

**Department of Economic and Social Affairs**  
Division for Public Administration and  
Development Management

# *Civic Engagement in Public Policies*

## *A Toolkit*



**United Nations**  
New York, 2007

## **DESA**

The Department of Economic and Social Affairs of the United Nations Secretariat is a vital interface between global policies in the economic, social and environmental spheres and national action. The Department works in three main interlinked areas: (i) it generates, compiles and analyses a wide range of economic, social and environmental data and information on which Member States of the United Nations draw to review common problems and to take stock of policy options; (ii) it facilitates the negotiations of Member States in many intergovernmental bodies on joint courses of action to address ongoing or emerging global challenges; and (iii) it advises interested Governments on the ways and means of translating policy frameworks developed in United Nations conferences and summits into programmes at the country level and, through technical assistance, helps build national capacities.

## **Note**

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The views expressed are those of the individual authors and do not imply any expression of opinion on the part of the United Nations.

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## **Civic Engagement in Public Policies: A Toolkit**

### **PREFACE**

Civil Society Organizations, Non-Governmental Organizations and the private sector, in today's world, have a crucial role to play in the policy-making processes of the state. Around the world greater engagement of citizens, clients, consumers and communities is becoming a feature of many governments and both public and private organizations. NGOs and CSOs are no longer restricted to the role of service delivery. Policy-makers across the world are coming to share the understanding that the active engagement and participation of communities and citizens in the policy-making process, as well as establishing suitable institutional arrangements for securing dialogue with communities, are key to effective policy-making and consequently, to achieve the internationally agreed-upon development goals, including the MDGs. To this end, the Socio-economic Governance and Management Branch (SGMB), Division for Public Administration and Development Management (DPADM) of the United Nations Department of Economic and Social Affairs (UNDESA) is taking the lead in strengthening capacities in participatory governance and partnerships, and developing governance tools and strategies conducive to the implementation of the United Nations Development Agenda including the MDGs.

While many governments and CSOs have committed themselves to participation in public governance, practical tools relevant to such practices are still emerging. In that sense, this Toolkit is a very timely publication. It provides guidance and step by step approaches on successful methods, techniques, mechanisms and processes for effective social mobilization, dialoguing, brainstorming, formulating, implementing, monitoring and evaluating programmes in public sector. By drawing lessons from several successful cases around the world, the Toolkit describes various methodologies and strategies of participation relevant to policy-making, participatory budgeting, etc.

I wish to thank all those who contributed to the preparation of this Toolkit. Most prominently, I would like to extend my sincerest gratitude to Ms. Najet Karaborni, the Senior Interregional Adviser of UNDESA, who initiated, designed, developed and almost single-handedly prepared this Toolkit. I would also like to thank Mr. Leyth Khantouche, Management Information Systems and Training Specialist for his intellectual advice and comments. I also acknowledge important contributions made by the two Interns of SGMB, Mr. Hosam Mekdad and Mr. Nabil Ait-Accache. I thank Mr. Yoshinobu Yonekawa, Programme Coordinator, SGMB/UNDESA for editorial work of the Toolkit. Special thanks are also due to the participants of the Arab Regional Workshop on Opportunities and Challenges of Civic Engagement in Socio-economic Policies, held in March 2007 in Amman, Jordan, where the draft of the Toolkit was presented and feedback obtained.

I hope that the intending users find the Toolkit useful. We also look forward to receiving additional inputs from users so that the document can be improved further in future.

**Adil Khan, Chief, Socio-Economic and Management Branch  
Division for Public Administration and Development Management  
Department of Economic and Social Affairs, United Nations**

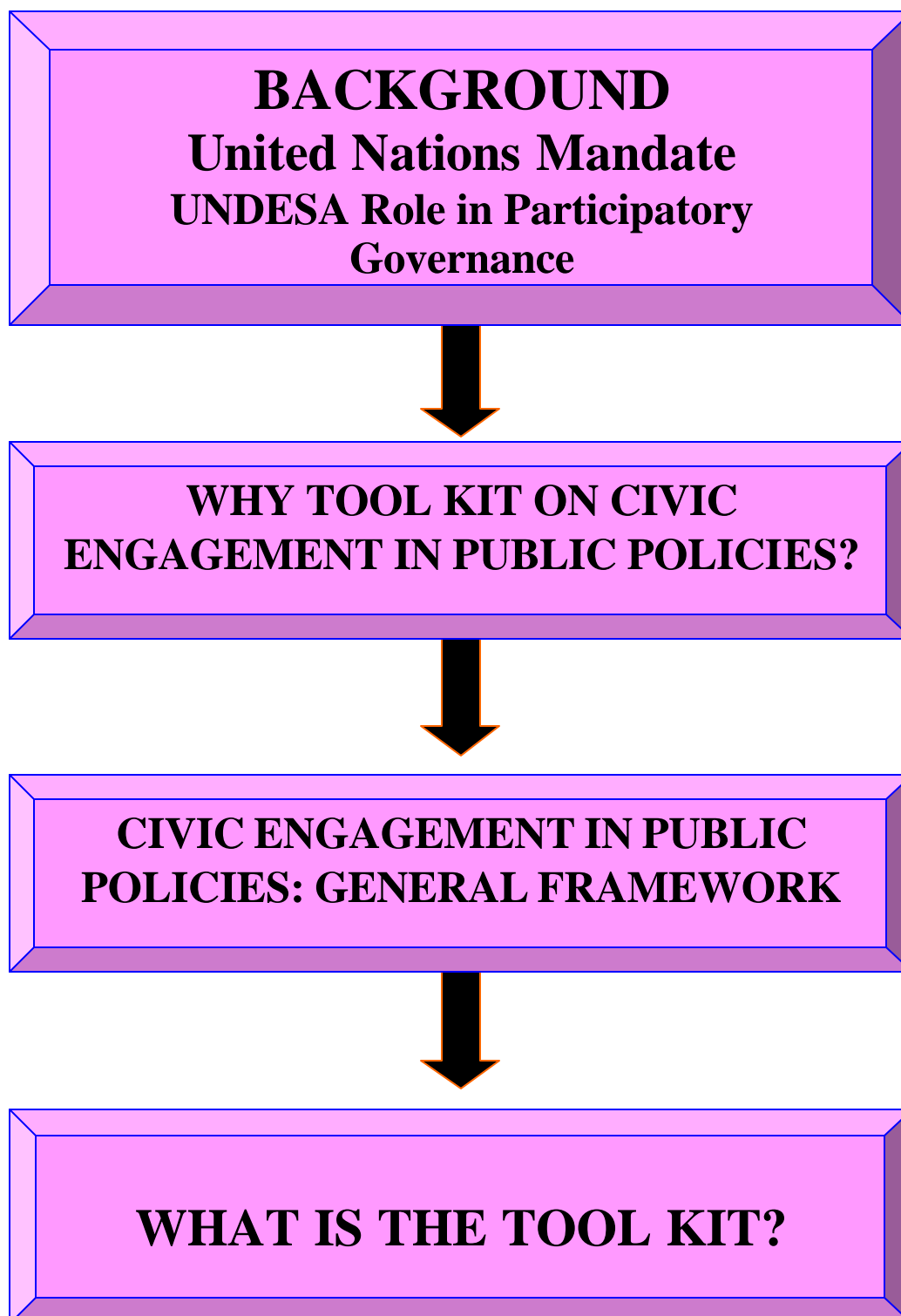
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## **ABBREVIATIONS & ACRONYMS**

|                 |  |
|-----------------|--|
| <b>BGs</b>      | Budget Groups  |
| <b>CBO</b>      | Community Based Organization   |
| <b>CDHLCPI</b>  | Commissariat for Human Rights, Fight against Poverty Alleviation and Integration, Mauritania |
| <b>CEPA</b>     | Committee of Experts on Public Administration  |
| <b>CPC</b>      | City People's Council  |
| <b>CS</b>       | Civil Society  |
| <b>CSO</b>      | Civil Society Organization   |
| <b>DPADM</b>    | Division for Public Administration and Development Management                                |
| <b>ECOSOC</b>   | Economic and Social Council  |
| <b>IAP2</b>     | International Association of Public Administration   |
| <b>ICT</b>      | Information and Communication Technology   |
| <b>IGEC</b>     | Inter-Governmental Expert Group  |
| <b>INTGLIM</b>  | International NGO Task Group on Legal and Institutional Matters                              |
| <b>HIV/AIDS</b> | Human Immunodeficiency Virus /Acquired Immune Deficiency Syndrome                            |
| <b>MDGs</b>     | Millennium Development Goals   |
| <b>MENA</b>     | Middle East & North Africa   |
| <b>NCC</b>      | National Citizens Charter  |
| <b>NGO</b>      | Non-Governmental Organization  |
| <b>NSO</b>      | National Statistics Office   |
| <b>ODA</b>      | Official Development Assistance  |
| <b>OECD</b>     | Organization for Economic Co-operation and Development                                       |
| <b>PO</b>       | People's Organization  |
| <b>PrepCOM</b>  | Preparatory Commission   |
| <b>SGMB</b>     | Socio-Economic Governance and Management Branch  |
| <b>UN</b>       | United Nations   |
| <b>UNDESA</b>   | United Nations Department of Economic and Social Affairs                                     |
| <b>UNESCO</b>   | United Nations Educational, Scientific and Cultural Organization                             |





## **BACKGROUND**

### **United Nations Mandate UNDESA Role in Participatory Governance & Capacity Building**

- **Since 1945, in the United Nations Charter, Article 1 emphasized the role of the UN in strengthening nations: government officials, NGOs, people capacities for basic human rights. More specifically, the Agenda for Development agreed by the General Assembly on 1997 (A/RES/51/240) underscored the role of the United Nations in strengthening human resources capacities through advice and training.**
- **Within this context and, guided by the internationally agreed development goals including the Millennium Development Goals (MDGs) and other recommendations of the Global Conferences (Copenhagen, Rio, Beijing, Cancun, Johannesburg, Monterrey, etc.), the Department of Economic and Social Affairs (DESA) is a vital interface between global policies in the economic, social and environmental spheres and national actions.**
- **The Department works in three main interlinked areas:**
  - (i) **It compiles, generates and analyses a wide range of economic, social and environmental data and information on which Member States of the United Nations engage themselves to review common problems and to take stock of policy options;**



- (ii) It facilitates the negotiations of Member States in many intergovernmental bodies on joint courses of action to address ongoing or emerging global challenges; and**
- (iii) It advises interested Governments on the ways and means of translating policy frameworks developed in United Nations conferences and summits into programmes at the country level and, through technical assistance, helps build national capacities for efficient and transparent institutions through good participatory governance; promotes social inclusion and sustainable development, as well as mainstream gender issues and strengthens CSOs and NGOs.**
- In the DESA's Technical Cooperation Programme, emphasis has been placed on the linkage between policy coordination, analytical work and capacity building activities to advise and support countries in implementing development strategies consistent with global action plans on economic and social development. The aims include the following:**

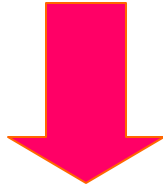
  - To build capacities to achieve the United Nations agreed policies and goals**
  - To link operational activities with analytical and normative ones**
  - To promote exchange of experiences and good practices**
  - To foster South-South cooperation**
  - To strengthen intra- and inter-regional cooperation**
  - To enhance collaboration among stakeholders, civil society/government engagement and civic engagement for social policies**
  - To enhance Partnership between governments, Civil Society, CSOs, NGOs, the private sector and the United Nations System**

- **To create a new image of the United Nations and promote its role and impact during the Third Millennium to better serve the Member States and the people in the most need on the earth**
- **DESA provides substantive support to the General Assembly, to the Economic and Social Council (ECOSOC), as well as to intergovernmental and expert bodies such as the Committee of Experts on Public Administration (CEPA) for coordinating responses to ongoing or emerging global challenges.**
- **In this context, SGMB/DPADM launched an innovative programme to help government develop processes and strategies to engage communities in public policies to contribute to the full implementation of the internationally agreed development goals including the MDGs for the people in the most need.**

## **WHY A TOOLKIT ON CIVIC ENGAGEMENT IN PUBLIC POLICIES?**

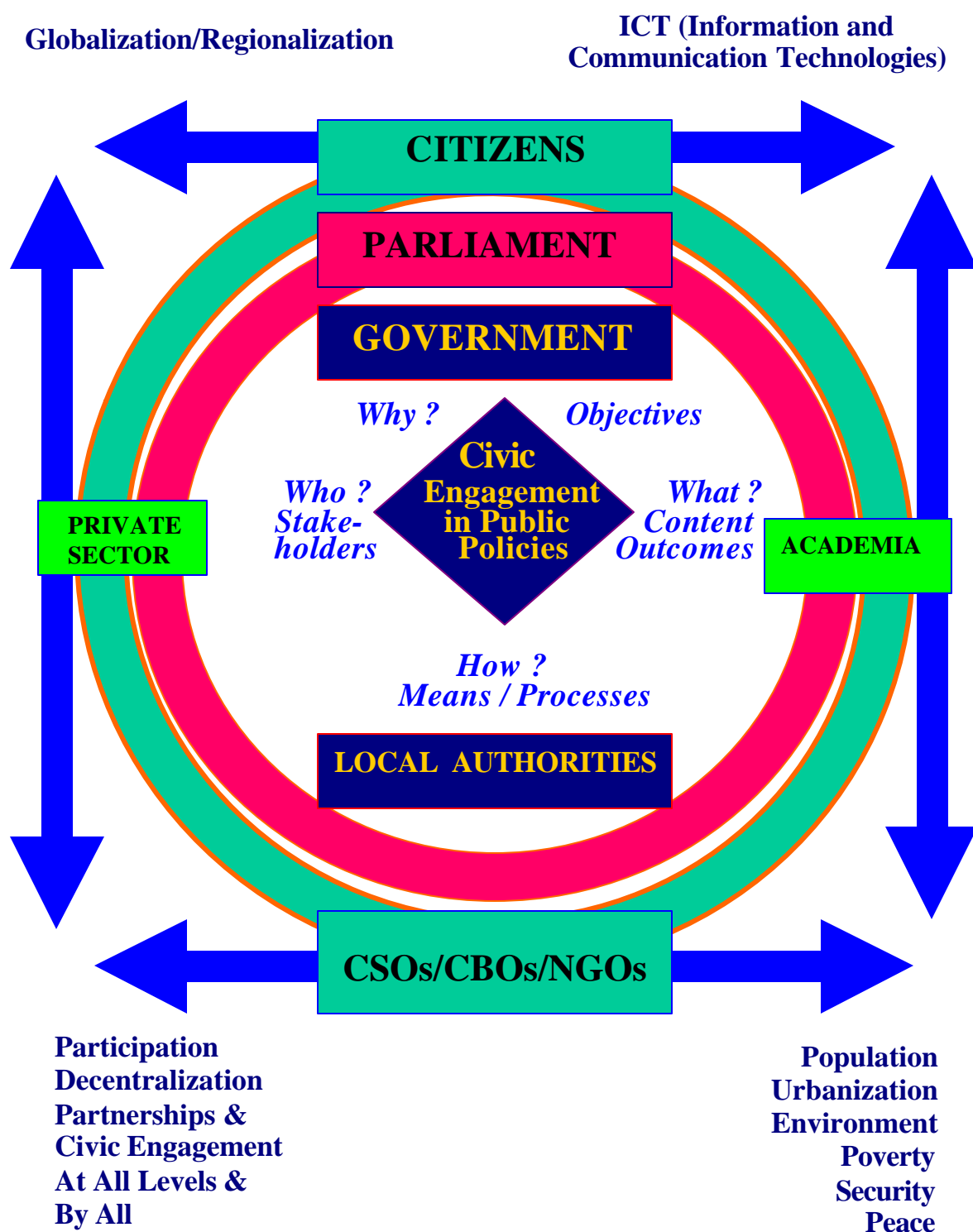
- **To ensure all actors/stakeholders have a correct and precise understanding of the principles, functioning and implementation of engaged governance and public policies**
- **To increase the level of participation of Member States, target groups, stakeholders and partners in engaged governance for public policies, pro-poor policies, social justice and equity; this has to take into account the main challenges of the Third millennium and especially: Globalization and ICT, as well as the country crucial issues to be addressed such as population, urbanization, environment, poverty, security and peace**
- **To strengthen the impact of public policies and support pro-poor development based on the principles of sustained economic growth, equity and social justice**
- **To efficiently and effectively contribute to the implementation of the internationally agreed development goals including the Millennium Development Goals (MDGs) at all levels (local, national, regional and international) for a better world for all**

**More specifically, the Toolkit will help Governments in cooperation with civil society and other stakeholders**



- **Introduce available innovative tools including processes, methods, mechanisms and Social Charters to Governments and civil society, and orient them on how to use them and adapt them to their local contexts**
- **Initiate, design, formulate, implement, evaluate and monitor capacity building programmes and processes to launch civil society/government engagement for public policies and the MDGs**
- **Assess the effect or/and the impact of such programmes on poverty alleviation, sustained economic growth and sustainable development, on MDGs' effective implementation as well as on durable peace and security for all and especially for the people in most need**

# CIVIC ENGAGEMENT IN PUBLIC POLICIES: General Framework



## ***The Toolkit in Civic Engagement has been designed to address:***

### ➤ **FOUR KEY TRENDS / CHALLENGES**

- Globalization/Regionalization
- Information and Communication Technologies (ICT)
- Sustainable Human Development / MDGs (Population /Urbanization/Environment/Poverty/Security/Peace )
- Democratization and Democracy (Participation/Decentralization/Partnerships and Engagements in Governance at All Levels)

### ➤ **THE CONTEXT**

- The International Environment ➡ Globalization
- The Regional Environment ➡ Regionalization
- The National Context ➡ The Country's Reality

### ➤ **THE INSTITUTIONAL FRAMEWORK OF CIVIC ENGAGEMENT: FOUR PILARS**

- Citizens/CSOs/CBOs/NGOs/Academia/Private Sector
- Parliament
- Government (at all levels: central, regional and local)
- Local Authorities

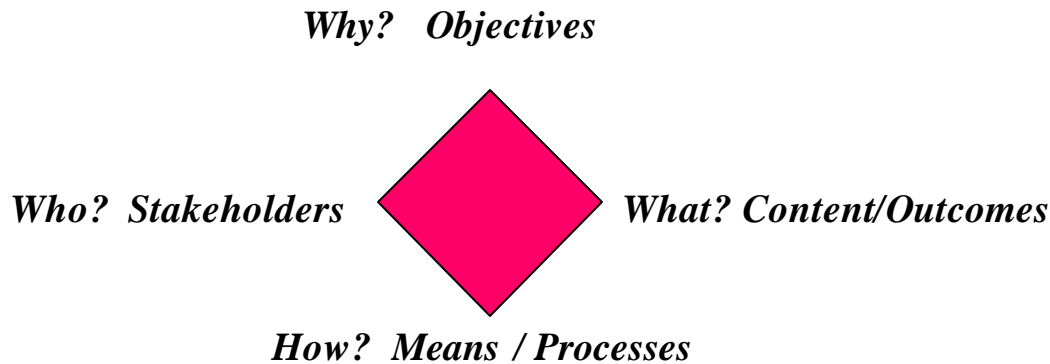
### ➤ **FOUR FUNDAMENTAL QUESTIONS OF ENGAGEMENT**

- Why? Objectives
- Who? Stakeholders
- What? Content/Outcomes
- How? Means (Methods and Processes for Citizen's Information, Consultation, Involvement and Active Participation; Mechanisms of Monitoring, Evaluation and Audit)

## WHAT IS THE TOOL KIT ?

- **A practical guide for Government, Civil Society and other stakeholders and partners, which may be easily adapted to the specific needs (political, administrative, technological and financial realities prevailing in each country and region), as well as to the different focus areas of engaged governance**
- **A document stressing the importance of having a harmonized approach and a logical framework for engaging community for pro-poor policies through information, consultation, brainstorming and action for cross fertilization and increased partnership among all stakeholders (Member States, NGOs, Civil Society, Citizens, Private Sector, International Community and the United Nations)**
- **A clear step by step approach and process about how to build and strengthen civil society/government dialoguing and partnership for pro-poor policies based on innovative techniques and methods developed, best practices experimented, activities implemented, inputs allocated, outputs and outcomes obtained, means provided, and lessons learnt in this field**

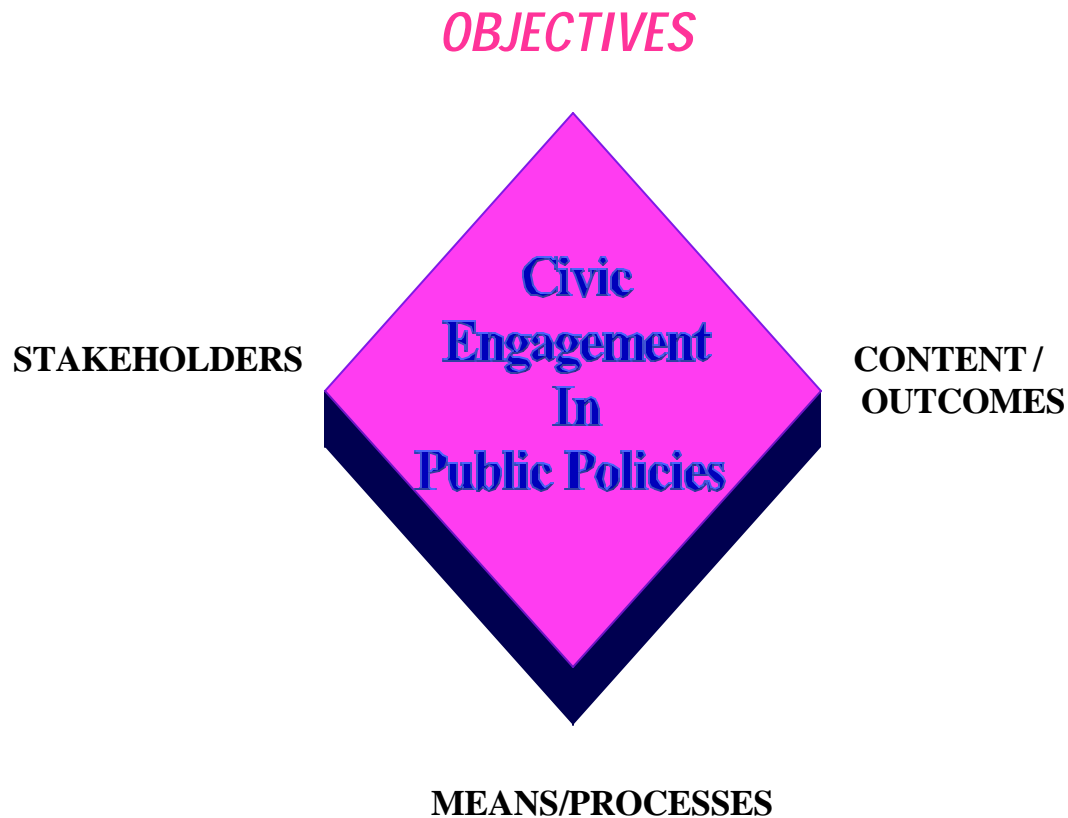
- **The Toolkit is presented according to the following framework:**



In other words, the Toolkit has to answer the following four major questions.

