizenship campaign" to promote participation with the local governments.
- The Local Government Turnaround Strategy of 2009 is an initiative led by the CoGTA. It is a five-year plan that works to strengthen local government.

## Challenges for participatory local governance

- One challenge is the limited responsiveness of municipality leaders. There is poor financial management in many areas. Inequalities persist and disparities exist with geographic development due to the remaining legacy of apartheid. (CoGTA, 2009)

### List of sources (in order of citation):

Commonwealth Local Government Forum, 2011: "South Africa." Quota Project, 2011. "South Africa." South African Parliament.

The Department of Cooperative Governance and Traditional Affairs (CoGTA), 2009: "Working together, turning the tide in Local Government."

# UGANDA

PLDI	53.2
Citizenry	47
Political	63
Administrative	56
Fiscal	34
Planning	66
Population	35.6m
HDI ranking	161/186



Uganda's decentralization process has included significant shifts from appointed local councils to popularly elected leadership boards. There is evidence that the country's five-tier system better enables the country's government to include local citizens in decision-making processes.

## Local governance at a glance

- At the national level the Ministry of Local Government is responsible for supervising decentralization and the local governance of states.
- The local government is comprised of five different tiers of authority:
  - o 111 district councils
  - o 164 county and municipal councils
  - o 958 sub-county and town councils
  - o 5,238 parish councils
  - o 57,364 village (rural) and ward (urban) councils
- Upper level elections are conducted under a first-past-the-post system and candidates run on a party ticket.
- Lower level councils are directly elected through a secret ballot. (Commonwealth, 2011)
- Uganda has a legislated gender quota for local governments in the form of reserved seats. The 1995 Constitution mandates that one third of the representatives in each local government council be reserved for women. (Quota Project, 2009)

## Civil society actors

- The Uganda National NGO Forum connects various organizations concerned with policy advocacy, capacity building, policy research and NGO mobilization in one network. (NGO Forum, 2013)

## Capacity building institutions

- The Uganda Local Governments Association (ULGA) hosts trainings for local government leaders to address their responsibilities as local councilors. (ULGA, 2013)
- Widespread use of the radio has strengthened transparency in decision-making and enabled citizens to participate in discussions surrounding local government and civil society issues. (The Journal of African & Asian Local Government Studies, 2012)

## Fiscal control

- The primary source of revenue for local government is in the form of grants from the central government. The allocation process is formula based, taking into consideration factors such as population, revenue per capita and area. In 2008/2009, 12.3% of the total government expenditures were allocated toward the local government. (Commonwealth, 2011)
- Local government also raises money through a graduated tax (suspended in FY 2004-2005), market dues, licenses and fees, and in the case of municipalities, property tax and ground rent. (World Bank, 2012)

## Key initiatives for participatory local governance

- The Local Government Act 1997 embedded the decentralization policy. (IFPRI, 2011)
- Within the past 10 years, the number of district councils has nearly doubled, increasing the participation on a local level.
- In 2010, the Urban Authorities Association of Uganda (UAAU), the Municipal Development Partnership and the International City/County Management Association partnered together to assist the government in urbanization and in turn empower the local governments to reinforce active community participation. (ICMA, 2013)
- In 2006, Uganda implemented a local government program that incorporated a friendly competition amongst districts to incentivize communities to promote participation within local governments.

## Challenges for participatory local governance

- Uganda has faced challenges in balancing the acknowledgement of traditional leadership while bringing about decentralized government. Also, only Sub-county and District level councils have political authority and the resources needed to provide public services. (The Journal of African & Asian Local Government Studies, 2012)
- Local governments are overdependent on grants from the central government since local governments have limited financial resources. (IFPRI, 2011)

### List of sources (in order of citation):

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 World Bank, 2009: "Local Government Discretion and Accountability: Application of a Local Governance Framework."  
 Quota Project, 2009. "Uganda."  
 Uganda Local Government Association.  
 ICMA, 2010: "Strengthening Urban Local Governments in Uganda."  
 The Journal of African & Asian Local Government Studies, 2012: "Decentralization and good governance in Africa: Institutional challenges to Uganda's local governments."  
 International Food Policy Research Institute (IFPRI), 2011: "Decentralization and rural service delivery in Uganda."