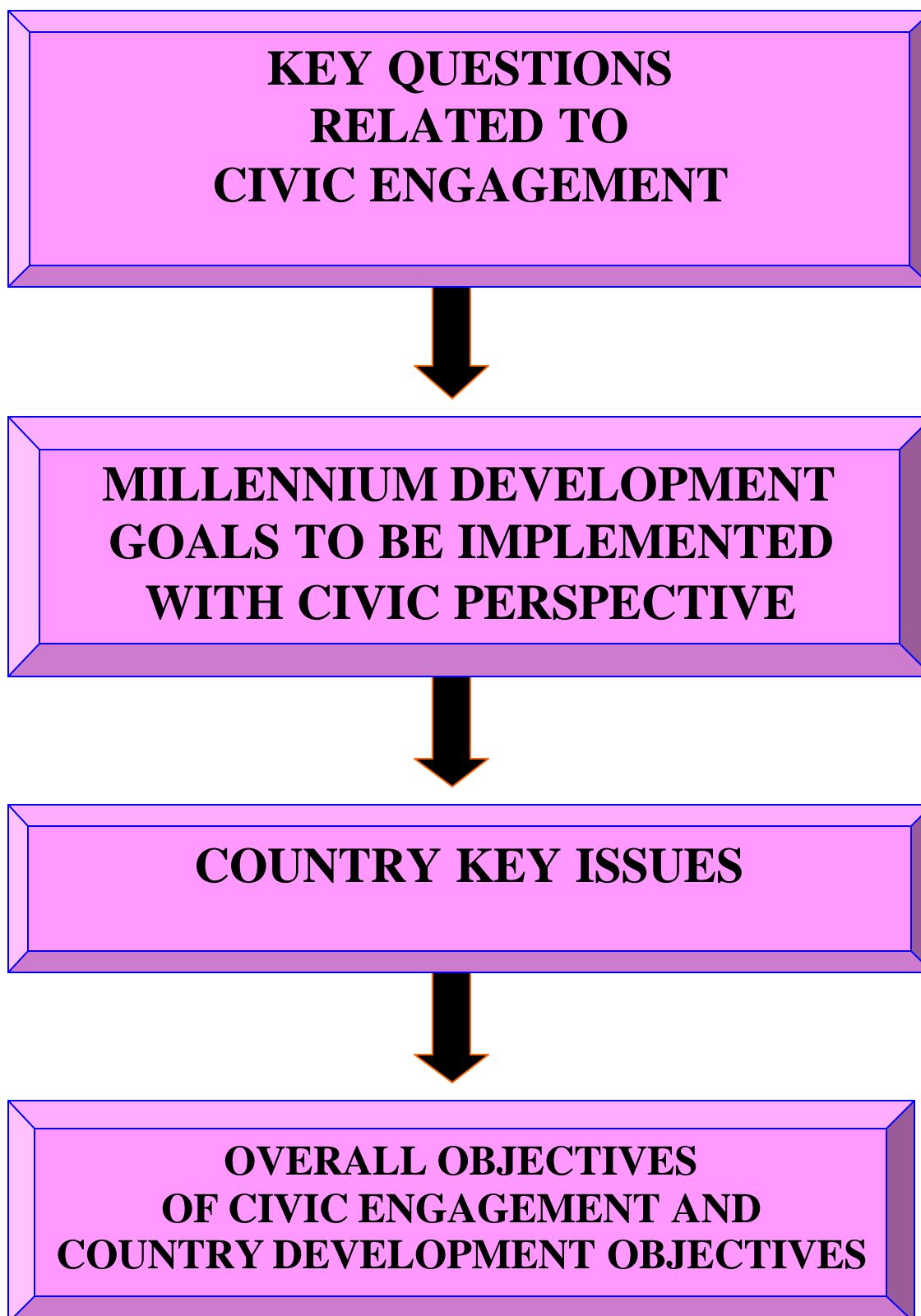
- Why do we need Civic Engagement for Pro-Poor Policies, Equity and Social Justice?
- Who are the main stakeholders involved? What is the role of each stakeholder?
- What are the content, outcomes and outputs?
- How should the Government engage the community (social mobilization, information, consultation, active participation and partnership)? How are activities organized, formulated and implemented? By which processes, mechanisms, methods and techniques? By which activities and inputs? How is the budget allocated? What are the timeframe & work programme? What is the accountability?





## **PART I**

# **WHY ? OBJECTIVES**



## **KEY QUESTIONS RELATED TO CIVIC ENGAGEMENT**

- **Why promoting civic engagement?**
- **What are the issues to be addressed?**
- **What type of processes to develop?**
- **Do we need to develop skills? In which fields?**
- **How will training be delivered (methodology: participatory, interactive, adult/experiential learning, etc.)? And for whom? (All stakeholders, Government officials, leaders, NGOs/CSOs, donors, partners, etc.)**
- **What is the planning process? (What are the steps? Needs assessment. Test and adjust it before conducting training.)**
- **Is evaluation necessary?**
- **What will be the direct effect and long-term impact?**
- **What will civic engagement achieve?**
- **What will civic engagement produce?**
- **What are the activities and resources needed?**
- **What are the external factors?**

## **MILLENNIUM DEVELOPMENT GOALS TO BE IMPLEMENTED WITH CIVIC PERSPECTIVE**

**MDGs : By 2015 all United Nations Member States have pledged to:**

### **I. Eradicate extreme poverty and hunger**

- Reduce by half the proportion of people living on less than one dollar a day
- Reduce by half the proportion of people who suffer from hunger

### **II. Achieve universal primary education**

- Ensure that all boys and girls complete a full course of primary schooling

### **III. Promote gender equality and empower women**

- Eliminate gender disparity in primary and secondary education preferably by 2005, and at all levels by 2015

## **IV. Reduce child mortality**

- **Reduce by two thirds the mortality rate among children under five**

## **V. Improve maternal health**

- **Reduce by three quarters the maternal mortality ratio**

## **VI. Combat HIV/AIDS, malaria and other diseases**

- **Halt and begin to reverse the spread of HIV/AIDS**
- **Halt and begin to reverse the incidence of malaria and other major diseases**

## **VII. Ensure environmental sustainability**

- **Integrate the principles of sustainable development into country policies and programmes; reverse loss of environmental resources**
- **Reduce by half the proportion of people without sustainable access to safe drinking water**
- **Achieve significant improvement in lives of at least 100 million slum-dwellers by 2020**

## VIII. Develop a global partnership for development

- Develop further an *open trading and financial system* that is rule-based, predictable and non-discriminatory. This includes a commitment to good governance, development and poverty reduction – nationally and internationally
- Address the *least developed countries' special needs*. This includes tariff- and quota-free access for their exports; enhanced debt relief for heavily indebted poor countries cancellation of official bilateral debt; and more generous official development assistance (ODA) for countries committed to poverty reduction
- Address the *special needs of landlocked and small island developing states*
- Deal *comprehensively with developing countries' debt problems* through national and international measures to make debt relief sustainable in the long term
- In cooperation with the developing countries, develop *decent and productive work for youth*
- In cooperation with pharmaceutical companies, provide *access to affordable essential drugs* in developing countries
- In cooperation with the private sector, make available the benefits of *new technologies* – especially information and communication technologies (ICTs)

## MILLENNIUM DEVELOPMENT GOALS TO BE IMPLEMENTED WITH CIVIC PERSPECTIVE



## **COUNTRY KEY ISSUES TO BE ADDRESSED WITH CIVIC PERSPECTIVE**

Each country has key issues that should be addressed through the development plans and within good participatory governance. For instance, in the Arab region in general, the **crucial issues** are mainly related to the following:

- Sustained economic growth
- Gender equality and women empowerment
- Security and peace
- Employment and job creation
- Social equity especially for disadvantaged groups (women, children, elderly, youth, disabled, etc.)
- Environmental sustainability
- Regional disparities
- Changes through globalization and safety net measures

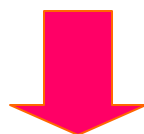
### **The main questions are:**

- How to link these issues with the MDGs and the other internationally agreed development goals?
- How to take full advantage of participation and civic engagement to address these issues in a sustained way?
- How to reflect these issues in the planning and budgeting process?
- How the country development objectives will effectively and efficiently address these issues?
- How to evaluate? How to monitor and how to audit?



## OVERALL OBJECTIVES OF CIVIC ENGAGEMENT AND COUNTRY DEVELOPMENT OBJECTIVES

- The overall objectives of civic engagement have to contribute to the national development strategy in the long run.
- They have to strengthen participatory processes to address people's needs.
- They should be used as the main point of reference.
- They should be achievable, measurable and focused.
- They represent a sufficient justification for engaged governance, civic engagement and for instance for a Citizen's Socio-Economic Charter (See Annexes 6 & 7).
- They should be expressed as an aim and not as a mean or a process.



## Development Objectives

### SAMPLES TO FOLLOW

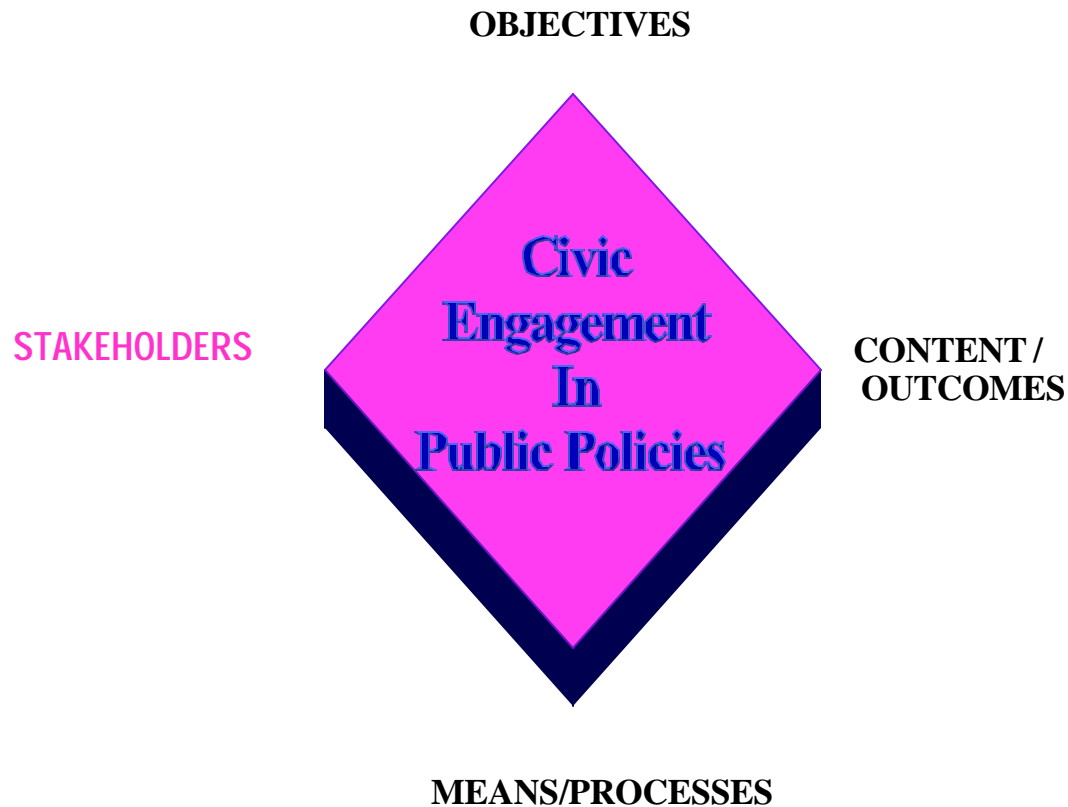
The development objective of the country could be for instance :

- For a project

“To raise awareness about participatory governance in region A to the same level as the rest of the country”

- For another project

“To develop gender sensitive budgeting, advocate and enhance all stakeholders' skills for its implementation at the country level to accomplish the MDGs”



## **PART II**

### **WHO ?**

## **STAKEHOLDERS**

**TARGET GROUPS**



**PARTNERS**



**ROLE OF THE PARTNERS**

## TARGET GROUPS

- **Political leaders**
- **Government officials**
- **Public servants**
- **Parliamentarians**
- **Local authorities**
- **Community leaders (traditional, religious, etc.)**
- **Civil society, NGOs/ CBOs and CSOs**
- **Academia, research and training institutes**
- **Private sector**
- **All citizens particularly the poor and disadvantaged**

**Relevant stakeholders include those:**

1. Who are affected by or could significantly affect a priority issue;
2. **Who possess information, resources and expertise** needed for strategy formulation and implementation; and
3. **Who control implementation instruments**

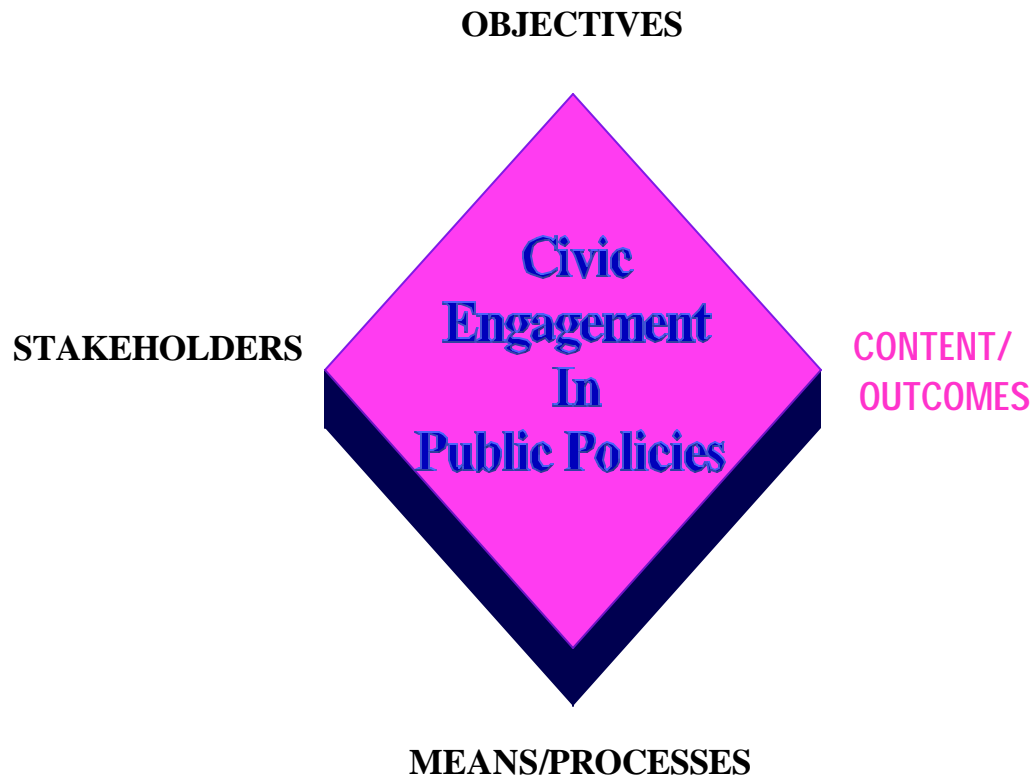
(See Annex 5 Stakeholder Analysis Table)

## **PARTNERS**

- **Governments**
- **NGOs / CSOs / the non-profit sector, trade-unions & Civil Society in general**
- **Academia**
- **Donor community**
- **Multilateral agencies**
- **United Nations system agencies**
- **Regional Commissions**
- **Regional and sub-regional organizations**
- **Research and training institutes**
- **Private sector**
- **People**

## ROLE OF THE PARTNERS

| <b>PARTNERS</b>  | <b>ROLE</b>  |
|--|--|
| <b>GOVERNMENT AGENCIES</b>                                 | <b>Direction, guidance and leadership</b><br><b>Enabling environment for participation</b><br><b>National and local support</b><br><b>Partnership</b><br><b>Transparency</b><br><b>Accountability</b>  |
| <b>NGOs / CSOs/ CIVIL SOCIETY</b>                          | <b>People/Citizens' representation</b><br><b>Social dimension and participation</b><br><b>Accountability</b><br><b>Implementation capabilities</b><br><b>Participatory monitoring</b><br><b>Participatory budgeting</b><br><b>Participatory auditing</b> |
| <b>ACADEMIA</b>  | <b>Research support and partnership</b><br><b>Validation of methods and results</b>  |
| <b>PRIVATE SECTOR</b>                                      | <b>Growth strategysupport</b><br><b>Investment</b>   |
| <b>BI-LATERALS</b>   | <b>Technical support and partnership</b><br><b>Source of funding</b>   |
| <b>MULTI-LATERALS</b>                                      | <b>Technical support and p artnership</b><br><b>Source of funding</b>  |
| <b>UNITED NATIONS SECRETARIAT AND REGIONAL COMMISSIONS</b> | <b>Multi-sectoral dimension</b><br><b>Policy and mandate</b><br><b>Substantive, operational and administrative support</b>   |
| <b>UNITED NATIONS AGENCIES</b>                             | <b>Technical specialized support</b><br><b>Execution and implementation capabilities</b><br><b>Representation and linkages at country level</b><br><b>Funds</b>  |



## **PART III**

# **WHAT ? CONTENT OUTCOMES**

**WHAT IS ENGAGED GOVERNANCE ?  
COMMUNITY ENGAGEMENT ?  
CIVIC ENGAGEMENT ?**



**WHAT ARE PUBLIC POLICIES ?  
PRO-POOR POLICY ?  
SOCIAL JUSTICE ? EQUITY ?**



**WHAT IS CIVIC ENGAGEMENT  
IN PUBLIC POLICIES ?**





**WHAT IS ENGAGED GOVERNANCE ?  
COMMUNITY ENGAGEMENT ?  
CIVIC ENGAGEMENT ?**

**A. Engaged Governance: A New Concept**

1. *The process and form of public management to forge partnerships with NGOs, civil society organizations, business communities, trade unions and so forth to ensure multi-stakeholders discussions and debate in policy formulation and in the implementation of pro-poor development strategies. A “core theme” of the United Nations Online Network in Public Administration and Finance (UNPAN), in which context “engaged governance” was described as involving “linking social capital (See the definition in Annex) to policy planning”, “strengthening dialogue between citizens and Governments”.*

Source 1: <http://www.unpan.org/corethemes.asp>

Source 2 : [http://www.unpan.org/directory/conference/guest/browseoneconference.asp?conference\\_id=1607](http://www.unpan.org/directory/conference/guest/browseoneconference.asp?conference_id=1607)

2. “The ‘engaged governance’ concept– a term introduced by UNDESA – is being advanced as a *normative rather than ad hoc approach to mainstream citizens at all levels of governance, legislative, as well as executive*, to ensure inclusiveness in decision-making and to support the implementation of the MDGs in an accountable manner”.
3. “Engaged Governance” is defined as *an institutional arrangement that links citizens more directly into the decision-making processes of a State so as to enable them to influence the public policies and programmes in a manner that impacts more positively on their social and economic lives.*

As a governance norm, the concept of “engaged governance” is yet to be fully realized within the existing political culture of most countries. Some argue that government-citizen engagement is fundamentally a political activity and therefore, introduction of an “engaged governance” approach in a society needs a strong normative element as a starting point that includes, at its core, the democratic ideals of political equality and the public good (Guthrie, 2003).

This approach affords citizens equal participation in a representative democracy and provides opportunities to shape the public interest. **“As an approach, engaged governance is expected to enable the expression and co-ordination of political, administrative and civic interests for the achievement of policy coherence, social justice, equity and sustainable development”.**

Source: <http://unpan1.un.org/intradoc/groups/public/Documents/un/unpan021928.pdf>

## **B. Community Engagement**

1. “Community engagement is considered to be a function of the government and their relationship with citizens: ***Community engagement commonly refers to the many ways in which governments connect with citizens and stakeholders in the development and implementation of policies, programmes and services***”.

Source: **A voice for All: Strengthening Democracy: Western Australian Citizenship Strategy 2004-2009** at: <http://tinyurl.com/k54gc>

3. “Around the world greater engagement of citizens, clients, consumers and communities is becoming a feature of many governments and both public and private organizations. ***People are expecting to be able to be involved and to have a say in the business of government and in the decisions of organizations that affect their interests***. Many are concerned about *low levels of knowledge and the poor relations with communities that reduce the trust in public and private institutions.*

This, in turn, impedes effective decision-making and the achievement of social and economic development and environmental sustainability outcomes”.

Source: <http://www.engagingcommunities2005.org/home.html>

3. The term is sometimes applied by businesses or institutions to their corporate social responsibility activities or their interactions with the community in which they are located.

### **C. Civic Engagement**

*“Individual and collective actions designed to identify and address issues of public concern”.*

**“Civic engagement can take *many forms*, from individual volunteerism to organizational involvement to electoral participation”.**

**“It can include efforts to directly address an issue, work with others in a community to solve a problem or interact with the institutions of representative democracy”.**

Source: <http://www.actionforchange.org/dialogues/civic-engagement.html>

**It is important to create opportunity:**

- **To open dialogue and encourage the development and maintenance of productive relationships between governments and citizens (considered as clients) and other stakeholders.**

**WHAT ARE PUBLIC POLICIES ?  
PRO-POOR POLICY ?  
SOCIAL JUSTICE ? EQUITY ?**

**A. Public Policies**

1. A term used to describe *the laws, decisions, regulations, etc. of a governmental body*. A government's public policy is **the set of policies (laws, plans, actions, behaviors) that it chooses**. Since governments claim authority and responsibility (to varying degrees) over a large group of individuals, they see fit to establish plans and methods of action that will govern that society.
2. *There is a “lack of a consensus definition of public policy”*.  
Source: *Thomas A. Birkland's Book “An Introduction to the Policy Process”*
3. “The term ‘public policy’ always refers to **the actions of government and the intentions that determine those actions.**”  
Public policy is “**the outcome of the struggle in government over who gets what**”.  
Source: *Clarke E. Cochran, et al*
4. Public policy is “**Whatever governments choose to do or not do**”. Source: *Thomas Dye*
5. “Public policy consists of **political decisions for implementing programmes to achieve societal goals**”.  
Source: *Charles L. Cochran and Eloise F. Malone*
6. Public policy is “**the sum of government activities, whether acting directly or through agents, as it has an influence on the life of citizens**”. Source: *B. Guy Peters*

**Common traits of all definitions of Public Policy**

- The policy is made in the “public's” name
- Policy is generally made or initiated by government
- Policy is interpreted and implemented by public and private actors
- Policy is what the government intends to do
- Policy is what the government chooses not to do

Source: *Thomas A. Birkland's Book*

## 7. Other Definitions

The field of public policy involves *the study of specific policy problems and governmental responses to them*. Political scientists involved in the study of public policy attempt to devise solutions for problems of public concern. Source: [Encarta definition of political science](#)

Policy is defined as:

- *Definite course or method of action selected from among alternatives and in light of given conditions to guide and determine present and future decisions.*
- *A high-level overall plan embracing the general goals and acceptable procedures especially of a governmental body.*

Source: [Merriam-Webster online dictionary](#)

Source: <http://www.answers.com/topic/public-policy>

## B. Social Policy

It relates to guidelines for the changing, maintenance or creation of living conditions that are conducive to human welfare. Thus **social policy is that part of public policy that has to do with social issues such as public access to social programmes**. In an academic environment, social policy refers to the study of the **welfare state** and the range of **responses to social need**.

Source: [http://en.wikipedia.org/wiki/Social\\_policy](http://en.wikipedia.org/wiki/Social_policy)

## C. Pro-Poor Policy

The United Nations' Millennium Declaration places poverty reduction at the center of the development process. It is, therefore, essential *to search for national development strategies that achieve secure, sustainable and equitable human development and that empower people.*

In the Millennium Declaration adopted by the General Assembly of the United Nations in 2000, more than 190 heads of state or government pledged their commitment to achieving the Millennium Development Goals (MDGs).

First among these goals is *reducing the incidence of global poverty by half (compared to the 1990 level) by the year 2015.* Other goals such as the elimination of hunger, universal access to primary education, mortality reduction, and gender equality, all essentially support the goal of reducing poverty.

Source: <http://www.un.org.pk/undp/sl/pro-poor-policies-for-karachi-university-hp-news.doc>

## D. Social Justice

It is distinct from justice as applied in the law — state-administered systems which label behavior as unacceptable, enforce a formal mechanism of control, and may produce results that do not match the philosophical definitions of *social justice* — and from more informal concepts of justice embedded in systems of public policy and morality, which differ among cultures and therefore lack universality.

**Social justice** is also used to refer to the **overall fairness of a society in its divisions and distributions of rewards and burdens** and, as such, the phrase has been adopted by political parties with a **redistributive agenda**.

Source: [http://en.wikipedia.org/wiki/Social\\_justice](http://en.wikipedia.org/wiki/Social_justice)

## E. Equity

1. “**Equity**” is the concept of idea of fairness or justice in economics, particularly in terms of taxation and welfare economics.

**Horizontal equity** is the idea that people with a similar ability to pay taxes should pay the same or similar amounts. It is related to the concept of “tax neutrality” or the idea that the tax system should not discriminate between similar things or people, or unduly distort behavior.

**Vertical equity** is the idea that people with a greater ability to pay taxes should pay more. If they pay more strictly in proportion to their income, this is known as a “**proportional tax**” or “**flat tax**”; if they pay disproportionately more then this is a **progressive tax**, more associated with **redistribution**.

### 2. In a health care context

**Horizontal equity** means treating the same those who are in the same situation (such as having the same 'need').

**Vertical equity** means treating differently those who are in different situations (such as having different “need”) (Culyer, 1995).

**Health studies of equity seek to identify whether particular social groups receive systematically different levels of care to other groups.**

## F. Equality

1. “**Equalism**” is a name often given to forms of *egalitarianism* (advocacy of equality) concerned with issues of *gender* or *race*. Thus, equalism is another name for “gender egalitarianism”, “sexual egalitarianism” and/or “racial egalitarianism”.

Central to equalism is the belief that society must be color-blind and sex/gender-blind.

## 2. Racial equality

Equalists often differ with mainstream “leftists” in condemning alleged discriminatory elements of “Affirmative Action” (or Positive Discrimination), as well as elements of Substantial Equality aiming at equality of outcome.

Source: <http://en.wikipedia.org/wiki/Equity>

## G. Gender equality

1. Equalists generally believe that most branches of *feminism* have abandoned notions of equality, and instead focus only on females’ rights, to the exclusion of the rights of other sexes/genders. *Equalists seek to promote the rights of females, males, and atypical gender identities everything in between.*

2. “Gender equity”, “gender equality”, “sexual equality”, or “gender egalitarianism” is the belief in the equality of the gender or the sexes. Many followers of this philosophy would like to see this term come to replace “feminism” or “masculism”, when used to describe a belief in basic equal rights and opportunities for members of both sexes within legal, social, or corporate establishments. They strive for ultimate fairness, and seek cooperative solutions so as to make things better for both: males, females and everything in between. While they may share a number of critiques and analyses with self-described feminists and/or masculists, they feel that “egalitarianism” is a better word for a belief in “equality” than any word that focuses on one of the genders.

Source: <http://en.wikipedia.org/wiki/Equity>

3. For the United Nations, “gender equality” refers to the *equal rights, responsibilities and opportunities of women and men and girls and boys*. Equality does not mean that women and men will become the same but that women’s and men’s rights, responsibilities and opportunities will not depend on whether they are born male or female. *Gender equality implies that the interests, needs and priorities of both women and men are taken into consideration – recognizing the diversity of different groups of women and men.* Source: [http://iseek/webpgdept363\\_9.asp](http://iseek/webpgdept363_9.asp)

(See Annex 1 for more definition on governance, participatory governance and social capital)



## WHAT IS CIVIC ENGAGEMENT IN PUBLIC POLICIES ?

**Civic engagement in public policies means the involvement and participation of citizens in decision-making policies through different processes, mechanisms and techniques.**

### **A. PARTICIPATION: 3 MAIN LEVELS**

#### **a. Information**

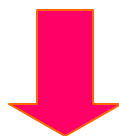
It is a one-way relationship in which government disseminates information to citizens and clients .

#### **b. Consultation (also called “Opportunistic Participation”)**

It is a two-way relationship in which **government seeks and receives the views of citizens, clients or communities** on policies, programmes or services that affect them directly or in which they may have a significant access but without the government obligation to incorporate the inputs received.

#### **c. Active Participation (also called “Normative Participation”)**

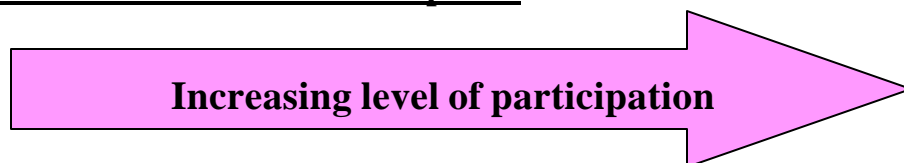
It recognizes and acknowledges **a role for citizens and clients in proposing and/or shaping policy and programme dialogue, design, formulation and implementation, and service options.**



**Each of the levels of engagement is appropriate in particular circumstances to achieve particular outcomes.**

**The effectiveness of government information sharing and information sharing process should be evaluated with opportunities for citizens and clients to provide feedback.**

**A Detailed Model of Public Participation**



| <b>INFORM</b>  | <b>CONSULT</b>  | <b>INVOLVE</b>   | <b>COLLABORATE</b>   | <b>EMPOWER</b>   |
|--|---|--|--|--|
| <b>Objective</b>   | <b>Objective</b>  | <b>Objective</b>   | <b>Objective</b>   | <b>Objective</b>   |
| To provide the public with balanced and objective information to assist them in understanding the problem, alternatives, and/or solutions. | To obtain public feedback on analysis, alternatives and/or decisions.   | To work directly with the public throughout the process to ensure that public issues and concerns are consistently understood and considered.  | To partner with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution.                            | To place final decision making in the hands of the public.   |
| <b>Promise to the Public</b>   | <b>Promise to the Public</b>  | <b>Promise to the Public</b>   | <b>Promise to the Public</b>   | <b>Promise to the Public</b>   |
| We will keep you informed.   | We will keep you informed, listen to and acknowledge concerns, and provide feedback on how public input influenced the decision.          | We will work with you to ensure that your concerns and issues are directly reflected in the alternatives developed and provide feedback on how public input influenced the decision. | We will look to you for direct advice and innovation in formulating solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible. | We will implement what you decide.   |
| <b>Example Tools</b>   | <b>Example Tools</b>  | <b>Example Tools</b>   | <b>Example Tools</b>   | <b>Example Tools</b>   |
| <ul style="list-style-type: none"> <li>- Fact Sheets</li> <li>- Web Sites</li> <li>- Open Houses</li> </ul>                                | <ul style="list-style-type: none"> <li>- Public Comments</li> <li>- Focus Groups</li> <li>- Surveys</li> <li>- Public Meetings</li> </ul> | <ul style="list-style-type: none"> <li>- Workshops</li> <li>- Deliberative Polling</li> </ul>  | <ul style="list-style-type: none"> <li>- Citizen Advisory Committees</li> <li>- Consensus-building</li> <li>- Participatory Decision Making</li> </ul>                           | <ul style="list-style-type: none"> <li>- Citizens' Juries</li> <li>- Ballots</li> <li>- Delegated Decisions</li> </ul> |

Source: **International Association of Public Participation (IAP2) 2000.**

## **WHAT IS CIVIC ENGAGEMENT IN PUBLIC POLICIES (CONTINUED)?**

### **B. PARTICIPATION: SEVERAL PHASES**

**Parties to Be Involved in All Phases:  
Government - Civil Society - Private Sector**

#### **Phase 1: Designing and planning the engagement process:**

1. To identify the issues to be addressed
2. To clarify and decide on the engagement objectives
3. To decide on the desired levels of engagement
4. To decide on the stakeholders to be involved

#### **Phase 2: Mobilizing stakeholders and profiling issues**

1. A profile can be country or locality-wide and theme focused, issue specific, and/or area specific.
2. Profiling in a participatory process relies upon the full involvement of stakeholders, for providing information, interpreting data and information, relating it to their own experience and perceptions and building consensus on conclusions.

#### **Phase 3: Prioritizing issues and reaching stakeholder commitment**

##### **1. Elaborating issues through “Proposition Papers”**

These papers should be carefully structured and highly focused to:

- Highlight issues
- Show how they are manifested and perceived
- Illustrate the variety of ways in which such issues have been or could be addressed

- Set the stage for an informed and constructive debate

## 2. Building collaboration and forging consensus

Structured and professionally facilitated consultations could bring together key stakeholders to:

- Further identify, review and expand the issues agreed upon to be of priority concern
- Mobilize additional actors at different levels and select a methodology to involve them through cross-sectoral working groups
- Agree on mechanisms to strengthen institutional coordination
- Mobilize socio-political support to obtain the required commitment for cross-sectoral working groups effectiveness with institutional coordination mechanisms

## 3. Formalizing commitment on ways forward

Sample: “**Urban Pacts**” are negotiated and signed by partner groups to formalize the results of City Consultations and publicly commit participants to the agreed outcomes.

## Phase 4: Formulating public policies, plans, programmes and projects

1. **Clarification, Consensus and Prioritization of Issues** to formulate **Priority Strategies**
2. **Spatial, economic and social Analysis** allows **Working Groups** to review and assess **Strategic Options** and converge to a **Consensus** on the **Strategic Vision** to be pursued.

### **Practical Examples:**

- *Participatory Budgeting (Annexes 8 & 9)*
- *Civic engagement in policy development at the Local level: Practical Steps (Annex 10)*

## **Phase 5: Implementing public policies, plans, programmes and projects**

- **Negotiating and adopting action plans:** To implement the agreed strategies, Working Groups develop Action Plans. Action plans must be based on clear and specific commitments by each actor to undertake specific actions at **agreed times** and with the use of **agreed resources** (financial, human and others). **Such action plans will be implemented more successfully than sector top-down implementation plans.**
- **Designing and implementing demonstration projects:** Small-scale, local-oriented capital investment or technical assistance projects, designed to “**demonstrate**” a **new approach**, can be developed and implemented rapidly.

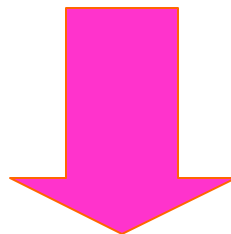
They provide the opportunity for **testing ideas** coming out of the Working Groups, **stimulating stakeholder participation** and **commitment** and **showing visible results**.

- **Integrating project and plans into strategic approaches:** **Strategy Review Workshops** (a small consultation event) integrate strategies, action plans and demonstration-project results into **local government executive and/or legislative resolutions and budgets**.
- **Implementation of action plans:** Action plans developed and agreed upon are implemented with full involvement of all the stakeholders.

*Utilizing knowledge, energy and resources of all the stakeholders increases effectiveness and performance*

## **Phase 6: Monitoring and evaluation process**

- 1. Monitoring and evaluation:** A flow of systematic information feedback allows appropriate adjustments to be made continuously during implementation. The lessons of institutional and managerial experience can be captured and synthesized providing the basis for replicating projects on a larger and wider scale.
- 2. Up-scaling and replication:** To build on what has been done to extend it more widely and at a bigger scale.
- 3. Institutionalization:** It is the long-term process of changing the ways in which things are done, of “building in” the new participatory process into the procedures, ideas and practices of local stakeholders and institutions until it becomes routine.



**Institutionalization is a long term effort that links monitoring and evaluation and the capturing of lessons of experience with replication and up-scaling of activities and institutional consolidation of the over-all process.**

## **Phase 7: Capacity-building**

As efforts aiming **to develop human skills or societal infrastructures** within a community or organization, capacity building is needed to reduce the level of risk.

In extended understanding, capacity building also includes development of institutional, financial, political and other resources, such as technology at different levels and sectors of the society.

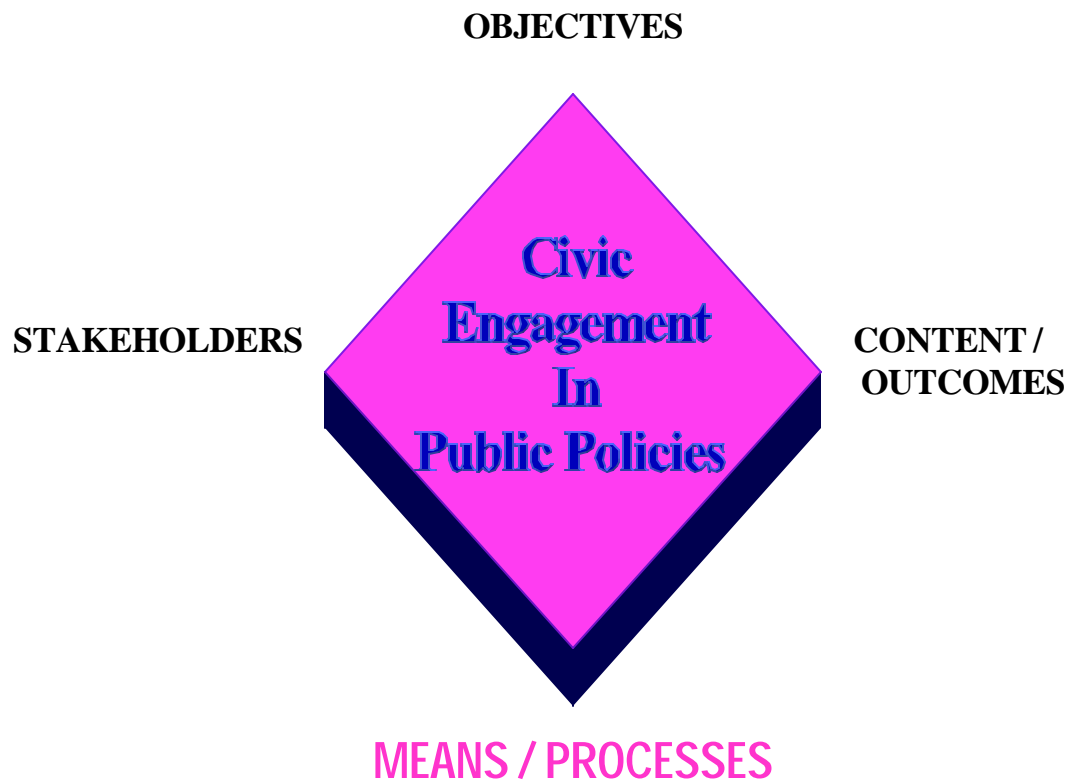
Source: [www.unisdr.org/eng/library/lib-terminology-eng%20home.htm](http://www.unisdr.org/eng/library/lib-terminology-eng%20home.htm)

Capacity building workshops, seminars and training programmes and activities (including on-the-job and on-the-spot training and distance learning) should be developed and implemented **to strengthen the capacity in civic engagement of all stakeholders** (Government, Local Authorities, Parliament, Civil Society, CSOs, CBOs, NGOs, Business Community, Public and Private Sectors, Media, Academia, etc.), **at all levels** (international, regional, national, sub-regional and local)

### **It is important to create opportunity:**

- **To share innovative experiences and best practices, theories and philosophies from around the world**
- **To support training, enhance capacity building and networking, and**
- **To develop effective and result-oriented Partnerships of All and for All and especially for the people in the most need**

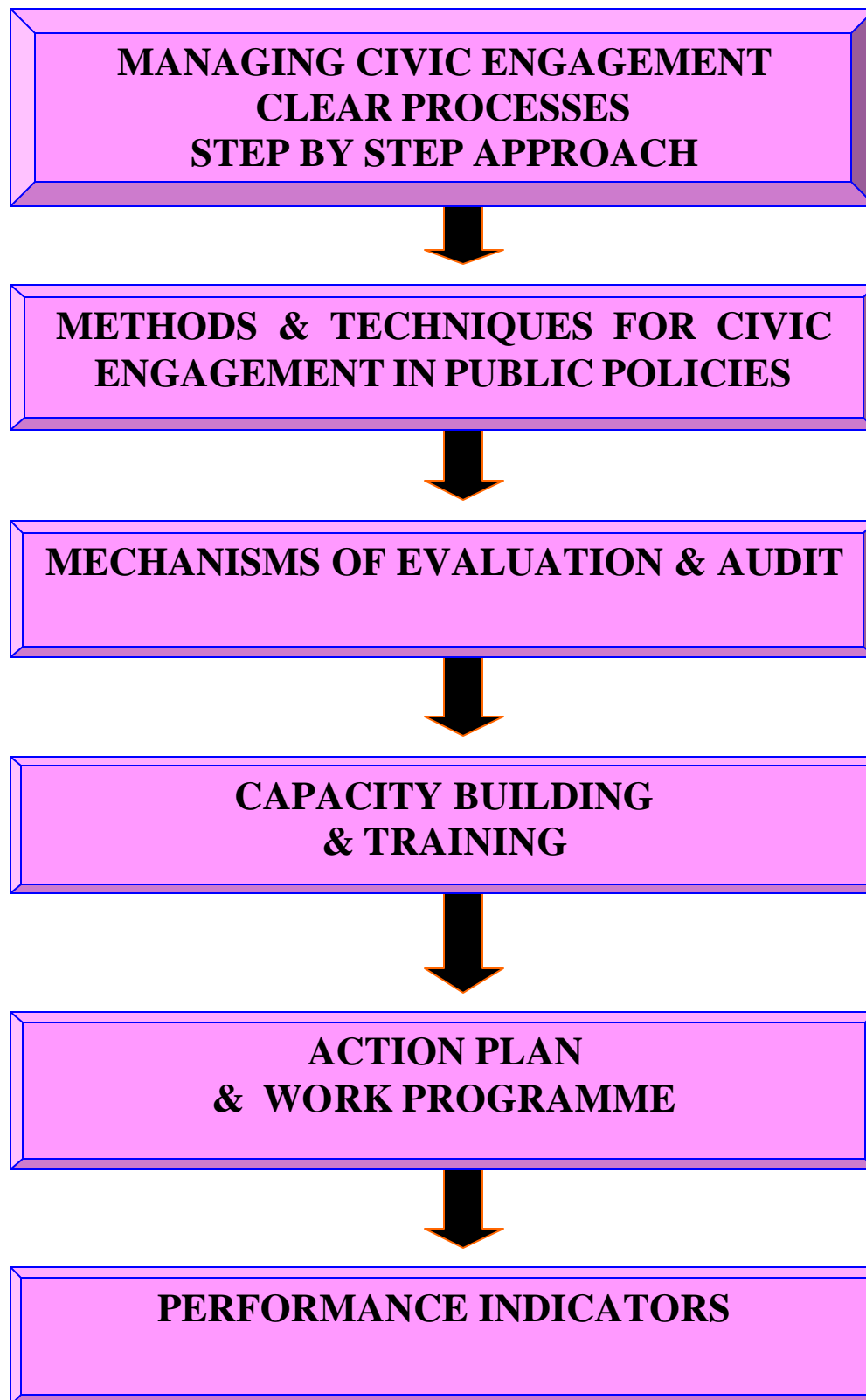
**(See Annex 12: Civic Engagement Success Story in Mauritania)**



## **PART IV**

# **HOW ? MEANS / PROCESSES**





## **MANAGING CIVIC ENGAGEMENT CLEAR PROCESSES: STEP BY STEP APPROACH**

**Planning and implementing any engagement process requires the following:**

- **To decide on the level of engagement (information, consultation, active participation) based on the issues to be addressed and the objectives to be reached**
- **To decide on the stakeholders to be involved**
- **To start with and rely on social mobilization at all levels (country, sub region, locality, urban, rural, grassroots)**
- **To set up clear objectives at long, medium and short term for civic engagement and participation at all levels and with all**
- **To establish clear procedures and processes based on the country specific context, objectives and needs assessment studies**
- **To select and adopt adapted methods for each level of engagement: information, consultation and active participation**

- To prepare practical arrangements for capacity building and training programmes and activities for all
- To secure the means and the budget
- To implement the activities
- To evaluate the work accomplished and results
- To draw up the lessons learned
- To report, ask for feedback and propose to improve the process
- To promote multistakeholders' follow-up and partnership activities, projects and programmes
- To share positive and negative experiences: Website, newsletters, CDs, publications, etc.