# UNITED STATES OF AMERICA

PLDI	54.5
Citizenry	59
Political	66
Administrative	54
Fiscal	31
Planning	62
Population	316m
HDI ranking	3/186



The USA is distinct in the extent to which local government varies within and between states and how much choice municipalities have in selecting their local institutions. (UCLG, 2008)

## Local governance at a glance

- Local governments derive power from the states, making local government oversight a state government function. Local government structures in the USA are quite diverse and the number of local governments to population size varies considerably in different regions. (UCLG 2008)
- There are: 3,031 County bodies; 19,522 Municipal bodies; 16,364 Town or Township bodies; 37,203 Special Purpose Special Districts; and 12,884 Special Purpose Independent School Districts. (US Census, 2012)
- Municipalities, counties, and townships are general purpose local governments. Counties are administrative bodies with elected governments responsible for a significant amount of service delivery. Townships are found in twenty eastern and mid-western states, either as independent local governments or a third level of local government between municipalities and counties. (UCLG, 2008)
- Special purpose local government bodies such as school boards, have specific and narrowly defined mandates and independent powers, including revenue raising and elections to their governing bodies. (UCLG, 2008)
- Mostly found in New England, local governments can employ town meetings at which voters convene to make basic policy and select a board to carry out these policies. (UCLG, 2008)
- There are 561 tribal governments recognized by the federal government. State systems of property, sales, and income tax as well as other regulations do not apply to the territory within reservations. (UCLG, 2008)
- The United States does not have legislated gender quotas at the local level. (Quota Project, 2013)

## Civil society actors

- The National Civic League (NCL)
- The National Association of Regional Councils (NARC)

## Capacity building institutions

- The National League of Cities (NLC)
- International City/County Management Association (ICMA)
- National Association of Counties (NACO)

- The U.S. Conference of Mayors is the official non-partisan organization of cities with populations of 30,000 and greater.
- The American Society for Public Administration

## Fiscal control

- Local taxation composes about 60% of county and municipality income and 73% for towns and townships. The public school sector has 54% of local funding from state governments. (UCLG, 2008)
- Property tax is the largest source of locally raised revenue. In some states where property taxes are limited, sales taxes have replaced them as a source of local revenue. (UCLG, 2008)

## Key initiatives for participatory local governance

- While the US Constitution does not include provisions about local government, the institutional foundations stem from the principle known as Dillon's rule. Created in 1868, it states that municipalities are "creatures of the state" and can only exercise powers provided to them by the state. (UCLG, 2008)
- Twenty states have provisions for initiative, referendum and recall of elected officials. (UCLG, 2008)
- While participatory budgeting is rare, most states require local governments to conduct public hearing before local budgets are adopted. (UCLG, 2008)

## Challenges for participatory local governance

- Local governments face a gap between revenue and spending in the face of reduced tax receipts and decreased federal funding. (GAO, 2012)
- As a result of lowered housing prices and property tax receipts, local governments have had to reduce expenditures resulting in larger class sizes in public schools, shortened school days, cuts in service delivery including public safety and trash collection, and privatization of certain service delivery functions. (Pew, 2012)

## List of sources (in order of citation):

United Cities and Local Governments, 2008. "Gold Report: United States of America Country Profile.  
Quota Project, 2013. "Frequently Asked Questions."  
United States Census, 2012. "Local Governments by Type and State: 2012."  
U.S. Government Accountability Office, 2012. "State and Local Governments' Fiscal Outlook Report."  
The Pew Charitable Trusts, 2012. "The Local Squeeze: Falling Revenues and Growing Demand for Services Challenge Cities, Counties, and School Districts."

# VENEZUELA

PLDI	46.2
Citizenry	44
Political	57
Administrative	42
Fiscal	27
Planning	61
Population	29.8m
HDI ranking	71/186



The current Constitution of Venezuela, approved in 1999, provides a robust framework for participatory democracy and emphasizes human rights and citizen participation. However, in recent years the country has trended toward recentralization as the national government increasingly moves to consolidate power. (ICNL, 2013)

## Local governance at a glance

- Venezuela is composed of 23 states, one Federal District and 72 offshore islands.
- There are 335 municipalities, led by a popularly-elected Mayor and assembly.
- The mayor and counselors for each municipality are elected by a popular vote.
- The constitution promotes participation at the local level in the form of town councils, participatory budgeting, citizens' assemblies and referendums. (UCLG, 2010)
- There are no legislated gender quotas at the subnational level. (Quota Project, 2011)