**The first steps of planning any engagement process are:**

1. to decide on the desired levels of engagement
2. to clarify the engagement objectives
3. to decide on the stakeholders to be involved
4. to decide on the issues to be addressed

**Involving stakeholders in the planning stage will help create a sense of ownership of the issue and enable clients, citizens, communities and government to work together to determine the most appropriate approach to engagement**

Source: "Engaging Queenslanders: Community engagement in the business of government" [www.getinvolved.qld.gov.au](http://www.getinvolved.qld.gov.au)

## **METHODS AND TECHNIQUES FOR CIVIC ENGAGEMENT IN PUBLIC POLICIES**

### ➤ **Choosing engagement methods and techniques**

**Three kinds of issues should be considered in choosing and deciding on engagement methods and techniques to use :**

1. **Government or agency issues:** Issues related to engagement goals and objectives, target groups, general context, political environment, capacity to influence, legislative environment, policy and planning cycles, resources
2. **Community/people issues:** Issues related to demographic features, preferences for engagement, previous experiences with government engagement, capacity for engagement, existing engagement structures (networks, committees, etc. : professional, religious, ethnics, sporting, others) and processes
3. **Process issues:** They should be based on the following guiding principles:

#### **GUIDING PRINCIPLES**

**Inclusiveness - Reaching Out - Mutual Respect  
Integrity - Diversity - Adding Value (Capacity Building, Trust, Outcome Sustainability, etc.)**

## ➤ **Information sharing techniques**

**A comprehensive information strategy should be set up before initiating any information provision or information sharing process.**

**To quickly inform a community or the citizens of a specific topic alerting them of appropriate behavioral change, three main questions should be considered:**

- 1. What is the key message to be delivered?**
- 2. Why is this information important to the target group?**
- 3. Why is it important to government that this information be provided?**

- **Several techniques are available for information sharing**
- **Each Technique has Strengths / Weaknesses and Cost**
- **Choice has to consider first the expected Engagement Goals**

**The main techniques used for information sharing are as follows:**

- **Advertising**
- **Online information processes**
- **Briefings**
- **Education and awareness programmes**
- **Fact sheets**
- **Newsletters**
- **Media stories**

- News conferences
- Telephone hotline
- Displays
- Newspapers inserts
- Community fairs or events
- Community meetings
- Shop fronts
- Informal club forums
- Etc.

## ➤ Consultation techniques

*Consultation can occur at various points in the process planning or developing policies, programmes or services:*

1. It can be used to help identify and frame or assess options.
2. It can be used to evaluate existing policies, programmes or services.

**The main techniques used are as follows:**

- Discussion groups and workshops
- One-on-one interviews
- Open days
- Polls
- Road shows
- Survey research
- Web-based consultation (interactive websites, internet surveys, discussion boards and listserves, email feedback, internet based forums, online chat events)

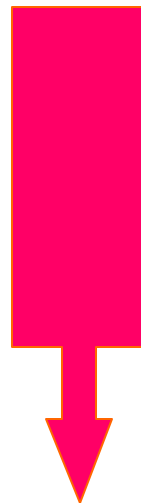
## ➤ Active participation techniques

To increase inclusiveness of citizen opinions, values and expertise in government policies and decision making, it is necessary:

- To move beyond information sharing and consultation
- To more actively involve citizens and communities in planning, programming, budgeting, evaluating and auditing

Participation is achieved through a range of deliberative techniques such as:

- Citizens' juries
- Citizens' panels
- Charrettes
- Advisory committees
- Deliberative retreats
- Drama workshops
- Search conferences
- Negotiation tables
- Steering committees
- Reference groups



Such processes effectively engage people in active partnership and/or co-production with government.

For more details and explanations, Please also refer to Engaging Queenslanders: Community engagement in the business of government (2003); Engaging Queenslanders: A guide to community engagement methods and techniques (2004), and visit: [www.getinvolved.qld.gov.au](http://www.getinvolved.qld.gov.au)

Also see Annex 11: Tools to support Participatory Urban Poverty Policy-Making

## METHODS & TECHNIQUES FOR IMPLEMENTATION - FOLLOW-UP

### ➤ Implementation Definition

1. In **engineering** and **computer science**, an **implementation** is the practical **application of a methodology to fulfill a desired purpose**. For example, one might create a computer programme that sorts a list of numbers in ascending order. To do so, one would *implement* a known method of sorting.
2. In **political science**, implementation refers to the **carrying out of public policy**. Legislatures pass laws that are then carried out by public servants working in bureaucratic agencies. This process consists of **rule-making, rule-administration and rule-adjudication**. Factors impacting implementation include the legislative intent, the administrative capacity of the implementing bureaucracy, interest group activity and opposition, and presidential or executive support.

Source: <http://en.wikipedia.org/wiki/Implementation>

3. In **civic engagement**, implementation means:
  - **Engaging in joint activities**
  - **Planning and doing**
  - **Creating artifacts**
  - **Adapting to changing circumstances**
  - **Renewing interest, commitment, relationships**
  - **Enhancing networking**
  - **Building and strengthening multistakeholders partnerships**



➤ **A decision/plan/programme/project is normally implemented through a series of activities**

- Activity is an action, which is required to transform the inputs into planned outputs within a precise period of time.
- All activities necessary to produce the expected outputs should be included.
- Only activities to be performed by the project should be included.
- All activities should contribute directly to the output level.
- Activities should be stated in terms of actions being undertaken rather than completed outputs.
- The time available for each activity should be realistic.
- Activities should be realistic, feasible and acceptable in terms of economic, social and moral grounds.

**SAMPLE**

- Preparation of the background documents for increasing awareness in civic engagement
- Organization of a training session in social mobilization
- Elaboration of practical examples for the implementation of people budgeting and auditing

➤ **Feedback and Follow-up**

**Feedback and Follow-up are relevant elements of an engagement process**

- Participants are often interested in receiving a summary of all the information generated through an engagement process.
- Participants would like to know how this information is being considered.

- **Without Feedback, citizens and stakeholders** may assume public officials **were not listening**. They may **not know** whether their contribution has made a difference.

**Result:** *Reluctance to participate in future Engagement processes*

- Providing **feedback** to those who have participated in an engagement process, allows them **to see whether their views have been properly considered when decisions are being made**.
- Sharing summary materials across groups is often an effective way of **raising awareness**.

**Feedback to participants and interested people in a particular issue can enhance the LEGITIMACY and QUALITY of decisions by ensuring that they are subject to a robust and effective public scrutiny.**

**Ongoing Feedback will:**

- Encourage **continuing participation**
- Clarify whether **community issues have been accurately understood**
- Find out whether the original government/community **goals and objectives are being met**
- **Assess the ownership and effectiveness** of the engagement techniques/methods/processes used
- **Improve relationships and consensus building**
- **Build trust and confidence in the engagement process**

## **Following up on engagement**

- **Follow-up strategies** provide the participants in an engagement process with **advice regarding progress made in addressing issues** raised through their engagement.
- **Follow-up information provided to participants may include:**
  1. Details on subsequent engagement activities with other groups
  2. Answers to questions raised by participants
  3. Confirmation that information generated via engagement has been forwarded / is being considered
  4. Details of any changes made or planned in response to participant comment
  5. Details on any future opportunities for further participation

## **Timing of Feedback and Follow-up**

- It is often useful to **establish a protocol during the planning and design phase of an engagement process** that outlines when and how feedback will be provided, and also what information will be shared and with whom.
- Depending on the nature of the engagement, feedback **might be offered at regular intervals, and/or within a pre-determined period after each engagement activity and further opportunities to be involved.**
- Feedback and follow-up should generally be incorporated throughout the engagement processes and have a focus **on informing participants on what the next step is and when and how they will be advised on the outcomes from any activity.**

- It is important that follow-up be timely and that commitments to following up particular issues or matters of concern are addressed within agreed time frames. This helps to build faith in government engagement process.

**Feedback Techniques** used to reach a variety of participants:

- Writing letters to all participants (this can be via email)
- Issuing and Posting reports
- Providing summary reports of meetings/workshops
- Acknowledging written submissions
- Providing information via telephone hotlines
- Holding meetings to communicate findings, outcomes, progress
- Giving presentations to groups within the community
- Offering discussion/issues papers
- Publishing newsletters, charts and posters
- Using a dedicated community engagement project email group
- Establishing an interactive or informative website
- Issuing media releases and updates within organization newsletters
- Using informal communications
- Etc.

## MECHANISMS OF EVALUATION AND AUDIT

### A. EVALUATION

- **Evaluation is a process** that facilitates learning to improve future practice in engagement activities, methods and processes.
- Evaluation of civic engagement techniques and projects can help:
  1. Find out what worked well, what did not work well and why?
  2. Identify unanticipated outcomes
  3. Assess the cost effectiveness and impacts of engagement exercise.
- **Evaluation should begin in the planning stages** of an engagement process and activities, and continue throughout the process and activities
- **For an evaluation to be considered participatory:**
  1. **Stakeholders must have an active role** in the evaluation process.
  2. **At least representatives of stakeholders should participate.**
  3. **Stakeholders should participate in at least three evaluation phases:** “designing terms of reference, interpreting data, and using evaluation information”.

Source: [Rebien, 1996](#)

The above criteria are insufficiently defined and “indeed, may promote practices which actually have a negative impact on participation, rather than a positive one”. Source: [Gregory, 2000](#)

➤ **Methods and Ethos of Participatory Evaluation** contrast clearly with traditional evaluation methods (quasi-experimental impact assessments for instance):

1. In **traditional approaches**, the key questions and methods to be used are decided by the evaluator or funding body, the evaluator is expected to adopt an **impartial and objective perspective**, and programme activities are reduced to **measurable indicators**. Source: [Vanderplaat, 1995](#)
2. In contrast, **participant-oriented forms of evaluation** tend to use more “naturalistic” inquiry **methods that aim to reflect “the complexities of everyday reality and the different perspectives of those engaged in providing services”**. Source: [Worthen et al., 1997](#)

The principle of **objectivity** is usually rejected in favour of a more **HOLISTIC APPROACH** **openly acknowledging and taking into account the diverse perspectives, agendas and values of participants, stakeholders and evaluation consultants**.

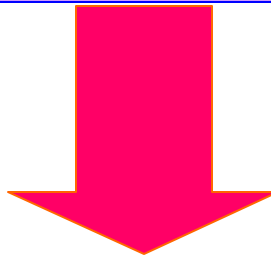
**Evaluation rigour and validation of findings** are obtained through *multiple methods of data collection and analysis, triangulation of data, peer review, and engagement in critical reflexivity to enhance the “trustworthiness” of results*

Source: [Chess, 2000](#); [Guba and Lincoln, 1989](#)

**Participatory Evaluation Methodologies are considered to produce many positive and empowering impacts (social, technological, political and psychological)**

Given the complex power, knowledge and discursive issues involved and other factors, use of **these methodologies can have contradictory effects** such as:

- Disempowering impacts that can affect the outcome of participatory evaluations
- The communicative and relational dimensions of evaluation
- The project sustainability



**Taking Barriers to Participation into Account**

Inclusive and empowering community participation methods using new ICT raise many complex issues: **A range of social, cultural, organizational, technological and economic factors and barriers have been found to limit the effectiveness of participatory processes.**

**Source:** Queensland University of Technology in Brisbane, Australia: **An Evaluation Capacity-Building Process for Sustainable Community IT Initiatives: Empowering and Disempowering Impacts** by **June Lennie**, 2005; 11; 390 *Evaluation*  
<http://evi.sagepub.com/cgi/content/abstract/11/4/390>

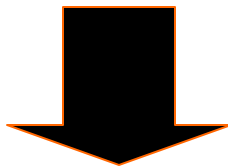
**Evaluation should be consistent with the Result-based Approach.**

**It should be undertaken based on the content agreed in the project document, in particular in relation to:**

- **The objective(s) reached**
- **The expected accomplishment(s) that have been achieved**
- **Outputs produced**
- **Inputs placed at project disposal**
- **Activities effectively carried out**

**The evaluation in practice may follow a logical sequence in reverse to the logical framework.**

**Special attention should be given to deviations, indicating their causes, corrected measures and impacts, without overlooking.**



**Evaluation has a cost and, therefore, if financial resources were required, they should be included in the budget.**



## B. AUDIT

Although every audit project is unique, **the Audit Process is similar for most engagements.** It usually consists of four (4) stages:

- 2. Preliminary Review:** To discuss the scope and objectives of the examination during a working group meeting, gather information on the processes, evaluate existing controls, and plan the remaining audit steps.
- 3. Fieldwork:** To concentrate on transaction testing and informal communications. To find out whether the controls identified during the preliminary review are operating properly. To conclude with a list of significant findings that should help in preparing the draft of the audit report.
- 4. Audit Report:** The principal product of the auditing process is the final report in which the opinions are expressed, the audit findings presented, and the recommendations for improvements are proposed. To facilitate communication and ensure that the recommendations presented in the final report are practical, Internal Audit discusses the rough draft with the client prior to issuing the final report.
- 5. Follow-up review:** Within approximately one year after the final report is issued, Internal Audit will perform a follow-up review to verify the resolution of the report findings.

**The most successful audit projects are those in which the client and audit have a constructive working relationship.**

**Auditing process main objective:** To have continued people/client involvement and engagement at every stage of the audit process, so they **understand what government/local authority is doing and why.**

## CAPACITY BUILDING AND TRAINING

- Capacity-building workshops and seminars, and training programmes and activities to strengthen civic engagement capacity of all stakeholders (Government, Parliament, Local Authorities, Civil Society, Academia, Private Sector, Media, Citizens) for effective achievements in operational, analytical and policy activities at all levels (local, national, regional and international)
- Capacity-building to strengthen the institutional capacity of all and help create an enabling environment for civic engagement
- Development with All of Training Material (such as Guidelines, Toolkits, etc.) and for All stakeholders
- Comprehensive Database & information support for results
- Exchange of Experiences and Best Practices to facilitate and create an enabling environment conducive to poverty eradication, sustained economic growth and sustainable development with All, for All & Everywhere
- Follow-up Activities for Dissemination and Sustainability

### Lifelong Learning and Sustained Capacity building for All

- To continuously learn about the new methods, techniques and mechanisms, and take full advantage of them for all
- To brainstorm, debate and open dialogue among all stakeholders to reach a consensus on how to adapt those tools to specific contexts and effectively implement them mainly for the benefit of and with the people in most need

To enhance Networking and Partnership for a Better World for All

## **INPUTS / BUDGET**

- **The inputs include all the required resources (human, financial, technical, material and time) to undertake all activities from the beginning to the end.**
- **They could be used exclusively in each activity or shared by several ones.**
- **Units of inputs must be clearly identified.**
- **Quantities of the required units for each activity should be allocated.**
- **Sequencing and timeliness should be respected for planning and implementation.**

### **SAMPLE TO FOLLOW**

- **Two work months (w/m) of one specialist in civic participation and social mobilisation**
- **One work month of one specialist in people budgeting**
- **Two work months of UNDESA Advisor for preparatory work, project implementation and follow-up**
- **Two computers**
- **Printing of 50 reports of 100 pages each**

**The first step in preparing the budget is the construction of a table with cost assumptions for each unit of inputs required by the project – proforma costs already in place should be respected.**

➤ **The unit-cost assumptions:**

- 1. Provide a realistic costing basis for the project**
- 2. Allow the construction of a cost schedule if combined with the inputs**
- 3. Allow transparency and openness**
- 4. Facilitate follow-up and evaluation**
- 5. Should be updated through post-evaluation**

➤ **The second step is to prepare the Budget on the basis of budget codes, descriptions, units, quantities, unit-cost, total cost and year.**

**(See example in Annex 17)**

## **ACTION PLAN AND WORK PROGRAMME**

- **The work programme provides an overview of the implementation schedule of each activity of the project.**
- **The time schedule should be viewed as the best estimate.**
- **When combined with the unit cost of each required input, it will provide the basis for constructing the annualized budget.**

**(See sample sheet in Annex 16)**

## PERFORMANCE INDICATORS

### ➤ Quantitative indicators

- Focus on quantity with precise definition of the unit as related to amount, number, extent, size, magnitude, capacity, mass.
- In the case of Expected Accomplishments, quantitative indicators for each Output are preferred to others.

### ➤ Qualitative indicators (for training activity)

**Focus on participation and evaluation of trainees and partners**

- The participation indicator should provide an idea about the trainer/trainee interaction (Do trainees actively participate, or are they passive and only recipients?).

- **The second group of indicators focuses on the trainees and partners' evaluation of the training, trainers, training materials, objectives of the training (i.e. relevance to the needs of the trainees) and to what extent have the training objectives been met/fulfilled (See the evaluation sheet in Annex 14).**

## ➤ **Deadlines**

**Timeframe of the training programme and its different components:**

- **Needs assessment study**
- **Study visit**
- **Workshops**
- **Training material**
- **Follow-up**
- **Evaluation**
- **Audit,**
- **Etc.**

**(See Annex 15: Sample of Logical Framework which also includes indicators, source of verification and risks/assumptions related to the accomplishment of the objectives and the corresponding activities)**

# CONCLUSION



# CONDITIONS OF SUCCESS

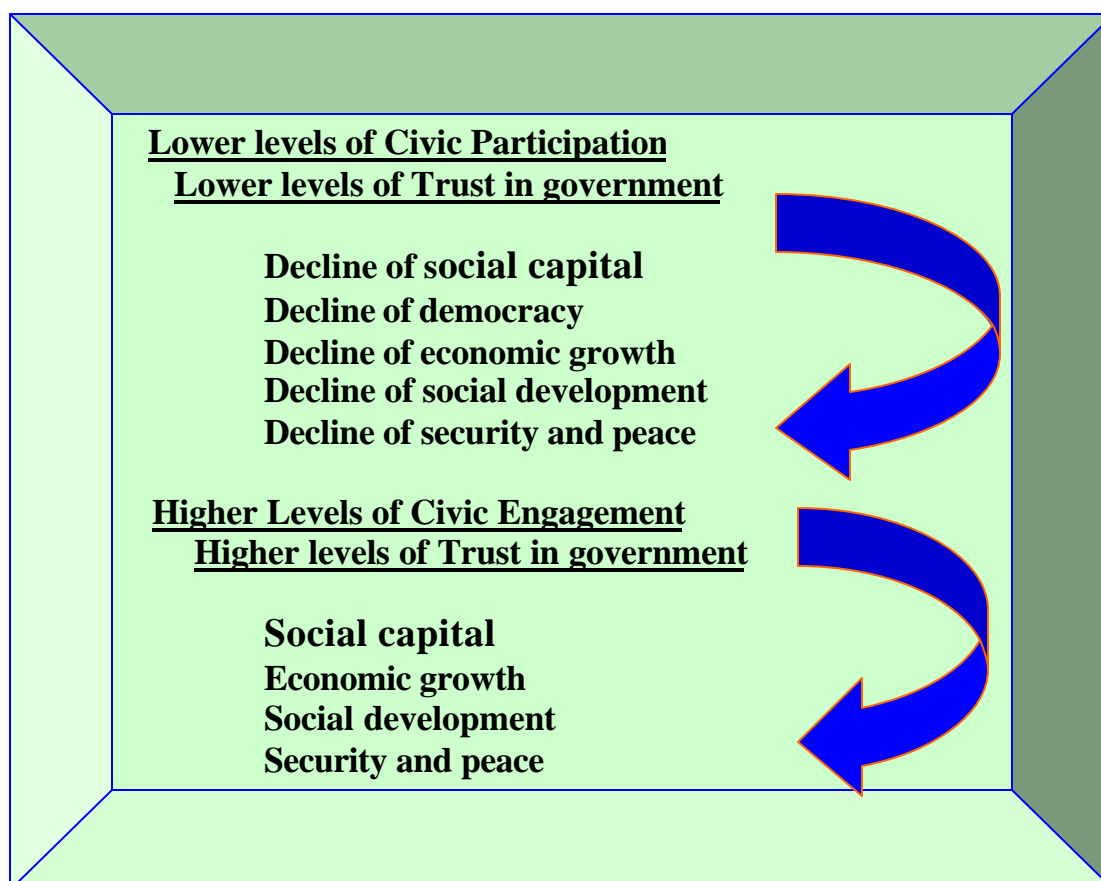


# RECOMMENDATIONS



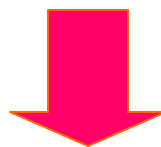
## CONCLUSION

Engagement activities are generally undertaken to inform, act, generate change, improve the situation and reach the goals.



## CONDITIONS OF SUCCESS OF CIVIC ENGAGEMENT PROCESS

- **The success of civic engagement processes is contingent on the full commitment of all stakeholders to people participation in public policies, to democracy and to the United Nations values and agreed policies.**
- **Social mobilization is key to ensure local ownership and commitment** through meaningful consultations involving the full range of local participants. This helps get a **better understanding of the issues and their complexity** on the part of the various stakeholder groups, as well as a **shared commitment to address priority issues in a cross-sectoral manner.**
- Information has to:
  - **Be accurate, Easy to access and Easy to understand**
  - **Be relevant and Interesting to the Audience**
  - **Be delivered through Appropriate Channels**
  - **Be tailored where necessary in Language, Style and Content**
  - **Direct Citizens to where they can access further information if required**



**To ensure effectiveness of information strategies**

➤ **The other conditions of success are as follows:**

- **Demand driven and not supply driven approach**
- **Participatory and custom-oriented approach**
- **Capacity building with emphasis on Human Resources Development and Institution Building for All**
- **Strategic planning by all for all civic engagement levels and for all public policies phases (from design to formulation, implementation, feedback, follow-up, evaluation, control and audit)**
- **Means clearly earmarked, predictable and efficiently managed**
- **Appropriate use of information & communication technology (ICT)**
- **Prioritization of needs considering financial resources and national development objectives and priorities**
- **Selection of strategies and concrete/practical approaches to conciliate between all interests and get sustained results: WIN/WIN Situation for All**

➤ **External factors such as the following could delay or disrupt the implementation and reduce the result/impact of the project:**

- **Improper selection of stakeholders**
- **Lack of assimilation of the techniques by the trainees not due to the trainer**
- **No significant use of techniques learnt in activities related to participatory processes**
- **Competing activities that lead to duplication and extra burden on target groups and partners**
- **Resistance to change**
- **Financial constraints**
- **Security situation**

## RECOMMENDATIONS

- **Technical Cooperation/South-South Cooperation focusing on participatory processes & capacity building in participatory approaches, methods, techniques and mechanisms**
- **Emphasis on Exchange of Innovative Experiences and Best/ Good/Bad Practices on Institution Building/ Human Resource Development/ Planning/ Implementation & Management to enhance civic engagement in socio-economic policies**
- **Priority to Learning & Training to design, implement, follow-up, monitor, evaluate and control Comprehensive Strategies to address the country/locality issues, as well as areas of concern identified for the Third Millennium by the United Nations global conferences and by the considered country(ies), and the MDGs with civic participation**
- **Comprehensive participatory training approach including field visit, training workshop, development of learning materials, networking, feedback, follow-up and evaluation**
- **Linkage of project objectives to technical cooperation policy of the United Nations and donor countries and agencies**
- **Civic Engagement Networking at all levels (grassroots, local, sub-regional, national, regional and international) for enhanced relationships and result-oriented partnerships among and with all stakeholders for the benefit of all and especially the people in the most need**

# **ANNEXES**

- 1. Definitions**
- 2. CEPA Recommendations**
- 3. Brisbane Declaration**
- 4. Amman Declaration (Arab Regional Workshop, 13-15 March 2007, Amman, Jordan)**
- 5. Stakeholder Analysis Table**
- 6. A Citizen's Socio-economic Charter: Step by Step**
- 7. A Citizen's Socio-economic Charter: Risks and Opportunities**
- 8. Participatory Budgeting: Methodology**
- 9. Can Civil Society Add Value to Budget Decision Making? A Note on the Rise of Civil Society Budget Work**
- 10. Civic Engagement in Policy Development at the Local Level: Practical Steps (NAGA City)**
- 11. Tools to Support Participatory Urban Poverty Policy-Making**
- 12. Civic Engagement Success Story in Mauritania**
- 13. Resolution on NGO Participation Continues to Gain Support**
- 14. Evaluation Sheet for Training Activities**
- 15. Sample of Logical Framework**
- 16. Results-Based Work Plan Sample**
- 17. Results-Based Budget Sample**
- 18. List of References by Subject**

## ANNEX I DEFINITIONS

### A. Governance: Several Definitions

1. “The exercise of political, economic and administrative authority in the management of a country's affairs at all levels. Governance is a neutral concept referring to the complex mechanisms, processes, relationships and institutions through which citizens and groups articulate their interests, exercise their rights and obligations and mediate their differences”.

Source: [http://iseek/webpgdept363\\_9.asp](http://iseek/webpgdept363_9.asp)

2. “The exercise of political authority and use of institutional resources to manage society's problems and affairs”.

Source: <http://www.worldbank.org/>

3. “Governance is exercising authority to provide direction and to undertake, coordinate, and regulate activities in support of achieving this direction and desired outcomes”.

Source: <http://www.imf.org/>

4. “The debate on European governance, launched by the Commission in its White Paper of July 2001, concerns *all the rules, procedures and practices affecting how powers are exercised within the European Union*. The aim is to adopt *new forms of governance that bring the Union closer*

- 5. *to European citizens, make it more effective, reinforce democracy in Europe and consolidate the legitimacy of the Institutions.*** The Union must reform itself in order to fill the democratic deficit of its institutions. This governance should lie in the framing and implementation of better and more consistent policies associating civil society organizations and the European institutions. It also entails improving the quality of European legislation, making it clearer and more effective. Moreover, the European Union must contribute to the debate on world governance and play an important role in improving the operation of international institutions”.

Source: [http://europa.eu.int/scadplus/glossary/governance\\_en.htm](http://europa.eu.int/scadplus/glossary/governance_en.htm)

## **B. Participatory Governance: Definition**

- 1. “System of decision-making and administration in which those who might be affected by the decisions and administration ("stakeholders") have more opportunities than usual to state their views and lobby for their interests. Such participation may be formalized through a regular system of consultations”.**

Source: <http://www.ivanillich.org/LiEnergia.htm>

- 2. “Participatory Governance draws on insights from political and institutional economics and from experiments promoted by social activists.**

**It represents a paradigm shift which has the potential to overcome political obstacles by building and harnessing the capacities of the poor themselves for the design of more effective policies of poverty reduction and their implementation in more efficient and therefore sustainable ways”.**

Source: <http://www.oecd.org/dataoecd/21/51/31649565.pdf>

## C. Social Capital Definition

1. There are three forms of capital: “*economic capital*”, “*cultural capital*” and “*social capital*”. Social capital is “*the aggregate of the actual or potential resources which are linked to possession of a durable network of more or less institutionalized relationships of mutual acquaintance and recognition*”.

Source: [Pierre Bourdieu](#), “The forms of Capital” (1986)

2. Social capital “*refers to the collective value of all social networks and the inclinations that arise from these networks to do things for each other*”. Social capital is a key component to building and maintaining democracy.

Source: [Robert Putman](#), [Bowling Alone](#) (1986?)

3. A more individualistic approach concept of social capital considers it as “*Investment in social relations with expected returns in the marketplace*”.

Source: [Nan Lin](#), [Social Capital](#) (2001, Cambridge University Press)

4. Social capital is also described as “*the existence of a certain (i.e. specific) set of informal values or norms shared among members of a group that permit cooperation among them*”.

Source: [Francis Fukuyama](#)

5. The ambiguity over the definition of Social Capital does not occur within the definition of “social” but in the doubt of “capital”.

That is in the causal and more over “effective” nature of social networks which inhibits agreement over a concrete, measurable form of the theory.

Source: [Caira Nakasone](#)



6. Social Capital considered as societal wealth is another way of examining the concept by taking the two words that comprise that. Social- meaning relating to human society and how society is organized and Capital defined as: economics material wealth in the form of money or property.

7. Social capital should be considered in terms of three clusters: structural, relational and cognitive.

Source: Nahpiet and Ghoshal

- *The structural dimensions of social capital relate to an individual ability to make weak and strong ties to others within a system .*

- *The relational dimension focuses on the character of the connection between individuals. This is best characterized through trust of others and their cooperation and the identification an individual has within a network.*

Source: Carlos García Timón

- *The cognitive dimension: Communication is needed to access and use social capital through exchanging information, identify problems and solutions, and manage conflict.*

Note: This third angle of social capital was added by Hazleton and Kennan, 2000

8. A problem with *the term Social Capital is its widely differing definitions.*

Some political scientists use the term as identical the idea of civil society and trust. To others, social capital has a separate meaning. Differences in the use of the term have radical consequences on society.

Source:

[http://en.wikipedia.org/w/index.php?title=Social\\_capital&action=edit&section=2](http://en.wikipedia.org/w/index.php?title=Social_capital&action=edit&section=2)

## **ANNEX 2**

### **CEPA RECOMMENDATIONS**

The Committee of Experts on Public Administration (CEPA) is a subsidiary organ of the United Nations Economic and Social Council, and a policy making body of the United Nations concerning subjects of public administration. The Committee held its 6<sup>th</sup> session at the United Nations Headquarters from 10 to 13 April 2007, and discussed, among others, major substantive issues of participatory governance and citizens' engagement in policy development, service delivery and budgeting. Deliberations at the Committee resulted in the comments and conclusions below.

#### **COMMENTS AND CONCLUSIONS OF THE CEPA**

The Committee encouraged Member States to reaffirm and deepen participatory governance and citizen engagement and instigate the necessary capacity-building initiatives. In addition, the Committee noted the need to continue to include the cross-cutting issues of governance and public administration, and particularly participatory governance, in its agenda on the implementation of internationally agreed development goals, including those contained in the Millennium Declaration.

The Committee encouraged the Secretariat to ensure that the normative, analytical and technical cooperation elements of the United Nations Programme in Public Administration, and Finance continued to include participatory governance and citizen engagement in policy development, service delivery and public accountability. The discussions on participatory governance should be incorporated in the next *World Public Sector Report* on the theme. It is advised the Secretariat to strengthen its partnership with other international and regional organizations, particularly civil society groups, in carrying out its work on participatory governance.

In addition, the Committee felt that a policy brief on the subject would be a useful instrument and reference document. The document should be prepared by the Secretariat in consultation with the lead speakers and circulated. It would contribute to the deliberations of the Committee at the next session on capacity-building. The main topics of discussion during future sessions could also be usefully reflected in recurrent policy briefs for the attention of Member States. The policy briefs should be prepared by the Secretariat in consultation with the lead speakers and approved by the Committee Bureau. Moreover, the creation of additional outputs of the Committee sessions, such as a “blog” or in-depth articles, could reflect the views and contributions of individual members.

## ANNEX 3

### BRISBANE DECLARATION

We, representatives of countries and communities, including indigenous peoples, international institutions, national, state and local governments, academic institutions, and business and civil society organizations from across the world, participating in the International Conference on Engaging Communities, held at Brisbane, Australia, from 15 to 17 August 2005,

1. *Acknowledge* the universal interest and importance of community engagement, founded in the inherent dignity of people and the values, rights and responsibilities of all peoples expressed in the Universal Declaration on Human Rights;
2. *Welcome* the Seoul Declaration on Participatory and Transparent Governance <sup>1</sup> in its call for all actors <sup>2</sup> in societies to work together to expand and promote participatory, transparent governance for the benefit of their people;
3. *Underscore* that community engagement is essential to the achievement of the Millennium Declaration including the Millennium Goals for Development;
4. *Express appreciation* for the efforts of the United Nations and its specialized agencies in helping to advance the practice of community engagement and support of greater participatory and transparent governance;
5. *Express appreciation* to the Government of the State of Queensland, to the indigenous peoples for their welcome to country, and to all the people of Queensland, Australia for hosting the inaugural International Conference on Engaging Communities;
6. *Express appreciation* to the other Australian governments, tertiary institutions and organizations that have sponsored and partnered in the organization of this gathering, to the staff and volunteers, and to all those who have through participation shared their expertise and experience to build greater understanding, capacity and commitment to the practice of community engagement;

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<sup>1</sup> The Seoul Declaration on Participatory and Transparent Governance made at the Sixth Global Forum on Reinventing Government at Seoul, Republic of Korea, 24-27 May 2005.

<sup>2</sup> The community or all 'actors in society' are all those who are potentially affected by or have an interest in an issue, decision, service delivery or evaluation, and include government, business, trade unions, civil society organizations, non-Government organizations and individual citizens.

## *Community Engagement*

7. *Affirm* that community engagement is critical to effective, transparent and accountable governance in the public community and private sectors;
8. *Recognize* that community engagement is a two way process:
  - by which the aspirations, concerns, needs and values of citizens and communities are incorporated at all levels and in all sectors in policy development, planning, decision-making, service delivery and assessment
  - by which governments and other business and civil society organizations involve citizens, clients, communities and other stakeholders in these processes
9. *Affirm* that effective engagement generates better decisions, delivering sustainable economic, environmental, social and cultural benefits;
10. *Also recognize* that effective community engagement enable the free and full development of human potential, fosters relationships based on mutual understanding, trust and respect, facilitates the sharing of responsibilities and creates more inclusive and sustainable communities;
11. *Further recognize* that meaningful community engagement seeks to address barriers and build the capacity and confidence of people to participate in, and negotiate and partner with, institutions that affect their lives, in particular those previously excluded or disenfranchised;
12. *Further recognize* that inclusive engagement requires that indigenous peoples and the poor and marginalized, are adequately resourced to participate meaningfully in the broader community and that they have a stake in the outcome and benefit equitably as a result of being involved;
13. *Endorse* the core principles of integrity, inclusion, deliberation and influence in community engagement:
  - Integrity – when there is openness and honesty about the scope and purpose of engagement
  - Inclusion – when there is opportunity for a diverse range of values and perspectives to be freely and fairly expressed and heard
  - Deliberation - when there is sufficient and credible information for dialogue, choice and decisions, and when there is space to weigh options, develop common understandings and to appreciate respective roles and responsibilities
  - Influence – when people have input in designing how they participate, when policies and services reflect their involvement and when their impact is apparent

## Civic Engagement in Public Policies: A Toolkit

14. *Recognize* the availability of a wide range of methods and technologies, including new and emerging tools associated with the internet, to facilitate appropriate and effective community engagement;
15. *Affirm* the value of education, ongoing monitoring and evaluation, and knowledge sharing about active citizenship and community engagement processes and outcomes;
16. *Draws* attention to the materials and recommendations of the specialized panels and workshops which supplement this Declaration;

### *Next Steps*

The participants from all over the world at this conference:

17. *Request* the Host Country to bring to the Attention of the General Assembly of the United Nations the Declaration of this inaugural International Conference on Engaging Communities so that it may provide leadership globally for its promotion and implementation;
18. *Further call* on international institutions as well as national, provincial and local governments to give effect to the values and principles of this Declaration;
19. *Express* support for more dialogue between international institutions and others with the people of the world about issues of global interest, and the availability of digital and other means to support such interaction;
20. *Encourage* the tertiary sector and other public and professional organizations to facilitate research and teaching, policy and practice development, organizational development, evaluation and networking to sustain the learning and connections created at this Inaugural International Conference on Engaging Communities;
21. *Further encourage* the private sector and civil society organizations to implement practical and meaningful ways to be responsive to, representative of, and enabling of the participation of citizens, clients, communities;
22. *Note with appreciation* the willingness of the Queensland Government to support knowledge-sharing and capacity-building for community engagement and to be involved in the follow-up to this Conference;
23. *Request* the United Nations, building on the success and legacies of this Conference, to assist countries and communities to foster effective community engagement practices by supporting research and training, and documenting successful outcomes and disseminating these widely.

## **ANNEX 4**

# **AMMAN DECLARATION**

### **Amman Declaration on the Opportunities and Challenges of Civic Engagement in Socio-Economic Policies in the Arab region**

#### **I. Background**

1. Many countries are increasingly seeking the participation of the civil society and non-governmental organizations (NGOs) in the policy making processes of the state. A number of policy makers are coming to share the understanding that the engagement and participation of communities and citizens in the policy process, as well as suitable institutional arrangements for securing dialogue with communities, are key to inclusive policy making and consequently, achieving the agreed development goals, including the Millennium Development Goals (MDGs).

2. The summary of the Millennium Development Goals in the Arab Region 2005 refers to the demonstrated progress of the Arab region in many MDG-related fields, but also underscores several deficits including income disparities, as well as several levels of social deprivations. Furthermore, the Arab region also experienced one of the lowest per capita GDP growth rates in the 1990s and early 2000s. The summary of the report states: “The Arab region faces a number of challenges to achieving sustained economic growth with social equity and reaching the MDGs, including unemployment, the gender gap, illiteracy, regional disparities, war and conflict. Other prerequisites for the success of all the Goals include the rule of law, respect for human rights, democracy and good governance”.

3. To meet these challenges, the Arab region is increasingly focusing on two intertwining objectives: (i) greater partnership with civil society organizations in socio-economic policies; and (ii) greater emphasis on sustained socio-economic growth with equity to ensure improved quality of life for all. As these initiatives are of recent origin, capacity building interventions relevant to both the processes and the content of citizen engagement have become a sine qua non.

4. For these reasons, UNDESA organized the “Arab Regional Workshop on the Opportunities and Challenges of Civic Engagement in Socio-Economic Policies (Amman, Jordan, 13-15 March 2007)”. The Workshop was jointly organized by the United Nations Department of Economic and Social Affairs (UNDESA), the National Council for Family Affairs (NCFA), which is headed by Her Majesty Queen Rania, with support from the Government of Jordan represented by the Jordanian Ministry of Planning and International Cooperation (MOPIC), and the United Nations Development Programme (UNDP) in Jordan. The workshop is part of UNDESA’s capacity building programme for the Arab region to strengthen civic engagement in governance in general through debate and brainstorming with key stakeholders, both Government and Civil Society Organizations to facilitate the potential for civic engagement capacity building initiatives and how to develop a country level Plan of Action for Civic Engagement for the preparation and launching of Social Charters in each of the participating countries.

5. The Capacity Building Arab Regional Workshop was attended by ministers, parliamentarians, senior officials and experts of the governments, local authorities, non-governmental organizations, civil society organizations, academia and media in the Arab region, as well as international organizations. The Workshop provided the participants with a forum to hold 3-day long deliberations on practices and methodologies of civic engagement in policy making, implementation, and monitoring to address the people issues and achieve the national development objectives and the internationally agreed development goals including the Millennium Development Goals (MDGs).

## **II. Challenges, Threats and Opportunities**

The main challenges, threats and opportunities identified during the Amman Meeting were as follows:

### **Challenges**

- Insufficient financial, technical, human, administrative, and institutional resources
- Weak culture of volunteerism
- Limited fund-raising mechanisms
- Weak or unclear legislative frameworks of Civil Society Organizations (CSOs)
- Weak coordination among CSOs
- Passive role of the media in raising awareness about active participation and its forms
- CSOs required to refer to multiple official documents
- The fragile trust existing between CSOs and citizens from one side and CSOs and the Government from the other
- Lack of change in leadership at some CSOs and insufficient involvement of youth

## **Recommendations**

- **Develop the legislative framework in a way that facilitates and assists in registering CSOs, governs their work to achieve their objectives and enhances community participation**
- **Activate the adequate frameworks to build the technical and financial capacities of CSOs**
- **CSOs to initiate bringing up priority issues and inviting the government along with the private sector to discuss these issues**
- **Establish networking and coordination mechanisms among CSOs at the local, national and regional levels**
- **Call for exchanging experiences at the Arab regional level**
- **Adopt standards that achieve financial and administrative transparency**

## **III. Commitments**

**We, the participants of the Workshop, having completed active and thorough deliberations,**

### **Considerations on Good Governance with Civic Engagement**

- 1. Acknowledge the increasing importance and effectiveness of participation of people in the formulation, implementation, monitoring and evaluation of public policies and programmes to achieve their country development objectives as well as the MDGs in the Arab region;**
- 2. Affirm the Resolution E/RES/2005/55 of the United Nations Economic and Social Council, which reinforced “the need to deepen the participatory processes of government to ensure citizen’s engagement to achieve internationally agreed development goals, including those contained in the Millennium Declaration”;**
- 3. Reaffirm the central role of governance capacity-building in reaching national development objectives and meeting internationally agreed development goals, including those contained in the Millennium Declaration;**
- 4. Recognize critical roles played by civil society organizations, non-governmental organizations (NGOs), the private sector, academia, and media organizations to ensure that public policies and programmes are formulated, implemented, followed up and evaluated in a transparent and effective manner for the benefit of people;**
- 5. Underscore that policy dialogue and partnerships between the public and private sectors and civil society are essential to effective, transparent, accountable and just governance at the national, local and community levels;**



## **Civic Engagement in Public Policies: A Toolkit**

- 6. Recognize the need to further examine the approaches adopted and challenges faced by governments that have fostered citizens' participation in public governance processes;**
- 7. Affirm the usefulness of various methodologies and techniques to support the government and other stakeholders for applying the approach of civic engagement in policy and programme processes;**
- 8. Take note with appreciation of the successful preparation and application of Peoples' Social Charters in countries in South Asia;**
- 9. Express appreciation to UNDESA, UNDP, UNESCWA and other United Nations agencies for their initiatives to promote and advocate development and application of engaged governance approach in the Arab countries context;**

### **Initiatives by the Governments and Local Authorities**

- 1. Request the participating governments and local authorities to exercise strong leadership in formulating strategies for enhancing policy dialogues and partnerships with civic organizations, as well as in taking concrete measures to promote and support in the Arab region the full participation of citizens and civic organizations in their policy making;**
- 2. Encourages the central and local governments to reaffirm and deepen participatory governance and citizen's engagement in particular through legislative and institutional mechanisms and provide for capacity-building initiatives on this subject;**
- 3. Request the public sector organizations at all levels to take steps for enhancing the participation of citizens and civic organizations in planning, programming, budgeting, implementing, monitoring and evaluation, as well as feedback and follow-up of public service delivery;**
- 4. Request the participating governments and local authorities to ensure the allocation of personnel and financial resources to support the promotion of civic engagement in public policy making, monitoring and service delivery;**
- 5. Encourage the participating governments and local authorities to establish and maintain networks with international communities to support each other for enhancing civic engagement in public policy and service delivery processes;**
- 6. Encourage the participating public sector organizations to identify their own needs for institutional capacity building for establishing and managing effective mechanisms for civic engagement in public policy making and public service delivery processes;**

**7. Solicit the support of a country or a group of countries to voluntarily host the establishment and maintenance of the Arab Regional Citizen Engagement Network (ARCEN) to pursue the exchange of views, information, capacity building and action on innovative policy, programme and project issues on civic engagement;**

**Initiatives by Civil Society Organizations (CSOs) and Other Stakeholders**

**1. Encourage CSOs and other stakeholders in the Arab region to take initiatives in advocating civic engagement in policy and service delivery processes, undertaking capacity-building programmes and projects, making feedbacks and follow-up activities, establishing and enhancing policy dialoguing and partnerships with the government, local authorities, and parliamentarians ;**

**2. Encourage CSOs to enhancing dialogue with private sector to deepen its perception toward the social responsibility and participation with CSOs for achieving the development goals;**

**3. Request the participating CSOs and other stakeholders to disseminate the Amman Declaration among their constituencies to advocate the effective use and application of the “civic engagement” approach;**

**4. Encourage the CSOs and other stakeholders in the Arab region to participate in the process of establishing the ARCEN, as well as in activities using the established mechanisms of the ARCEN;**

**Initiatives by International Organizations**

**1. Urge UNDESA and other relevant international organizations to ensure that the normative, analytical and technical cooperation elements of their programme on public administration continue to prioritize participatory governance and citizen engagement in policy development, service delivery and public accountability;**

**2. Request UNDESA and other concerned intergovernmental organizations to continue their deliberation of participatory governance by producing results of research, analysis and studies on citizen engagement in policy development, monitoring, service delivery and public accountability at regional, national and local levels;**

**3. Request UNDESA and other concerned international organizations to strengthen its partnership with other international and regional organizations, particularly civil society groups, in the implementation of the policy and programme on participatory governance;**

## **Civic Engagement in Public Policies: A Toolkit**

**4. Request UNDESA and other participating international organizations to provide technical and financial support for the Arab countries in need for building institutional capacities for formulating, implementing, and monitoring and evaluating strategies, policies and programmes for promoting “civic engagement” in public policy making and service delivery processes; and**

**5. Request UNDESA to provide its technical support for the establishment and functioning of the Arab Regional Civic Engagement Network (ARCEN);**

### **Initiatives by the Host Government**

**1. Request the host government to bring, on behalf of the participating countries, to the attention of the Secretary-General of the United Nations the Amman Declaration on the Opportunities and Challenges of Civic Engagement in Socio-Economic Policies in the Arab region.**

***Amman Declaration Adopted by the Participants  
at the Arab Regional Workshop of Amman, Jordan  
(13-15 March 2007)***

## **ANNEX 5**

### **STAKEHOLDER ANALYSIS**

### **TABLE**

#### **IDENTIFICATION OF STAKEHOLDER GROUPS, THEIR INTERESTS, IMPORTANCE & IMPACT / INFLUENCE**

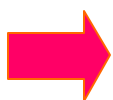
| <b>STAKEHOLDER<br/>GROUPS</b> | <b>INTEREST (S)<br/>AT STAKE IN<br/>RELATION<br/>TO PROJECT</b> | <b>EFFECT OF<br/>PROJECT ON<br/>INTEREST (S)</b> | <b>IMPORTANCE<br/>OF<br/>STAKEHOLDER<br/>FOR SUCCESS<br/>OF PROJECT</b> | <b>DEGREE OF<br/>INFLUENCE<br/>OF<br/>STAKEHOLDER<br/>OVER PROJECT</b> |
|-------------------------------|---|--|---|--|
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## ANNEX 6

### A CITIZEN'S SOCIO-ECONOMIC CHARTER: STEP BY STEP

There are several options for the formulation of a citizens' socio-economic charter. The three main options are as follows:

- Option 1: Charter initiated by an inter-governmental body at the regional level
- Option 2: Charter initiated by government or civil society at the national or/and local levels
- Option 3: Charter initiated by government and civil society at the national or/and local levels



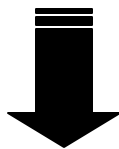
#### Option 1 – Charter Initiated by an Inter-Governmental Body

The participating governments take the helm of the logistical aspects of formulating the Charter, with civic participation being one of the many processes.