## Civil society actors include

- El Programa Venezolano de Educación-Acción en Derechos Humanos, PROVEA, is a human rights organization working to ensure human rights for all and striving toward government accountability.
- The National Association of Civil Society Organizations

## Capacity building institutions

- The government funded a surge of cooperatives in 2001, and Venezuela has seen an increase in self-reliant communities. Cooperatives are given preference for government contracts, and these communities are also allotted 20% of the annual resources transferred to States and Municipalities. (Venezuela Analysis, 2004)

## Fiscal control

- 70% of sub-national revenues come from transfers from the central government. (IDB, 2012)
- Municipalities are dependent on national transfers and they receive on average 9% of the total central government expenditure. However, cities with industrial and commercial centers generate up to 98% of their revenues while rural municipalities depend almost exclusively on central government transfers. (IDB, 2012)

- Situado Constitucional, is an entry in the constitution that mandates a transfer of 20% of ordinary fiscal revenues from the central government to local governments. (IDB, 2012)
- Nearly half of the Government of Venezuela's total revenue comes from hydrocarbon sales. By law, the federal government must transfer 25% of the money from petroleum taxes to state governments. However, states that are not governed by the ruling party often do not see their full ration. (Revenue Watch, 2010)
- By law states cannot levy taxes and have no borrowing authority. (IDB, 2012)

## Key initiatives for participatory local governance

- In 1989, Venezuela moved toward decentralization. (IDB, 2012)
- The 2005 Organic Law of Municipal Public Power mandates that municipalities divide up into civil parishes and other local organized structures in an effort to promote public participation. (UCLG, 2010)
- The Constitution and the law have set up means for public participation to take place. At a local level these include: local public planning councils; open town councils (cabildos); the participatory budget; citizens' assemblies; referendums; public consultation; amongst others. (UCLG, 2010)

## Challenges for participatory local governance

- A major obstacle to decentralization in Venezuela is a lack of accountability in government financial matters. (UCLG, 2010)
- There are no operational criteria to determine whether transfer from government is enough to maintain levels of efficient services. In recent years there is a marked deterioration in public services due to lack of funding, mainly in the areas of health and education. (IDB, 2012)

## List of sources (in order of citation):

International Center for Non Profit Law (ICNL) 2013: "Venezuela."  
 United Cities and Local Governments (UCLG), 2010: "Bolivarian Republic of Venezuela."  
 Quota Project, 2011. "Venezuela."  
 Venezuela Analysis, 2014: "Civil Society, Social Movements, and Participation in Venezuela's Fifth Republic."  
 Inter-American Development Bank (IDB), 2012: "Sub-national Revenue Mobilization in Latin America and Caribbean Countries: The Case of Venezuela."  
 Revenue Watch, 2010: "Venezuela."

# Appendix 1: Text of Legal Component of Survey

1. Please enter your name and email address to continue.
2. For which country are you filling out this survey?
3. For which State or Province are you filling out this survey? (if relevant)
4. In what sector do you work?
  - Academia /CSO /Local Govt /National Govt /Multilateral /Private
5. Please answer based on your best understanding of the law.  
Yes / No / I don't know
  - There are legal statutes that disenfranchise members of a specific group from claiming the full rights of citizenship.
  - Women are guaranteed the right to participate in the decision making process.
  - All religions are guaranteed the right to participate in the decision making process.
  - All ethnicities are guaranteed the right to participate in the decision making process.
  - Independent CSOs are allowed to formally operate in the country.
  - Additional comments or clarifications
6. Please answer based on your best understanding of the law.  
Yes / No / I don't know
  - The constitution mandates decentralization or subsidiarity.
  - The constitution provides a framework for local government structures.
  - Citizens have a right to access basic government records.
  - Additional comments or clarifications
  - The constitution guarantees a democratically elected local government.
7. Please answer based on your best understanding of the law.  
Yes / No / I don't know
  - Local governments are required to publish procedures on how citizens can access information.
  - All citizens are allowed to run for office in local governments.
  - There is a way for the public or politicians to contest the outcome of an election.
  - All citizens have the right to vote in local elections.
  - Parties are allowed to support candidates in a local election.
  - Additional comments or clarifications
8. Please answer based on your best understanding of the law.  
Yes / No / I don't know
  - It is legal to report accurate news even if it damages the reputation of a public figure.
  - Local authorities are elected by local citizens.
  - Additional comments or clarifications.
  - Local authorities are appointed by the central government.
9. Please answer based on your best understanding of the law.  
Yes / No / I don't know
  - Local authorities have to ask central government for authorization to carry out projects.
  - The public is guaranteed an opportunity to scrutinize local policy decisions before they are implemented.
  - Additional comments or clarifications
  - Citizens have a right of appeal if access to a basic government record is denied.
10. Nonelected officials can remove locally elected officials.  
Yes / Only in extreme cases of fraud / I don't know
11. Please answer based on your best understanding of the law.  
Yes / No / I don't know
  - Local authorities have autonomy in managing their own finances.
  - Local governments are required to make budget decisions publicly available.
  - The participatory process that involves citizens in public decision making is enshrined in law.
  - Additional comments or clarifications
  - Local governments are subject to independent audits.
12. Please answer based on your best understanding of the law.  
Yes / No / I don't know
  - There are objective criteria for allocating money from national to subnational government.
  - Information on allocation of money from national to subnational must be made available to the public.
  - Local governments are required to develop multi-year strategic plans.
  - Additional comments or clarifications
  - Local governments must publish annual reports on actions taken.
  - Local governments are required to make multi-year plans publicly available.
13. Local authorities MUST receive training in the following (check all that apply):
  - Transparency
  - Service Delivery
  - Ethics
  - Inclusion of minority groups
  - Administration
  - Taxation
  - Negotiation
  - Legal mechanisms
  - None of the above
  - Other (please specify)
  - Please list any pertinent laws.