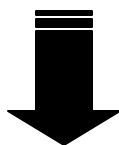
The following eight (8) steps describe the process of formulating a Citizens' Charter in which the initiator is an inter-governmental body:

##### 1. Hold a High-Level Regional Summit

- State representatives decide on developing a Socio-Economic Charter to address relevant development issues across the region.
- The Summit issues a declaration outlining the need for the Charter, its purpose, focus areas and scope.
- The Governments commission an independent non-partisan institute or think-tank to formulate a *concept paper with recommendations* on the steps necessary for the formulation of such a charter.



**2. The independent institute produces a concept paper with recommendations.**



**3. Hold a Second High-Level Regional Summit**

- The Concept Paper is presented by the sponsoring government to the Summit.
- Recommendations of the concept paper are adopted by governments as a basis to go forward.
- Appoint an Inter-governmental Expert Group (IGEG) to develop a “working paper” and to prepare a draft of the Charter.



**4. IGEG organizes a meeting**

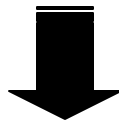
- The secretariat prepares a revised version of the concept paper as a working document for the meeting.
- Before drafting, agree on the scope and limits of the Charter and the issues to be addressed, based on:
  - a. The commitments, priorities and problems that the participating governments outlined in their declaration (e.g. Poverty, Health, Illiteracy, Malnutrition, Empowerment of Women, Job Creation, etc.);
  - b. Former ministerial meetings, national development plans, targets, covenants and declarations by regional summits and bodies, which serve as a substantial base for defining the main elements of a Socio-Economic Charter;
  - c. Consensus on what initiatives are most likely to generate success and maximize regional consensus
- Identify the differences among states, the various adopted positions, as well as the potential limitations and constraints placed upon the Charter by the countries’ individual commitments and political considerations.

#### **4. IGEG, also during the meeting**

- Identify and agree on additional (or invisible) issues that may not be explicitly outlined in the declaration, but are of particular relevance for the cohesion of the Charter because they contribute to forms of depravation and vulnerability which the Charter aims to address (e.g. Drug Trafficking, Illegal Immigration, Environmental Degradation...)
- Decide on the form and structure of the Charter (Preamble, Objectives, Plan, and Review)
- Decide on the character of the Charter: binding or non binding
- Agree on and endorse the recommendations in the working paper
- Based on the consultations of the IGEG, ask the Secretariat to prepare a preliminary draft of the Socio-Economic Charter



**5. The Secretariat prepares a draft of the Socio-Economic Charter and circulates it among Member States.**



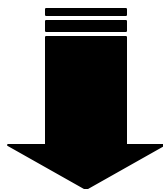
#### **6. Consultations about the Charter at the National Level**

- National governments set up the necessary mechanisms and programmes (National Steering Committees) to manage, support and promote broad-based consultations with civil society regarding the Charter.
- Draft comments and identify sectoral issues and structural problems of national concern and organize a National Convention to prepare a National Citizens Charter (NCC) based on these national priorities and concerns.
- The National Charters would serve inputs in the formulation of a regional Social Charter and as localized and customized versions of the to-be - adopted regional Socio-Economic Charter.
- Forward all comments, inputs and the National Citizens Charter to the Secretariat.



## **7. Secretariat and IGEG prepare a final draft of the regional socio-economic Charter**

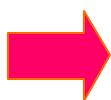
- Taking into consideration the outcome of national consultations and the inter-governmental concerns
- Focusing on population groups that are most disadvantaged, examine the causes and what states should do directly to improve the conditions of these groups. How these states should set targets and define the plans of action and resource allocations that must be made.
- Ensuring that action for the removal of the deep-rooted structural causes that are responsible for the deprived condition of these groups is addressed
- Deciding on the extent to which the Charter is binding and whether it is prescriptive or declaratory in nature
- Clearly defining the States' obligations
- Including the mechanisms for monitoring and evaluation of the implementation of the Charter
- Forwarding the final draft to the States in preparation for the Regional Conference



## **8. Convene a Regional Conference to finalize and ratify the Charter**

- Decide whether the final Charter would be analyzed article by article in a plenary session or in different groups. Care should be taken to reduce the tedium of discussing the document at length.
- Agree on regional follow-up activities.
- Discuss ways in which the Charter can be given high visibility and the way in which advocacy processes can be initiated.
- Issue a joint declaration at the end of the Summit.

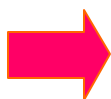




## **Option 2 – Charter Initiated by Civil Society**

**A group of NGOs/CSOs can convene separately and formulate a Citizens' Social or Socio-economic Charter independently from the State.**

**Such a process requires extensive grassroots mobilization and organization, and is most effective at the local and national levels.**



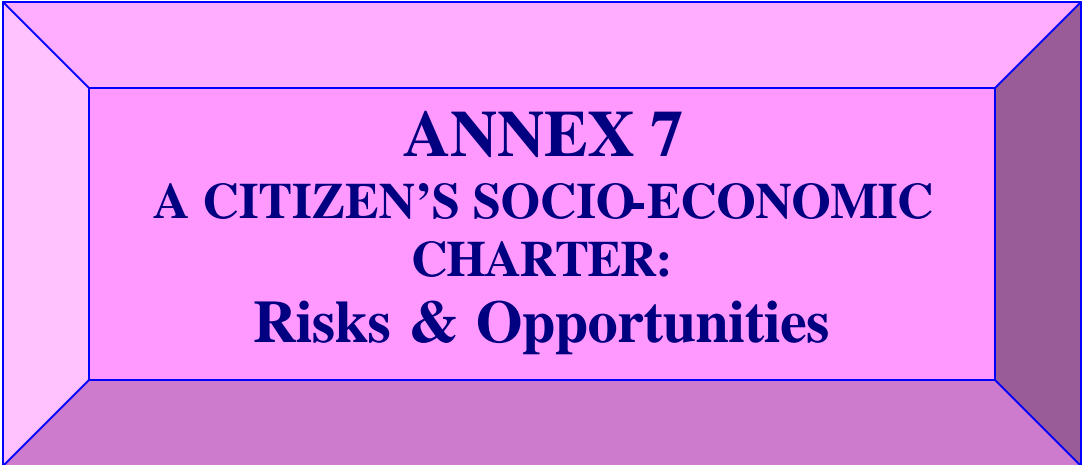
## **Option 3 – Charter Initiated by Both Government and Civil Society**

**A Citizens' Social or Socio-economic Charter could also be formulated through joint Government/Civil Society action.**

**Such a process would involve Civil Society at all stages in the discussion, formulation, drafting and adoption of the document.**

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Prepared by Mr. Hosam Mekdad and Mr. Nabil Ait Accache, Interns, SGMB/DPADM/DEASA/UN - Comments by Mr. Adil Khan, Chief, SGMB/DPADM/DESA/UN - Guided, reviewed and finalized by Ms. Najet Karaborni, Senior Interregional Advisor, SGMB/DPADM/DESA/UN - - (New York, August 2007)

Reference: A Citizen's Social Charter for South Asia – An Agenda for Civic Action – Edited by Prof. Rehman Sobhan (South Asia Centre for Policy Studies (SACEPS), Centre for Policy Dialogue (CPD), The University Press Limited (Dhaka, Bangladesh, 2005)



## **ANNEX 7**

### **A CITIZEN'S SOCIO-ECONOMIC CHARTER: Risks & Opportunities**

The lessons learnt from the initiatives taken by CPD and SACEPS have an enduring value, and are worth sharing with others, who could gain from this rich experience in involving civil society in influencing policymaking, governance and inter-state relations across South Asia. Indicated below are some of these lessons learnt:

1. There is a substantial amount of tacit knowledge within the civil society which can make important contributions to policy design, policy implementation and policy monitoring in the country. Without active involvement of interest groups, it is almost impossible to prioritize problems and find pragmatic remedies.
2. The initiatives of the civil society are likely to exercise only a limited influence on the policymaking process without the active involvement of the political leaders. The role of civil society in formulating development policies cannot be sustained without systematic institutional effort.
3. It is well-established now that the stakeholders are keen to play a proactive role in the governance of the country. The efficacy of the policies can be substantially enhanced if stakeholders can be involved in the identification, design and oversight of public policy. There is a wide recognition and appreciation amongst the general public that civil society's active involvement in articulating developmental demands is an integral part of good governance.
4. It is not enough to draw up a set of doable actions by the government through the participatory process. There is a need to put in place a mechanism for civil society to monitor and audit such actions so that the elected governments remain accountable. If civil society is effectively motivated there is a tremendous scope for stimulating the spirit of civic activism in sustaining the democratic process and making the process of governance more accountable and transparent before their citizens.
5. There is a serious risk that civil society may be driven by the same contradictions which divide the political parties and thereby assume partisan postures which may undermine their capacity to hold both the executive and legislature accountable for

**their role in governance. If civil society is to play a more effective role in governance it needs to speak with a more coherent and informed voice.**

- 6. Civil society organizations are becoming increasingly dependent on aid donors. As a result donor agendas are coming to play an increasing role in influencing the priorities of civil society organizations. This dependence on and perceived subordination to donor concerns is compromising the credibility and authenticity of civil society organizations. It is essential for civil society organizations to establish their authority based on the credentials of their spokespersons and organizations that must be driven by a spontaneous commitment to the concerns of the citizens of their country. To sustain their autonomy both from donor influence and state interference poses important challenges for the future relating to the financing of civil activism, their governance, as well as accountability and their relations with the governments of their respective countries.**
- 7. Governments are currently implementing most of their policies through the machinery of government. This implementation process remains exclusionary and inappropriate to the norms of a functioning democratic society. It thus lends itself to misgovernance due to weak accountability and lack of transparency. Thus effective implementation of public policies could have been much more effective, if the civil society could be involved in these tasks from the beginning. This process of involvement could create a sense of ownership for the civil society which could influence the implementation and enhance, as well the quality of governance in the country.**
- 8. Presentation of research findings of academicians and experts to a wider cross-section of civil society representatives should extend beyond the more educated elites and reach out to ordinary citizens. Such a process could contribute to greatly enhancing the credibility and reach of civil society initiatives. This could not only make the civil society initiative much more acceptable to the people in general but would also carry more weight with the policymakers.**
- 9. In promoting civil society activism at the regional level it should be kept in mind that civil society organizations (CSOs) in different countries operate at their own pace, and dynamism which could vary widely depending on the circumstances of the country.**

**This, however, still leaves considerable scope for experience sharing among various CSOs, as to their modality of operations, as well as varying experiences. Through this process of experience sharing, there is a possibility that less active and weaker organizations may gain considerably and become more active as CSOs.**

- 10. While interstate relations are often seen as the exclusive concern of diplomats and experts, public positions are often assumed in international fora on the ground that they reflect citizen's concerns. Since citizens are rarely consulted in defining a country's external relations, it is appropriate that civil society should involve itself in indicating its own views on external relations through a process of civic engagement at the national level. This more engaged civil society should come together across national boundaries to share their concerns and work to resolve interstate problems which are often manipulated by regimes to perpetuate their hegemony over civil society.**
- 11. Track II diplomacy has proved very useful around the world in resolving many of the bilateral and regional problems. The series of Indo-Bangladesh dialogues organized by CPD at the non-governmental level has now become part of an well established tradition, as the process did influence Track I negotiations, and helped the two governments, from time to time, in reaching important decisions. Dialogue participants who crossed over into government had been sufficiently exposed to the concerns of either side through these dialogues. This exposure contributed to making them more receptive towards finding solutions to particular issues in such areas as water sharing or market access for Bangladesh's exports. Those who did not move into office, but who were in positions of public influence, were also left more aware of the concerns of the other country and could draw upon this in relevant areas of policymaking. At the same time ongoing programmes of civic activism at the national level can gain considerable leverage with their respective governments by citing the beneficial outcome of similar activism in neighbouring countries.**

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**Prepared by Ms. Najet Karaborni, Senior Interregional Advisor, SGMB/DPADM/ DESA/ UN and Mr. Nabil Ait Accache, Intern, SGMB/DPADM/DESA/UN New York, July 2006.**

**Reference: A Citizen's Social Charter for South Asia – An Agenda for Civic Action – Edited by Prof. Rehman Sobhan (South Asia Centre for Policy Studies (SACEPS), Centre for Policy Dialogue (CPD), The University Press Limited (Dhaka, Bangladesh, 2005)**

## ANNEX 8

# PARTICIPATORY BUDGETING METHODOLOGY

### What is Participatory Budgeting?

Participatory Budgeting (PB) programs are innovative policymaking processes. Citizens are directly involved in making policy decisions. Forums are held throughout the year so that citizens have the opportunity to allocate resources, prioritize broad social policies, and monitor public spending. These programs are designed to incorporate citizens into the policymaking process, spur administrative reform, and distribute public resources to low-income neighborhoods. Social and political exclusion is challenged as low income and traditionally excluded political actors are given the opportunity to make policy decisions. While the material benefits of PB are still being empirically studied and examined, it is without doubt that these programs are able to:

- Promote public learning and active citizenship
- Achieve social justice through improved policies and resources allocation
- Reform the administrative apparatus

(Wampler, 2000)

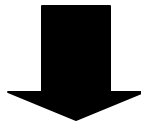
### Issues to Consider:

- **Socio -Economic Context:** No precise or exact model or methodology for PB programmes. PB programmes are structured in response to the particular political, social, and economic environment of each city or state. This annex presents the most well-known framework for PB that was utilized by the Brazilian City of Porto Alegre, and can be implemented elsewhere taking into account the national and local context.
- **Political Context:** PB programmes tend to be implemented by local and state governments. The elected governments tend to be progressive, with a focus on citizen participation and social justice. The political will has been the main catalyst for the implementation of many PB programmes around the world.

## THE STEPS:

**1) Agree on the practical arrangements and rules that are to be followed:**

*Participants must approve the rules  
and any subsequent changes*

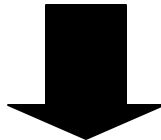


**2) Divide the municipality into regions and neighborhoods to facilitate meetings and resources distribution**

**3) Each region will form its own assembly to address its local needs and priorities**

**4) Establish Thematic Assemblies to focus on specific issues:**

**Transport and Traffic Circulation; Education; Leisure & Culture; Health; Social Welfare; Economic Development & Taxation; City Organization & Urban Development**



**5) Conduct two rounds of plenary assemblies in each of the regions and on each of the thematic areas.**

**6) Between the two rounds there are additional preparatory meetings in the micro regions of the city and on the thematic areas, without the participation of the municipal**

## FIRST ROUND OF ASSEMBLIES

**Duration:** 3 Months (ex. May-July)

**Highlights:**

Officials from the local government present the participants with general information about the city budget and the amount allocated for (PB).

After closure of the first assemblies, meetings are held in each neighbourhood, where residents draw up their list of priorities for investment in infrastructure.

### REGIONAL MEETING

**Role of Government:**

- Define districts and sub-districts
- Present the audience with general information on the city budget
- Prepare Quality of Life Index
- Assign municipality employees to work with each region
- Presents its own projects that it wants participants to approve for implementation

**Role of Participants (the poor):**

- Mobilization of citizen groups
- Conduct capacity-building meetings
- Analysis of financial information
- Preliminary discussions on available resources



### NEIGHBORHOOD MEETINGS

**Role of Government:**

- Provide detailed technical information
- Support given by bureaucrats to participants (i.e. photocopies, telephones)
- Meetings places and times established by government

**Role of Participants:**

- Discussion of priorities for municipalities
- Discussion of specific public works
- Pre-selection of public works

### Investment Priorities:

In several Brazilian cities, for instance, the resources allocated through PB are destined mainly to: street paving, sewerage, housing, shantytown urbanization, community equipment, health, and education

### The Quality of Life Index:

Distribution criteria established to assure a progressive distribution of the resources thus poorer areas receive more funding than the other ones, regardless of what the forums want. Each region's total investment share is weighted by regional level measures of its poverty and infrastructure needs to guarantee a progressive distribution of investments.



## SECOND ROUND OF ASSEMBLIES

**Duration:** 3 Months (ex. July-November)

**Highlights:** This round defines the policies and projects to be implemented by the government for the coming fiscal year.

At this stage, participants should have acquired sufficient information to promote the priorities of their communities and to make decisions.

Final decisions on specific public works or the definition of general social priorities are made at the regional meetings.

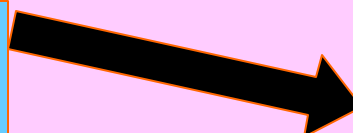
### REGIONAL MEETING

#### Role of the Government:

- Conduct an initial estimates of cost for proposed Projects
- Distribute information and arrange "Priority Trips"
- Monitors vote
- Oversees the Municipal Budget Council

#### Role of Participants:

- Debates on proposed policies or public works
- Conduct Priority Trips/Visits to sites of all proposed public works projects
- Vote on policies or public works to be implemented
- Election of 2 representatives from each region to Municipal Budget Council



### NEIGHBOURHOOD MEETINGS

#### Role of the Government:

- Technical staff works closely with the appointed oversight committees.
- Drafting of technical plans

#### Role of Participants:

- Continued mobilization on behalf of projects and policies
- Election for oversight committees
- Approval of technical plans

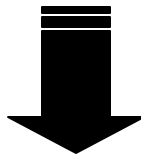


### **Priority Trips:**

Delegates make bus tours to check the problems indicated as priorities by the sub-regional meetings.

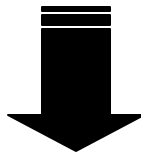
The aim is to give the delegates an overview of each region, stimulating a broader perspective of other regions' problems. It also aims to counteract the tendency of regional delegates to choose demands that are either too specific or too fragmented.

In addition to the Quality of Life Index, the Priority Trips are used by the Municipal Budget Council to finalize its list of projects to be undertaken.



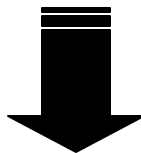
### **MUNICIPAL BUDGET COUNCIL**

- Deliberate and establish a district-wide priority list.
- Determine how to distribute funds for each priority among districts, based on certain criteria, namely:
  - a) The Quality of Life Index
  - b) The logistical, financial and technical feasibility of the project
  - c) Preference is given to works-in-progress
- Forward the proposed budget, selected projects and all allocations to the official authority in charge of budgeting (Mayor's office, City Hall)
- Monitor spending year-round and engage in regular discussion with local government personnel on issues related to follow-up and service provision

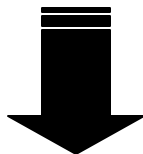


### **MAYOR'S OFFICE (Municipality)**

- Conduct a final review and add the proposal to pre-existing budget items (debt payments, personnel, etc.)
- Mayor's Office sends budget to legislature for approval



**APPROVAL BY LEGISLATURE** (*by September*)



## **IMPLEMENTATION, MONITORING AND SUPERVISION**

*(Year-long)*

### **Role of the Government**

- Preparation of technical plans, contracts, contacts, etc.
- Integration among administrative agencies
- Technical staff works closely with oversight committees.
- Oversees Municipal Budget Council

### **Role of Participants**

- Approval of technical plans
- Monitoring of order of project implementation
- On-site monitoring of project implementation
- Municipal Budget Council delegates meet once a week

## **FORMAT OF MEETINGS**

- Meetings, at the regional and neighborhood levels, tend to be roughly two hours long.
- The first part of the meetings is information-oriented in which participants can inform their colleagues.
- The second part is the formal presentation of information, and the last part is a question and answer period.
- Participants are generally limited to three-minutes to speak or ask questions. Three-minute time limits help to keep the pace of the meeting moving right along. Deliberation over priorities and projects occurs informally as participants analyze the probable level of resources for their region and begin negotiating with each other over proposed projects.

### **References:**

- Souza, Celina, "Participatory Budgeting in Brazilian Cities: Limits and Possibilities in Building Democratic Institutions," *Environment and Urbanization, Gra-Bretanha*, v. 13, n. 13, pp. 159-184, (2001).
- Wampler, Brian, *A guide to participatory budgeting*, World Bank (Oct. 2000)

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Prepared by Mr. Hosam Mekdad, Intern, SGMB/DPADM/DESA/UN; Comments by Mr. Adil Khan, Chief, SGMB/DPADM/DESA/UN; Guided, reviewed and finalized by Ms. Najet Karaborni, Senior Interregional Advisor, SGMB/DPADM/DESA/UN, August 2007

## **ANNEX 9**

### **Can Civil Society Add Value to Budget Decision-Making? A Note on the Rise of Civil Society Budget Work**

The Department of Economic and Social Affairs of the United Nations Secretariat published a study on the “Citizen Participation and Pro-poor Budgeting” in 2005. It seeks to show how the civil society may get involved in the budgeting process.

#### **The growth in independent applied budget work**

Budgets remain closed processes in developing countries. In most countries, public budgeting has long been considered the exclusive preserve of the executive. It is only recently that the value of opening budget processes to non-government input has been considered desirable in some countries. Indeed, since the 1990s, CSOs have begun to play a larger role in the budget process.

The vast majority of these groups operate independently of their country government and political parties. It is this independence that often underlies the unique oversight and information contribution of civil society to public budgeting. Independence does imply the possibility of criticism where necessary and this can lead to confrontation, especially where other strategies have not proved useful. They can develop analytical or advocacy expertise or some combination of these.

But there are also positive benefits for government in accepting budget groups (BGs) as a complementary player in fiscal policy. Indeed, there are several strong arguments for enabling civil society and legislature intervention in the budget.

The work of BGs, either directly or indirectly through the activities below, ultimately has the potential to improve budget decision-making. BGs may be able to deliver greater budget understanding and commitment from a broader group of citizens and better policy options.