## Appendix 2: Text of the Perception Survey

1. For which country are you filling out this survey?
2. For which State or Province are you filling out this survey? (if relevant)
3. Local government records and data are publicly accessible.
  - No / With great difficulty / With some difficulty / Promptly / Upon request
4. Citizens are aware of their rights to access government records. Not at all aware / Slightly aware / Moderately aware / Very aware / Proactively made public / Extremely aware
5. How many days would you estimate it takes for citizens to receive responses to an access for information request?
6. Based on your experience how typical are each of these characteristics. Never / Rarely / Sometimes / Often / Always
  - The planning process is inclusive of marginalized groups from the relevant community.
  - Women participate in the decision making process.
  - All ethnicities participate in the decision making process.
  - All religions participate in the decision making process.
7. Based on your experience how typical are each of these characteristics. Never / Rarely / Sometimes / Often
  - Local stakeholders actively participate in local decision making.
  - Women are commonly elected to local councils and sub national bodies.
  - Citizens openly form associations.
  - Citizens take collective action outside of the political system.
  - Women and minorities actively participate in local community meetings.
  - Citizens take collective action through the political system.
8. In your country, what (if any) constraints limit the amount of citizen political participation? Please check all that apply.
  - Cultural
  - Legal restrictions
  - Educational
  - Economic
  - Political
  - Access to Information
  - Effective communication skills
  - Other (please specify)
9. Please answer based on your experience. Yes / No / I don't know
  - Citizens can resolve appeals to information requests at a reasonable cost to their time and resources.
  - Civil Society Organizations (CSOs) and political parties raise citizen awareness on civic issues. (i.e. Get out the Vote activities or school programs)
  - Citizens have sufficient skills to meaningfully participate in governance.
10. Which of the following local stakeholders influence local public policies?
  - Technical experts
  - Civil Society Organizations
  - Subnational elected officials
  - Local elected officials
  - Private Sector Business
11. Are certain groups categorically disenfranchised from claiming the full rights of citizenship? (If yes, please state which groups). Yes / No / I don't know. If yes, which group(s)
12. Public government structures exist alongside parallel governance structures (such as traditional, religious, or other community governing bodies)
  - No.
  - Yes, but they are integrated.
  - Yes, they are not integrated but do not compete.
  - Yes, and they compete with each other.
13. To what extent does the political leadership enable the participation of citizen groups in the political process? Not at all / Only a Little
14. Please answer based on your experience. Never / Rarely / Somewhat / Sometimes / To a large extent / Often / Always / I don't know
  - Local leaders build a broad consensus for their policies.
15. Political parties agree on local democracy and decentralization as strategic, long term goals. No Parties / One Party / More than one Party / All Parties / I don't know
16. Please answer based on your experience. Yes / No / I don't know
  - The right to vote is typically upheld for all citizens in local elections.
  - There are mechanisms in place to ensure that fundamental inequalities are addressed.
  - Decentralization or local democracy are a part of the manifesto of at least one major political party as a strategic and long term goal.
  - Local government publishes status reports on projects and activities (at least once a year and they are available to the public).
  - There is government censoring on publishing corruption-related stories.
17. Please answer based on your experience. (You may select multiple levels or if not applicable leave blank)
  - Into which of the following tiers is the judiciary system organized
  - The judiciary is independent from other branches of government at [the] \_\_\_\_ level.
  - National / State / Provincial / Local
  - There are no local elections.



18. If there are local elections...Yes / No / I don't know
  - Secret ballots are utilized in local elections.
  - Local assemblies formed through local elections.
  - Local candidates are nominated through a democratic process.
  - All citizens are allowed to run for office.
19. Do nonelected officials ever remove locally elected officials?  
Yes / No / Only in extreme cases of fraud / I don't know
20. Are elections free and fair?  
(Free: an electoral process where fundamental human rights and freedoms are respected.)  
(Fair: an electoral process where the 'playing field' is reasonably level and accessible to all electors, parties and candidates.)  
Just Free / Just Fair / Free and Fair / Neither
21. What if any of the following public services are managed locally or accountable to elected officials? You may select multiple boxes
  - Waste management
  - Agriculture
  - Public health
  - Primary education
  - Infrastructure
  - Utilities
  - Managed locally
  - Accountable to locally elected officials
22. Local authorities have decision making autonomy in managing basic services.  
Not at all / Only a Little / Somewhat / To a large extent / I don't know
23. Do public service providers report to the local government?  
Yes / No / I don't know
24. Local authorities receive training about the following subjects: You may select multiple boxes
  - Transparency
  - Service Delivery
  - Ethics
  - Inclusion of minority groups
  - Administration
  - Taxation
  - Negotiation
  - Legal mechanisms
  - None of the above
  - Other (please specify)
25. How transparent is the local procurement process? Not at all transparent / Somewhat transparent / Mostly Transparent / Completely Transparent / I don't know.
26. How would you rate the performance of URBAN local governments in the following areas? Very Low /Low / Medium / High / Very High / N/A
  - Overall service delivery.
  - Providing utilities.
  - Maintaining infrastructure.
  - Establishing a positive operating environment for business.
  - Satisfaction of citizens.
  - Providing primary education.
27. How would you rate the performance of RURAL local governments in the following areas? Very Low /Low /Medium / High / Very High
  - Overall service delivery.
  - Providing utilities.
  - Maintaining infrastructure.
  - Establishing a positive operating environment for business.
  - Satisfaction of citizens.
  - Providing primary education.
28. What percentage of total public finances do you believe are controlled by local government in your country? (leave blank if no estimate)
29. Please answer based on your experience. Yes / No / I don't know
  - The public can access information on the process of allocating money from national to subnational governments.
  - The process for allocating funds from the central government to subnational governments uses objective criteria.
  - Local authorities have autonomy in managing their own finances.
  - Local governments are accountable to an Independent Auditor.
  - The schedule for allocating funds from national and sub-national governments is a significant barrier to effective governance.
  - Local authorities are authorized to collect their own taxes.
  - Citizens can view the current budget.
30. How participatory is the local budget planning process?

Not at all / Only a Little / Somewhat / To a large extent / I don't know

31. Answer based on your experience. Yes / No / I don't know

- There is a place for the community to view the local government plans (Internet, Local government office, library, etc.)
- Are the plans easily accessible?

32. Answer based on your experience. Yes / No / I don't know

- Local governments have data and ability to analyze and address fundamental inequalities.
- Local governments have access to adequate data necessary for strategic planning. (i.e. economic, social, and demographic)
- Civil society organizations participate in local level planning.
- Local governments have adequate capabilities and resources to make long term plans.
- Local governments have a mandate to create and implement multi-year plans.

33. Based on your experience how typical are each of these characteristics.

Never / Rarely / Sometimes / Often / Always

- Local government engages relevant stakeholders in the planning process.
- Local governments have to submit their budget to a higher level of government.
- Competing or redundant administrative jurisdictions present a significant obstacle to effective governance.
- Local governments have to have their budget approved by a higher level of government.
- Other (please specify)

34. Based on your experience how typical are each of these characteristics.

Never / Rarely / Sometimes / Often / Always

- Local participatory planning meetings are actively facilitated.
- Local participatory planning meetings are effectively organized.