Moreover, the relationship between civil society and government on budgetary issues is not necessarily confrontational and the work of applied BGs is compatible with increased public sector budgeting capacity.

BGs may strengthen government capacity, for example, by providing training, undertaking research of interest to government, by bringing new information to budget decision-making, working with government in forums and building the potential of the legislature.

They can simplify the budget and deepen debate collating, synthesizing and disseminating budget information. Government can also use engagement to focus and direct civil society to appropriate stages in the budget process. Most groups monitor every stage of the budget process, but often concentrate their interventions on a specific stage. Some groups monitor the impact of the budget on the poor or develop methodologies to monitor the welfare of specific interest groups such as women or children. Some groups may focus initially on expanding the budget envelope. As civil society budget engagement deepens, BGs are more likely to focus reprioritization and the effectiveness and efficiency of expenditures.

A partnership between civil society and legislatures is often the starting point for the development of local independent budget work. In many cases, civil society has been able to build or enhance research expertise that is lacking in legislatures, while legislatures can offer access to key moments in the budget process that are inaccessible to civil society. However, the role of legislatures in budgets is declining in Organization of Economic Co-operation and Development member countries. In contrast, the role of civil society and legislatures in the budget is increasing in several developing and transitional countries. It seems only natural that civil society work has begun to gravitate toward government budgets. The budget is the government's most important economic policy instrument and should therefore reflect the nation's priorities. All public policies eventually have to confront the need for financial resources and civil society groups can be more effective if they know about how the budget is drafted, approved, implemented and evaluated.



### Civil Society in the Budget Process

#### Drafting stage

The drafting stage is the most closed part of the budget process in virtually all countries and the most dominated by the executive. The drafting stage traditionally presents limited formal opportunities for civil society to add value to the budget. The intervention opportunities for civil society that do exist in the drafting stage are often informal, based on the organization's initiative and networks, and reliant on departmental and ministerial contacts. One of the ways in which BGs have taken the initiative to create opportunities in the drafting stage is to influence the set of priorities underlying budget policy choices.

### Legislative stage

Many budget groups focus considerable energy on this stage for several reasons. In most democracies, the budget is tabled and must be approved in the legislature. The legislative stage of the budget process offers :

- The strongest opportunity to increase the impact of the BGs' work
- The first formal opportunity for legislature representatives to debate and, in some cases, change the budget. This increases the opportunities for direct influence and the demand for NGOs services such as training and research
- Civil society direct intervention opportunities, such as public hearings.

*Given parliament's role as the representative of citizens, this stage is often considered the most appropriate point for civil society intervention. However, the effectiveness of civil society involvement in this stage depends on the strength of parliament's own power in the budget process.*

BGs' activities during the legislative stage:

- Preparation of accessible summaries and guides to the budget
- Budget training targeting at legislatures, media, CSOs and Government personnel
- Preparation and coordination of independent analysis

*Given the limited fiscal analysis capacity outside of the private sector in developing countries, this constitutes one of the few accessible, timely, critical interpretations of the budget. It is often the only available analysis on the implications of the budget for low-income communities.*

▪

### Implementation stage

Implementation is primarily an executive function.

For most applied BGs, the importance of this stage is the opportunity for collating information on expenditure, revenue and outputs that will contribute to the quality of their participation in the legislative stage. However, weak public implementation capacity and accountability mechanisms are driving budget organizations to focus on implementation issues.

At present, the participation of BGs is largely limited to collating information on priorities and implementation at the budget drafting and implementation phases.

On the contrary, there is probably greater capacity for civil society involvement than currently exploited in the auditing stage.

➤ **How Civil Society may get more involved in the Budget Process and add value?**

**In the drafting stage:** The Primary value may be BGs ability to bring new information to the public debate on citizen priorities and, through training, building the capacity of communities to take part in this process.

**During the legislative stage:** Bringing a pro-poor perspective to budget deliberations through building budget literacy, training and analysis. This is the stage where the analytical skills of applied BGs are most evident and where their ability to improve budgetary decision-making is maximized.

**During the implementation phase:** BGs may help to a limited extent in collating information on programme impact.

**In the audit stage:** BGs may be able to play a bigger role in helping legislatures to monitor the impact of the official audit and in interpreting and disseminating the findings of the auditor-general.

**These early results of the rise of BGs provide cause for optimism.**

- a) Groups have been established in diverse settings and shown resilience to significant political and data obstacles.
- b) There seem to be few organizations that cannot benefit from budget analysis skills.
- c) The growth in budget work is expected to continue to broaden and deepen in the developing world. Part of this growth may well take the form of greater interaction between BGs and other CSOs.

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Prepared by Mr. Nabil ait Accache , Intern, SGMB/DPADM/DESA/UN – Guided,  
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SGMB/DPADM/DESA /UN (July 2006).

## **ANNEX 10**

### **Civic Engagement in Policy Development at the Local Level: Practical Steps (NAGA City)**

To effectively implement civic engagement in policy development at the local level, the main practical steps are as follows:

- 1) Building confidence
- 2) Building institutions
- 3) Establishing a sustainable governance model

#### **I. Building Confidence**

##### **Features:**

Program me must focus on the immediate factors that contribute most to the poor's vulnerability and marginalization.

##### **Objectives: *Building mutual trust between the municipal authorities by:***

- Communicating the readiness and willingness of the administration to fully engage its various constituents in the process of the governance
- Empowering the urban poor sector by providing basic infrastructure and services, as well as livelihood opportunities to all in need
- Integrating the urban poor in the mainstream of development and making them more productive members of society

##### **Strategy to follow:**

- Adopt a "partner-beneficiary" perspective: Urban poor are seen both as programme partners and beneficiaries. They actively participate in every step of problem resolution.
- Adopt a policy of dealing only with urban poor organizations, not individuals. So interested applicants take the initiative in organizing themselves and ensuring that urban poor have a voice in policy-making.
- Ensure the sustainability of the programme through the adoption of ordinances and laws that secure funding for the project and establish specialized policy-making bodies to support it.

### **The Naga City Experience:**

To build mutual confidence between the municipal authorities and the poor, Naga, a medium-sized city in the Philippines, adopted a mass housing and poverty alleviation program that aims to reduce poverty, manage the effects of urbanization, facilitate asset-building and uplift the quality of life.

The programme focuses on securing land-tenure for poor urban beneficiaries by:

1. Institutionalizing innovative and functional mechanisms for permanently settling land-tenure problems between landowners and land occupants
2. Elevating living conditions of the urban poor through on-site area upgrading projects for blighted urban poor communities
3. Establishing intra-city relocation sites for victims in extreme cases involving eviction and demolition
4. Providing employment opportunities by introducing a livelihood component to the program



### **Strategy to follow:**

- Adopt an “*Empowerment Ordinance*” to formalize and provide a legal basis for a system of partnership and multi-level consultation between the city government and the local NGO community.
- Establish an umbrella group composed of local NGOs and POs, a *City People’s Council (CPC)* with which the city government can work and cooperate.
- The *Empowerment Ordinance* should include provisions for the technical and financial support of such a group.
- Establish an Empowerment Programme that allows the group to:
  1. Appoint NGO representatives to local special bodies of the city government;
  2. Observe, vote and participate in the deliberation, conceptualization, implementation and evaluation of projects, activities, and programs of the city government;
  3. Designate representatives to all city council committees;
  4. Propose legislation, participate and vote at the committee level;
  5. Act as the people’s representatives in the exercise of their constitutional rights to information on matters of public concern;
  6. Access to official records and documents.
- Representatives of the CPC should account for a considerable portion of all city councils, committees and planning boards (25% in the Naga City) and all other decision-making bodies in charge of formulating plans across multiple sectors.



## **II. Building Institutions**

### **Features:**

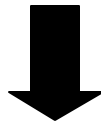
Establish a structure to achieve active partnership between the city government and the people in the formulation, implementation and evaluation of government policies, projects and activities. The ultimate aim is to establish a comprehensive framework to co-manage the city in certain mutually identified areas.

### **Objectives:**

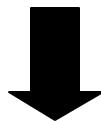
- To empower the marginalized sectors of society, thus enabling them to participate more actively in governing the city by organizing these sectors, and creating avenues for their meaningful participation in governance.
- To ensure sustainability and acceptability of local programmes or undertakings, thus increasing the likelihood of long-term success.
- To promote greater transparency and exact accountability in local governance.
- To harness skills and capacities of the local constituency, including individuals and organized groups.



**CPC participates in direction-setting, policy-making, as well as programme and project implementation, monitoring and evaluation at the city level**



**Active CPC participation engenders a positive change in the attitude of civil society towards city government. The programme does not merely bring ordinary people closer to their government, but systematically involve them in the processes of governance itself.**



### III. Establish a Sustainable Governance Model

#### Features

Establish a model that builds on the city's successes, innovations, lessons learned, and participative traditions and practices, with the aim of distilling and crystallizing the city's emerging experience into something that will continuously guide the local government in the business of governing.

#### Strategy to follow

*As cities are not built in a day, the local visioning process for adopting a governance model does not come about overnight. It has to evolve over time, building on individual and institutional management capabilities enhanced by local experiences and aspirations.*

*The following strategy is derived from the experience of Naga City. It does provide however a general framework which can be widely applicable in many other areas.*

#### Adopt an organic development perspective:

*A development prospective is the philosophy that anchors all development efforts and seeks to mainstream all sectors of society in accepting their role in local development. Naga City, for instance, embraced the concept of "growth with equity" as its core philosophy.*

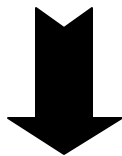


#### **Pursue a policy of continuing engagement in partnerships:**

- Establish partnership mechanisms between the local government and other community groups, government agencies or individuals.
- This enables the city to tap community resources for priority undertakings multiplying its capacity and enabling it to overcome resource constraints.

#### **Institutionalize people's participation:**

- Encourage and formalize mechanisms to enhance constituency participation.
- Such mechanisms promote long-term sustainability by generating broad-based stakeholdership and community ownership over local undertakings.



**Adopt specific programs to institutionalize positive experiences in local governance:**

- 1) To encourage participation of individual citizens, adopt programmes and mechanisms including the following:**
  - *Paper-based tools* such as *Citizens Charter*, *Performance Pledges* and *Citizens Boards* which contain copies of the annual city budget, financial statements, ordinances and executive orders, and other important documents for easy reference. These tools are intended to address the need of those who do not have computer access.
  - *Electronic Initiatives* to maximize the potentials of web and communications technologies.
- 2) Enhance accountability in local planning and budgeting processes by adopting initiatives such as:**
  - Using the Millennium Development Goals (MDGs) *as planning targets*
  - *Adopting multiple levels of consultation* at the sectoral and city levels
  - *Working with existing and mandated local councils and special bodies as basic planning unit* to establish baseline data, assess needs and craft programs
  - Implementing participatory budgeting at the departmental level *to guarantee* that budgetary allocations will be aligned with the city vision and mission statements and score cards that incorporate the MDGs

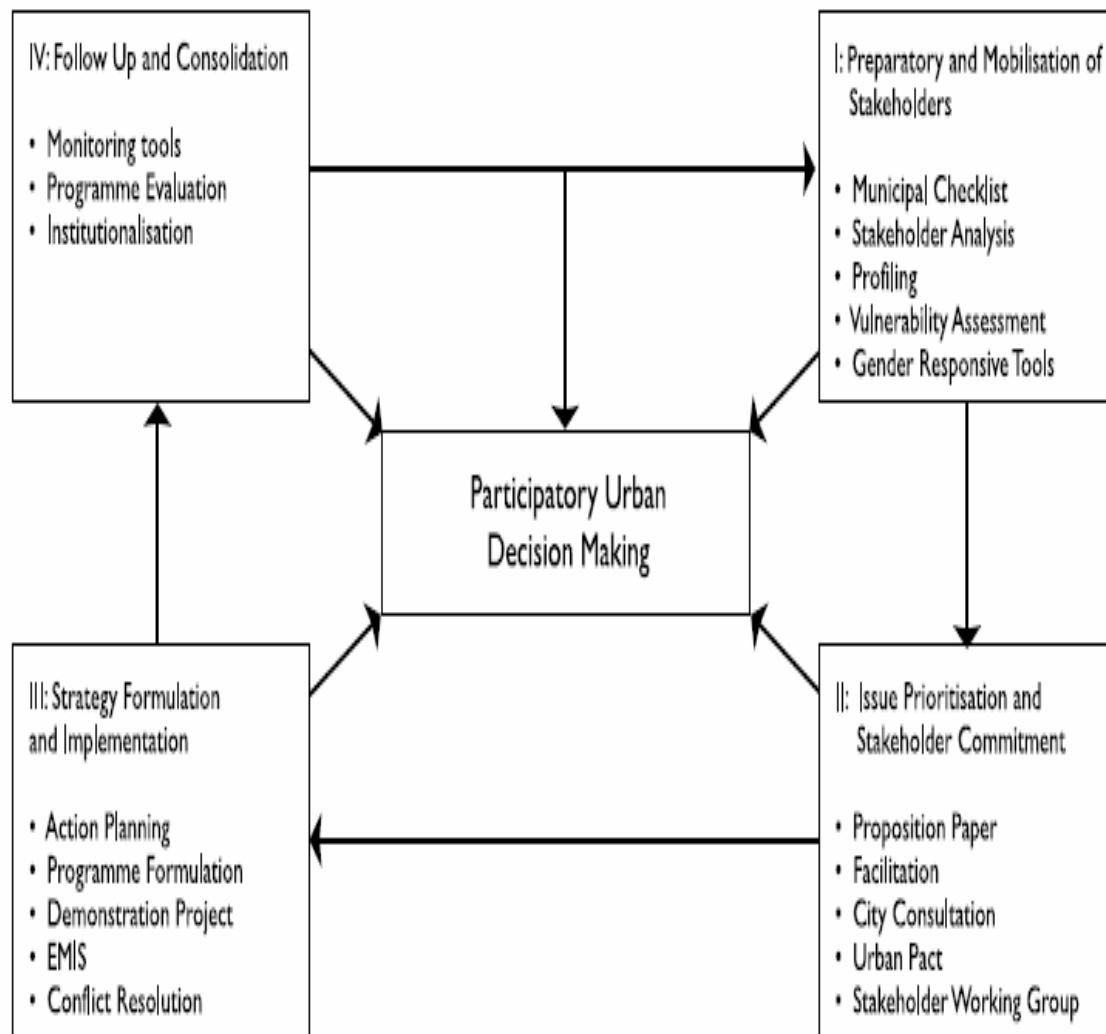
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Naga City website - <http://www.naga.gov.ph/>

Prepared by Mr. Hosam Mekdad, Intern, SGMB/DPADM/DESA/UN.  
Guided, reviewed and finalized by Ms. Najet Karaborni, Senior Interregional Advisor, SGMB/DPADM/DESA/UN - New York, August 2007

## ANNEX 11

### Tools to Support Participatory Urban Poverty Policy-Making



Source: UN-Habitat (2003)

## ANNEX 11 (A)

### Tools & Good Urban Governance (GUG) Norms

| Phase  | Tool                               | Purpose   | Relevant GUG Norms                     |
|--|------------------------------------|---|--|
| <b>Preparatory and Mobilisation of Stakeholders</b>    | ▪ Municipal Checklist              | • To assess the local situation and to customise the process accordingly  |  |
|  | ▪ Stakeholder analysis             | • To identify stakeholders and to analyse their roles   | • Equity                               |
|  | ▪ Gender                           | • To ensure equal participation of both men and women in decision making and gender responsive strategies and actions                                     | • Equity                               |
|  | ▪ Profiling                        | • To provide basic information and to inform prioritisation   | • Transparency                         |
|  | ▪ Vulnerability Assessment         | • To provide information about vulnerability of communities to disruption   | • Transparency                         |
|  | ▪ Proposition Paper                | • To provide an overview of situation analysis and review of options for focussed discussions (in consultations)  | • Transparency,<br>• Equity            |
| <b>Issue Prioritisation and Stakeholder Commitment</b> | ▪ City Consultation                | • To promote stakeholder dialogue, consensus building and commitment  | • Civic engagement,<br>• Participation |
|  | ▪ Stakeholder Working groups       | • To create a mechanism for cross-sectoral and multi-institutional coordination   | • Participation,<br>• Civic engagement |
|  | ▪ Facilitation                     | • To enhance stakeholders' contribution and to ensure effective participation and focus   | • Equity                               |
|  | ▪ Urban Pact                       | • To allow negotiated agreements between partners to be formalised and their commitments towards actions concretised                                      | • Accountability,                      |
| <b>Strategy Formulation and Implementation</b>         | ▪ Conflict resolution              | • To facilitate negotiations leading to consensus and/or win-win situations   | • Transparency,<br>• Equity            |
|  | ▪ Action Planning                  | • To elaborate general strategies into actor-specific and time bound targets and commitments whose results can be monitored                               | • Accountability                       |
|  | ▪ Programme Formulation Guidelines | • To provide a methodological framework for formulating programmes  | • Efficiency                           |
|  | ▪ EMIS                             | • To facilitate, identification of priority action areas and to support planning and investment decisions   | • Transparency,<br>• Efficiency        |
|  | ▪ Demonstration Projects           | • To demonstrate new approaches and solutions to urban development problems and thereby to induce replication   | • Efficiency                           |
| <b>Follow up and Consolidation</b>                     | ▪ Institutionalisation             | • To ensure new approaches are understood , accepted and routinely applied/ practised   | • Sustainability                       |
|  | ▪ Programme Evaluation Guidelines  | • To assess programme success and provide the basis for better programme design and implementation.   | • Efficiency                           |
|  | ▪ Monitoring                       | • To gauge progress in actual delivery of services and integration of the process and to feedback for replication/ up-scaling, adjustment and improvement | • Accountability                       |

## ANNEX 12

### CIVIC ENGAGEMENT SUCCESS STORY IN MAURITANIA

#### Civic Engagement Success Story in Mauritania

Najet Karaborni, Senior Interregional Advisor  
SGMB/DPADM/DESA/UN - (9 Oct 2006)

1) Title of the Best Practices/Innovations: Strengthening civil society capacity and enhancing its effective contribution to the development of Mauritania and to the United Nations and ECOSOC work in implementing the MDGs within good governance

2) Country: Mauritania

Organization/institution or sector who initiated such best practices: UNDESA in cooperation with UNDP-Mauritania and the Government of Mauritania, Commissariat for Human Rights, Fight against Poverty Alleviation and Integration (CDHLCPI).

Year when this was implemented: 2004 - 2006

3) Objectives/ Methodology/Process used in undertaking such best practices

To help implement the component related to strengthening civil society of the National Programme of Good Governance (PNBG) in Mauritania, the United Nations Department of Economic and Social Affairs (DESA) proposed to the Government of Mauritania and UNDP Office in Mauritania to engage NGOs and CSOs in public policies and especially pro-poor policies and programmes to fight against poverty and achieve sustainable development following a comprehensive, participatory and result-oriented process.

The methodological approach proposed and implemented in close cooperation with UNDP/Mauritania and the Government by DESA through its advisory services was based on the following:

- Strengthening civil society sector capacity and networking with strong linkages to the MDGs and the country main issues to be addressed: Organization and conduct in April 2004 of a capacity building workshop to launch the UN-NGO-Informal Regional Network (IRENE) in Mauritania, assess the urgent needs of the civil society sector and enhance the enabling environment for civil society participation in public policies and poverty fighting programmes.

- On-the-job training workshops for the main stakeholders involved: NGOs/CSOs, Government, local authorities and donor countries: As requested by the CSO/NGO participants of the April workshop, organization and conduct in August 2004 of a workshop on technical cooperation project formulation and in June 2005 of a workshop on professional ethics with the support of the Government
- Building consensus and enhancing participation, partnership and fundraising among all stakeholders: Organization of a roundtable of donor agencies and countries by the UNDP with the support of DESA
- Full support of the Government and UNDP/Mauritania to the whole process
- Sharing experiences among Least Developed Countries (LDCs) and linking operational activities to the intergovernmental process and the United Nations normative work: Organization and conduct in Mauritania in April 2004 of a regional workshop on resource mobilization to fight poverty bringing together CSOs/NGOs representing Francophone Africa LDCs to enhance their contribution to the ECOSOC High Level Segment (HLS); and a regional workshop at the end of the pilot project

4) [Key outcomes/accomplishments and lessons learned that emanated from such best practices](#)

This innovative initiative introduced a comprehensive and strengthened participatory process for the design and the formulation of a pilot project: “programme for sustainable development and fight against poverty in Dar Naim” by NGOs/CSOs with the support of the government, UNDESA and UNDP. The same approach will also serve for the implementation of the project. More specifically, the following key outcomes were accomplished:

- Social mobilization of civil society in Mauritania, dialogue among all stakeholders and consensus building on the main issues to be addressed, achievement of the relevant MDGs in Mauritania, and enabling environment of civic engagement created
- Organization of the civil society based on its relevant work and experience: Eight CSO/NGO thematic groups related to the different MDGs and Mauritania’s main issues to be addressed were formed. Each one of these groups designated a focal point.
- Networking: A national network, the UN-NGO-IRENE/Mauritania, was established and one NGO was selected to act as coordinator in close cooperation with and the support of the thematic focal points.
- Result-oriented training: During the on-the-job training workshops, (i) a very poor locality (Dar Naim) was selected in consultation with the government and the support of the Mayor of Dar Naim as the area of intervention of a pilot holistic and integrated programme on poverty alleviation and sustainable development, (ii) a project document (Projet de Développement Durable et de Lutte contre la Pauvreté: PDDLDPN) was designed, formulated and drafted by the CSO/NGO participants at the workshop with the support of the DESA Senior Interregional Advisor ; and (iii) a code of conduct for CSOs and NGOs was formulated and agreed upon.

## Civic Engagement in Public Policies: A Toolkit

- Institutional process & administrative arrangement & Government support: Project finalized, approved and signed by UNDP and the Government in April 2006 with DESA support. A cost sharing convention also signed in April 2006 and a steering committee established to facilitate the implementation of the project by Mauritanian CSOs/NGOs
- Monitoring/Evaluation by all and sharing experiences among LDCs:
  1. Two workshops will be conducted with the support of DESA as follows:
    - A national workshop at the mid term review to evaluate the implementation of the project by NGOs/CSOs and come up with recommendations and proposals
    - A regional workshop at the end of the project with the participation of Francophone Africa LDCs to share the findings of the project and experience with other countries and expand the pilot experience to other areas in Mauritania and other LDCs which participated in the regional workshop of April 2004
  2. A documentary/film on the pilot project will be produced and presented at international and regional events to follow up the Mauritania initiative.
- Linking operational activities to the intergovernmental process and the United Nations normative work: Formulation of a statement by the Francophone Africa LDCs on “resource mobilization and enabling environment to eradicate poverty” and its presentation to the ECOSOC HLS of June 2004 by a tripartite Mauritanian delegation composed of top level government officials (two ministers), CSOs (two presidents of NGOs) and the UNDP Resident Representative and UN Resident Coordinator in Mauritania

5) Factors that led to its success or failure : This initiative was very successful taking into account: The full support of the Government to civic engagement in public policies, as well as to poverty alleviation and sustainable development with the creation of enabling environment; the commitment of UNDP/Mauritania and civil society to highly contribute to Mauritania development and poverty fighting in a sustained way; the win/win participatory approach proposed by DESA and adopted by all; the clear understanding and distribution of roles among all; and the relevance of the workshop on professional ethics which was very useful and helpful for common understanding of the civic engagement rules as several notions were clarified and agreed upon.

6) DESA' s role/participation in the conceptualization or implementation of such innovations: DESA together with UNDP/Mauritania played a major role as mentioned above.

7) Bibliographical references/sources used in obtaining such best practices/ innovations: [www.unpan.org/n go](http://www.unpan.org/n go)



## **ANNEX 13**

# **Resolution on NGO Participation Continues to Gain Support**

**By Victoria Clarke**

*"...for the moment, the involvement of NGOs in United Nations special sessions and conferences is negotiated case-by-case. It is a time- and resource- consuming exercise. I believe that the diversity of civil society should not stop us from exploring general, system-wide guidelines and harmonizing common practices and models".*

**From a key note address by UN General Assembly President Harri Holkeri to the Conference of Non-Governmental Organizations in Consultative Status with the United Nations (CONGO), Vienna, November 6, 2000.**

**What is to be the role of independent non-governmental organizations within the United Nations system? This question continues to be asked again and again, from one grey UN conference room to another.**

**In our continuing effort to press for consultative arrangements for non-governmental organizations (NGOs) within the UN General Assembly, the World Federalist Movement has been tracking the various negotiations for NGO participation in General Assembly convened global conferences, special sessions and other events. What we are finding is that these negotiations occur again and again, sometimes being carried over from one Preparatory Commission (PrepCOM) session into the next, but then finally coming back to the same language applied in prior instances. These deliberations are largely due to the fact that each time the Preparatory Commission consists of a new set of government delegates unfamiliar with existing precedents for NGO participation from prior meetings.**

**In the meantime, some governments are able to use the issue of NGO participation as a political negotiating tool. For instance, in the second and third Preparatory Commission meetings for the Conference on Illicit Trade in Small Arms, agreement on the rules of attendance for NGOs was held up by a few member states. NGOs reported that a number of governments made strong off-the-record statements supporting NGO participation, but said they did not want to derail the discussion at hand by taking time to argue the issue.**

**The General Assembly is the central policy-making body of the UN including practically every major treaty and convention. The General Assembly is also the convener of almost all of the world's major conferences and "Special Sessions" on topics of concern to both NGOs and the world community. One such example is the upcoming Special Session on HIV/AIDS planned for the beginning of June 2001. However, because the UN Charter only granted NGOs "consultative status" with the UN Economic and Social Council (ECOSOC), language for NGO participation in General Assembly convened events must be rewritten each time. Additionally burdensome for both the UN Secretariat and NGOs is that once the language for participation is agreed upon, NGOs have to reapply for their organization's accreditation.**

**It is for this reason that the WFM Secretariat, in our capacity as convener of the International NGO Task Group on Legal and Institutional Matters (INTGLIM), has drafted the UN General Assembly NGO Resolution. The proposed resolution has been written in consultation with hundreds of NGOs from both the North and South. It establishes minimum standards for NGOs' participation based on precedents from the past five global conferences. The General Assembly NGO Resolution would insure that NGOs are invited to participate in General Assembly convened events, including conferences and Special Sessions. It would also formally establish the right for accredited NGOs to attend General Assembly open meetings, receive General Assembly documentation, and be able to make available their reports and written documents. Such is current existing practice; however, because NGOs have no ongoing rights in the context of the General Assembly, modalities for NGOs' participation are granted on an ad hoc basis and must be renegotiated each time. In essence, the General Assembly NGO Resolution merely calls for formally recognizing 55 years of existing practice of civil society participation in the work of the General Assembly.**

**With the passage of the General Assembly NGO Resolution, discussions could move from the old question of whether NGOs will be invited, to focus on questions surrounding how NGOs will participate. Such discussions could lead to more fruitful and innovative strategies for NGO participation, for example, through panel discussions or round tables.**

**Now is a particularly appropriate time to establish a baseline for NGO status with the General Assembly. The UN is entering into a series of ten year review conferences of the global conferences of the 1990s (i.e. the 1992 Conference on Environment and Development in Rio, the 1994 International Conference on Population and Development in Cairo, the 1995 World Summit for Social Development in Copenhagen, the 1995 Fourth World Conference on Women in Beijing).**

**Already, time was wasted this April during the first PrepCom for the follow up to the 1992 Earth Summit in Rio.**

**During the Earth Summit+10 PrepCom the Group of 77 developing countries called for revisiting procedures for NGO participation, and suggested NGOs accredited to the Commission on Sustainable Development would have to reapply for accreditation to the Rio+10 / World Summit on Sustainable Development scheduled to take place in Johannesburg in 2002. After wasted time the Preparatory Commission once again, concluded by coming back to past precedents.**

**It is INTGLIM's assumption that governments must be increasingly exhausted by these endless negotiations over NGO participation. We are thus embarking on exploratory meetings with potential ally governments to present the General Assembly NGO Resolution and get their views on the issue of NGOs receiving consultative status with the General Assembly.**

**A recent meeting between INTGLIM and Bangladesh gave encouragement to our efforts. Bangladesh's Ambassador Chowdhury and the First Secretary assured us that the General Assembly NGO Resolution had Bangladesh's unequivocal support. Ambassador Chowdhury told us, "We cannot argue nor implement without NGOs' help." His comment on the General Assembly NGO Resolution was that, if anything, we should ask for greater rights. The Ambassador and the First Secretary outlined a scenario for how Bangladesh might be able to assist with presentation of the resolution to the General Assembly. They also provided advice on other NGO-friendly governments to approach.**

**INTGLIM's strategy for passage of the resolution employs a long-term approach. From these meetings with governments we intend to identify a group of 10 to 20 UN member states that are willing to sponsor the Resolution for presentation to the GA. This group will be comprised of nations representing all regions, North and South, and all existing groups including G77 and non-aligned nations as well as European and industrialized States. Such an assemblage is intended to avoid polarizations that would mark the NGO Resolution as an initiative of a particular grouping of states.**

**We are simultaneously building a coalition of NGO endorsers of the resolution working on a broad spectrum of issues. The NGO Resolution has already garnered some significant endorsements. At its annual meeting in Vienna in November 2000, the Conference of Non-Governmental Organizations in Consultative Status with the UN (CONGO) reiterated its support for NGOs' General Assembly consultative status. Greenpeace International, Institute for Agriculture and Trade Policy, the European Environmental Bureau, the Basel Action Network and most recently, Amnesty International, have each written open letters to Heads of States, Foreign Ministers and UN Missions calling them to support INTGLIM's General Assembly NGO Resolution. In addition numerous groups working on such issues as sustainable development, the environment, women's rights, children's rights, humanitarian relief, peace, and disarmament among many others have signed on as endorsers of the NGO Resolution.**

## **Civic Engagement in Public Policies: A Toolkit**

**This NGO coalition of endorsers has a vital role to play in activating UN member states to pass the NGO Resolution. In November 2000, Canada hosted an informal working lunch that consisted of a number of likely government supporters of the NGO Resolution. While the assembled government delegates expressed general support for the resolution, many said they lacked mandates from their governments to actively work on this issue .**

**We are therefore encouraging the NGO endorsers to write their respective government ministers in national capitals to urge them to instruct their UN Missions to work towards passage of the NGO Resolution.**

**Indeed, it may take another couple of years before the NGO Resolution has sufficient support to be passed intact. Some argue that now is not the time for civil society to be pushing for greater access to the UN. Protests such as in Seattle in 1990 and in Quebec are resulting in a backlash against NGOs, causing governments to be more wary of NGOs than ever. However, INTGLIM believes this is precisely why we must now articulate the importance of NGO participation and make a strong case for finally, after fifty-five years of existing practice, legally and formally establishing NGOs' rights in the context of the General Assembly.**

## **ANNEX 14**

### **Evaluation Sheet For Training Activities**

#### *Evaluation Form*

#### **Feedback Questions**

**Title of the Workshop:**

**Your overall impression of the training workshop:**

- Excellent** ☐
- Very good** ☐
- Satisfactory** ☐
- Unsatisfactory** ☐
- Poor** ☐

**Quality and clarity of training documentation:**

- Excellent** ☐
- Very good** ☐
- Satisfactory** ☐
- Unsatisfactory** ☐
- Poor** ☐

## Civic Engagement in Public Policies: A Toolkit

### Clarity of the workshop objectives:

- Excellent ☐
- Very good ☐
- Satisfactory ☐
- Unsatisfactory ☐
- Poor ☐

### Extent to which the objectives of the workshop were achieved:

- Excellent ☐
- Very good ☐
- Satisfactory ☐
- Unsatisfactory ☐
- Poor ☐

### Extent to which you were satisfied with the working relations within the organization:

- Excellent ☐
- Very good ☐
- Satisfactory ☐
- Unsatisfactory ☐
- Poor ☐

### Quality of the materials/media used during the activity:

- Excellent ☐
- Very good ☐
- Satisfactory ☐
- Unsatisfactory ☐
- Poor ☐

## Civic Engagement in Public Policies: A Toolkit

### Overall quality of the activity:

- Excellent ☐
- Very good ☐
- Satisfactory ☐
- Unsatisfactory ☐
- Poor ☐

### Relevance of the activity to the needs of your organization:

- Excellent ☐
- Very good ☐
- Satisfactory ☐
- Unsatisfactory ☐
- Poor ☐

What was the most useful element of the training workshop?

What was the least useful element of the training workshop?

Additional comments and suggestions:

First Name: \_\_\_\_\_

Last Name: \_\_\_\_\_

Complete Address: \_\_\_\_\_

Tel/Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_

Source: DPADM/UNDESA website: [www.unpan.com](http://www.unpan.com)

## ANNEX 15

# SAMPLE OF LOGICAL FRAMEWORK

| <i>Intervention logic</i>  | <i>Indicators</i>   | <i>Source of verification</i>  | <i>Risks/ Assumptions</i>  |
|--|---|--|--|
| <b>Objective:</b><br><br><b>Strengthen the capacity of countries in the ECOWAS region for the production and analysis, on a regular basis, of benchmark statistics required for national policy planning and for development and monitoring of the millennium indicators .</b>   |   |  |  |
| <b>EA1</b><br>Strengthened capacity and skills of staffs in national statistical offices in the countries to adequately respond to national and international demands for timely and reliable statistics, and in particular to develop and disseminate data for national and international progress reports on the Millennium Development Goals (MDGs) | Increased availability and coverage, and improved quality of the MDGs indicators;<br><br>Increased use of official statistics by the public and the media;<br><br>Staff in NSO better trained | National and international MDGs progress reports<br><br>National Human Development Reports | Staff turnover<br><br>Competing technical cooperation activities leading to possible duplication and extra burden on NSO |
| <b>1. Main activities</b><br><br>1.1 Workshop on statistical activities planning, data analysis, dissemination and user relations<br>1.2 Workshop on energy and environment statistics   |   |  |  |



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|   |  |  |   |
|---|--|--|---|
| <b>EA2</b><br>Improved organization of the statistical systems and user-producers relations   | Increased use of official statistics by the public and the media;<br><br>Staff in NSO better trained   | Other statistical and analytical reports and those mentioned under EA1   | Political resistance  |
| <b>2. Main activity</b> 2.1 Workshop on statistical organization and user-producer relations  |  |  |   |
| <b>EA 3</b><br>Development of common methodologies and classifications for the collection of data and common statistical priorities and, in particular, with specific reference to poverty statistics and the MDGs indicators | Use of common statistical definitions and methodologies by national statistical offices<br><br>Established and maintained list of core develop indicators with relevance to the ECOWAS development priorities  | A publication of poverty indicators and assessment for the ECOWAS countries to be prepared under this project<br><br>MDGs progress reports<br><br>International Human Development Report | Resistance by countries to adopt new standards for the following reasons:<br><br>(a) it might require new training and have financial implications.<br><br>(b) it could lead to non-comparability of statistical series . |
| <b>3. Main activities</b>   | 3.1 Workshop on poverty statistics<br>3.2 Expert group meeting on harmonization of statistics in the region with special focus on the statistics used in major conference follow-up and the MDGs<br>3.3 A publication on poverty indicators and assessment for the ECOWAS region<br>3.4 Short study tours within the ECOWAS region |  |   |
| <b>EA 4</b><br>Strengthened coordination and communication among countries  | Improved collaboration between ECOWAS secretariat and the NSOs of the member States<br><br>Improved communication between countries  | Communications and data exchanges between ECOWAS Secretariat and the NSOs<br><br>List of participants in national and regional statistical and related fora                              | Communications breakdown in some of the member countries  |

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|  |  |  |   |
|--|--|--|---|
| <b>4. Main activities</b><br>4.1 Expert group meeting on harmonization of statistics (See A 3.1)<br>4.2 Enhancing ICT (See EA 5)<br>4.3 Short study tours within the ECOWAS region |  |  |   |
|  |  |  |   |
| <b>EA 5</b><br>Upgraded information and communication technology to promote networking among statistical offices in the region   | Wide use of information technology by NSOs in statistical activities<br><br>Increased electronic data and file transfer within and between countries in the region   | Websites established and made operational in NSOs<br><br>Performance report (number of visits) of websites established at ECOWAS Secretariat and in NSOs | Financial constraints could limit or delay improvement/update IT infrastructure.      |
| <b>5. Main activities:</b><br>5.1 Enhancing Information and Communication Technology (ICT)<br>5.2 Advisory services  |  |  |   |
| <b>EA 6</b><br>Strengthened capacity of the Statistics Division of ECOWAS in promoting regional statistical coordination   | Increased collaboration between ECOWAS Secretariat and its members countries<br><br>Use of ECOWAS website by countries and by NSOs in particular<br><br>Established and maintained list of core indicators with relevance to the ECOWAS development priorities | Reports of meetings and activities organized by ECOWAS Secretariat<br><br>ECOWAS annual reports<br><br>Performance reports of ECOWAS website             | Competing priorities may not allow key staff of NSOs to attend fellowship programmes. |
| <b>6. Main activities:</b><br>6.1 Expert group meeting on harmonization of statistics (See EA 3)<br>6.2 Enhancing ICT<br>6.3 Short study tours within the ECOWAS region            |  |  |   |

Source: UNDESA Technical Cooperation Project

## ANNEX 16

### Results-Based Work Plan Sample

| Expected Accomplishment<br>(EA)  | Main Activity  | Timeframe by<br>Output/Activity |          |          |
|--|--|---------------------------------|----------|----------|
|  |  | 2004                            | 2005     | 2006     |
| <b>EA 1: Strengthened capacity and skills of staffs in national statistical offices in the countries to adequately respond to national and international demands for timely and reliable statistics, and in particular to develop and disseminate data for national and international progress reports on the MDGS</b> | <b>A1.1 Workshop on statistical activities planning, data analysis, dissemination and user relations</b>   |                                 |          | <b>X</b> |
|  | <b>A1.2 Workshop on energy and environment statistics</b>  |                                 | <b>X</b> |          |
| <b>EA 2: Improved organization of the statistical systems and user-producer relations</b>  | <b>A 2.1 Workshop on statistical organization and user-producer relations</b>  |                                 | <b>X</b> |          |
| <b>EA 3: Development of common methodologies and classifications for the collection of data and common statistical priorities and, in particular, with specific reference to poverty statistics and the MDGs indicators</b>  | <b>A 3.1 Workshop on poverty statistics</b>  | <b>X</b>                        |          |          |
|  | <b>A 3.2 A publication on poverty indicators and assessment for the ECOWAS region</b>  |                                 |          | <b>X</b> |
|  | <b>A 3.3 Expert group meeting on harmonization of statistics in the region with special focus on the statistics used in major conferences follow-up and the MDGs</b> | <b>X</b>                        |          |          |
|  | <b>A 3.4 Study tours</b>   | <b>X</b>                        | <b>X</b> | <b>X</b> |
| <b>EA 4: Strengthened coordination and communication among countries</b>   | <b>A 4.1 Expert group meeting on harmonization of statistics (See A 3.3)</b>   | <b>X</b>                        | <b>X</b> | <b>X</b> |
|  | <b>A 4.2 Enhancing ICT (See EA 5)</b>  | <b>X</b>                        | <b>X</b> |          |
|  | <b>A 4.3 Study tours</b>   | <b>X</b>                        | <b>X</b> | <b>X</b> |
| <b>EA 5: Upgraded information and communication technology to promote networking among statistical offices in the region</b>   | <b>A 5.1 Enhancing ICT</b>   | <b>X</b>                        | <b>X</b> |          |
| <b>EA 6: Strengthened capacity of the Statistics Division of ECOWAS in promoting regional statistical coordination</b>   | <b>A 6.1 Expert group meeting on harmonization of statistics (See A 3.3)</b>   | <b>X</b>                        | <b>X</b> | <b>X</b> |
|  | <b>A 6.2 Enhancing ICT</b>   | <b>X</b>                        | <b>X</b> |          |
|  | <b>A 6.4 Study tours</b>   | <b>X</b>                        | <b>X</b> | <b>X</b> |

## ANNEX 17

# Results-Based Budget Sample

### Summary Budget (US\$)

| Object class | Object Description          | Allotment |
|--------------|-----------------------------|-----------|
| 604          | Consultants fees and travel | X         |
| 604          | Ad hoc expert group meeting | X         |
| 605          | UN Volunteer                | X         |
| 608          | Travel of staff             | X         |
| 612          | Contractual services        | X         |
| 616          | General operating expenses  | X         |
| 618          | Acquisition of equipment    | X         |
| 621          | Training                    | X         |
| <b>Total</b> |                             | <b>X</b>  |

### Total budget: US\$ xxxx

| Expected accomplishment (EA)   | Main activity  | Budget lines   | Amount |
|--|--|--|--------|
| <b>EA 1:</b> Strengthened capacity and skills of staffs in national statistical offices in the countries to adequately respond to national and international demands for timely and reliable statistics, and in particular to develop and disseminate data for national and international progress reports on the millennium development goals | A1.1 Workshop to improve statistical infrastructures and to develop a common approach to official statistics | 621 - Travel of participants   | X      |
|  |  | 608 - Travel of staff in support of training activities  | X      |
|  |  | 604- Consultant fees and travel  | X      |
|  |  | 605 - UN Volunteer   | X      |
|  |  | 612 – Contractual services (translation and interpretation services; rental of facilities and equipment; etc.) | X      |
|  |  | 616 - General operating expenses   | X      |
|  | A1.2 Workshop on energy and environment statistics   | 621- Travel of participants  | X      |
|  |  | 608 - Travel of staff in support of training activities  | X      |
|  |  | 604- Consultants fees and travel   | X      |
|  |  | 605 - UN Volunteer   | X      |
|  |  | 612 – Contractual services (translation and interpretation services; rental of facilities and equipment; etc.) | X      |
|  |  | 616 - General operating expenses   | X      |

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|   |   |  |   |
|---|---|--|---|
| <b>EA 2:</b> Improved organization of the statistical systems and user-producer relations   | A 2.1 Workshop on statistical organization and user-producer relations  | 621 - Travel of participants   | X |
|   |   | 608 - Travel of staff in support of training activities  | X |
|   |   | 604 - Consultant fees and travel   | X |
|   |   | 605 - UN Volunteer   | X |
|   |   | 612 – Contractual services (translation and interpretation services; rental of facilities and equipment; etc.) | X |
|   |   | 616 - General operating expenses   | X |
| <b>EA 3:</b> Development of common methodologies and classifications for the collection of data and common statistical priorities in areas such as economic and social statistics | A 3.1 Workshop on poverty statistics  | 621 - Travel of participants   | X |
|   |   | 608 - Travel of staff in support of training activities  | X |
|   |   | 604 - Consultant fees and travel   | X |
|   |   | 605 - UN Volunteer   | X |
|   | A 3.2 A publication on poverty indicators and assessment for the ECOWAS region  | 612 – Contractual services (translation and interpretation services; rental of facilities and equipment; etc.) | X |
|   |   | 616 - General operating expenses, including in-house printing of publication on poverty indicators             | X |
|   | A 3.3 Expert group meeting on harmonization of statistics in the region with special focus on the statistics used in major conferences follow-up and the MDGs | 604 - Expert group meeting   | X |
|   |   | 608 - Travel of staff in support of expert group meeting activities  | X |
|   |   | 604- Consultants fees and travel   | X |
|   |   | 605 - UN Volunteer   | X |
|   |   | 612 – Contractual services (translation and interpretation services; rental of facilities and equipment; etc.) | X |
|   |   | 616 - General operating expenses   | X |
|   | A 3.4 Study tours   | 621 - Travel of participants   | X |

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|   |  |   |          |
|---|--|---|----------|
| <b>EA 4:</b> Strengthened coordination and communication among countries  | A 4.1 Expert group meeting on harmonization of statistics  | (see A3.3 – no additional cost)   | X        |
|   | A 4.2 Enhancing ICT  | (see EA5)   | X        |
|   | A 4.3 Study tours  | 621 - Travel of participants  | X        |
| <b>EA 5:</b> Upgraded information and communication technology to promote networking among statistical offices in the region                  | A 5.1 Enhancing ICT  | 618 - Acquisition of equipment  | X        |
|   |  | 608 - Travel of staff in support of activities related to ICT   | X        |
|   |  | 605 - UN Volunteer  | X        |
| <b>EA 6:</b> Strengthened capacity of the Statistics Division of ECOWAS and Steering Committee in promoting regional statistical coordination | A 6.1 Contribute to the coordination of statistical activities at the sub-regional, regional and international levels. | Expert group meeting on harmonization of statistics (see A3.3)<br><br>608 - Travel of staff in support of statistical coordination activities | X        |
|   | A 6.2 Enhancing ICT  | (see EA5)   |          |
|   |  | 605 - UN Volunteer  | X        |
|   | A 6.4 Study tours  | 621 - Travel of participants  | X        |
| External evaluator (consultancy)  |  | 604- Consultant's fees and travel   | X        |
| <b>TOTAL</b>  |  |   | <b>X</b> |

**Source: UNDESA Technical Cooperation Project**

## ANNEX 18

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