35. What is your gender? Female / Male

36. In what sector do you work?

37. What is your age?

38. Do you have any additional comments or information to share about the state of participatory democracy in your area?

39. If you would like to stay updated on our project please enter your email here.

## Appendix 3: About The Hunger Project

The Hunger Project (THP) has a 35-year track record of mobilizing people living in abject poverty along the path to economic self-reliance. THP works in Africa, Asia and Latin America, reaching 24 million people in nearly 20,000 villages in some of the most impoverished rural communities in the world.

The Hunger Project's mission is to end hunger and poverty by pioneering sustainable, grassroots, women-centered strategies and advocating for their widespread adoption in countries throughout the world.

With a commitment to the sustainable end of world hunger, The Hunger Project has empowered and trained more than 385,000 volunteer leaders, who now have the confidence, methods and skills to envision a future without hunger, commit to working toward its achievement and lead their communities to take action in areas such as health, education, food security, family income and access to local government services.

THP carries out their mission with an approach that is based on three fundamental pillars:

1. Mobilizing people at a grassroots level to achieve self-reliance. Hunger Project strategies build people's capacities, leadership and confidence, equipping them with the skills, methods and knowledge needed to

organize themselves and to take independent, self-reliant actions to improve their lives and conditions in their communities.

2. Empowering women as key change agents. Women carry out the bulk of the work needed to meet basic needs. THP readies and supports women to step into leadership roles, and shift their community's priorities toward issues of sanitation, nutrition, health and education.
3. Forging effective partnerships with local government. Local government is uniquely positioned to remove fundamental barriers and open essential opportunities for sustainable development. The Hunger Project partners with local government bodies to ensure they are effective, include women's leadership, and answer to the people.

The Hunger Project was first established in the United States in 1977 and has had consultative status with the United Nations (Economic and Social Council) since 1985. From its inception, The Hunger Project was designed as a learning organization, one that continually assesses the landscape of development, identifies what's missing, and redesigns its programs to achieve the highest leverage impact based on what it has learned.

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## Juárez

Murder with impunity: <http://www.animalpolitico.com/2013/07/98-de-los-homicidios-de-2012-en-la-impunidad/#axzz2bMZ6ljJs>  
Consultado el 8 de agosto de 2013

See: <http://www.pactoporjuarez.org/vigila/regidor-19/>;  
[http://www.youtube.com/watch?v=ht7Yb\\_Vd28M](http://www.youtube.com/watch?v=ht7Yb_Vd28M)

See: [http://diario.mx/Local/2013-03-05\\_b5a3c539/juarez-recuperaria-mas-de-4-mdp-si-descontara-a-regidores-faltistas](http://diario.mx/Local/2013-03-05_b5a3c539/juarez-recuperaria-mas-de-4-mdp-si-descontara-a-regidores-faltistas);  
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From Thailand to Brazil to Kenya, countries are moving government closer to the people. Nations are devolving public resources and decision-making authority to the local level, and empowering citizens to engage directly in setting priorities and budgets. Participatory local democracy is widely perceived to foster better accountability and improved delivery of basic services, as well as defusing regional, ethnic and religious tensions. In the words of Mahatma Gandhi, it restores people to control over their own lives and destinies.

Virtually all the challenges identified in the Millennium Development Goals—hunger, poverty, education, gender equality, health, water, sanitation and environmental sustainability—require solutions tailored to local situations. Yet local governance has not appeared as a priority on the international agenda.

Now, as the world works to formulate a Post-2015 development agenda, the local officials, academics and civil society activists who have pioneered and championed innovations in participatory local democracy are making their voices heard.

This report intends to put an international spotlight on the importance of these innovations. Following the lead of other “State of...” reports, it seeks to take this complex issue and make it clear and measurable. It introduces a new multidimensional indicator – the Participatory Local Democracy Index (PLDI) – and applies it to 35 countries that are profiled in depth.

The report also addresses the many challenges to making participatory local democracy work, including lack of awareness, constrained human and financial resources, and bureaucratic and political interference.

*“Local authorities form a vital bridge between national governments, communities and citizens and will have a critical role in a new global partnership... Local authorities have a critical role in setting priorities, executing plans, monitoring results and engaging with local firms and communities.”*

— Report of the High-Level Panel of Eminent Persons on the Post-2015 Development Agenda, 2013

