

HANDLEIDING VOOR HET OPSTELLEN VAN PARTICIPATIEVE RESSORT EN DISTRICTSPLANNEN

Romeo Ramlakhan

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I. Inleiding.

Decentralisatie strategien zijn pas effectief, efficiënt en transparant als ze gekenmerkt worden door een proactieve participatie zijdens de burgerij, al dan niet georganiseerd in burger- en andere grass roots organisaties. Decentralisatie impliceert immers overdracht van macht en besluitvormingscapaciteit over publieke middelen, meer specifiek van de centrale machtsorganen naar de lokale overheden. Daarom is het van essentieel belang dat lokale overheidstructuren over voldoende institutionele capaciteit beschikken (geschoold en getraind personeel, technische hulpmiddelen, basisinfrastructuur, efficiënte planningsmechanismen o.a.), en totaal transparant zijn bij de aanwending van die middelen. Dit laatste maakt de georganiseerde incorporatie van de lokale gemeenschap in de besluitvormingsmechanismen binnen de Districtsoverheden tot een verijdelde noodzaak. Theoretisch gezien gaat het om een overschakeling van een representatieve democratie naar een participatieve democratie op lokaal nivo.

Deze handleiding spruit voort uit de vele activiteiten van de DLGP ter verterking van de Districtsoverheden in het kader van de administratieve en financiële decentralisatie, verbetering van de leefomstandigheden van de burgerij en het bevorderen van duurzame ontwikkeling op lokaal nivo. Het doel van dit document is om de actoren betrokken bij het opstellen van participatieve Ressort- en Districtsplannen een internationaal aanvaardbaar instrument te verschaffen, die makkelijk te begrijpen en te implementeren is. De hierbij beschreven methodologie voor het opstellen van participatieve Ressort- en Districtsplannen is gebaseerd op internationale standaarden, afgeleid van alom erkende “best practices” op dit gebied en aangepast aan de

Surinaamse context. Een eenvoudige diagnose hiervan, bekenen vanuit het perspectief van participatie in de lokale overheidsorganen, weerspiegelt hetvolgende:

	Sterkten	Zwakten
Locale Overheden	<ul style="list-style-type: none"> • Politieke wil aanwezig bij lokale autoriteiten om burgerparticipatie in bestuur van het District te bevorderen. • Aanvaardbare nivo van organisatie en interactie tussen lokale overheidstructuren en burger organisaties. 	<ul style="list-style-type: none"> • Hoge mate van centralisatie in interne besluitvorming. • Fragiele communicatie en coördinatie tussen Districts autoriteiten, en tussen autoriteiten en burger organisaties. • Weinig toegang tot informatie van de lokale overheden. • Lage capaciteit van lokale ambtenarij, bovendien gekenmerkt door clientelisme. • Zwakke technische bijstand aan burger organisaties. • Geen institutionele structuren voor integratie van burgerorganisaties in planningsprocessen. • Beperkte financiële middelen en autonomie.
	Sterkten	Zwakten
Locale Civil Society	<ul style="list-style-type: none"> • Aanvaardbaar organisatie nivo. • Onderhouden relaties met local bestuur, veelal direct met de Districts Commissaris. • Onderkennen het belang van burgerparticipatie voor het gezamenlijk oplossen van problemen. • Actieve participatie van vrouwen. 	<ul style="list-style-type: none"> • Zwakke interne organisatie structuur. • Geen onderlinge coördinatie, communicatie en cooperatie om gemeenschappelijke doelen na te streven. • Over het algemeen geen permanente communicatie en coördinatie met de samenleving. • Staan vaak onder (indirecte) invloed van politieke partijen. • Beperkte capaciteit voor controle en evaluatie op overheidshandelen.

Zoals zal worden opgemerkt, sluit deze handleiding voor het opstellen van participatieve Ressorts- en Districtsplannen grotendeels aan op de hierboven beschreven situatieanalyse. Middels dit instrument wordt getracht te geraken tot de institutionalisering van participatieve structuren in lokale overheids- taken en diensten, vooral om de organisatie, participatie, communicatie en transparantie te waarborgen.

II. Basisconcepten Participatie.

Participatie is een sociaal proces waarbij een verscheidenheid aan actoren, elkeen met hun eigen interesses en uitgangspunten, in interactie met elkaar treden om collectieve doelen te bereiken. Zoals in het onderstaand tabel wordt aangegeven, kunnen participatiestrategieën op verschillende uitgangspunten gebaseerd zijn:

WAAROM PARTICIPATIE?	
Basisgedachte	Omschrijving
Participatie ter bestrijding van de marginalisatie of uitsluiting.	Participatie impliceert integratie van alle groepen uit de samenleving in bestuursprocessen.

Uitgaande van deze basisgedachten kan men onderscheid maken in verschillende soorten van participatie, afhankelijk van de interesses of doelen die de burgers nastreven:

Participatie ter bestrijding van clientelisme en corruptie.	Participatie bevordert de sociale controle op overheidsstructuren en hun "performance", de ambtenarij, het gebruik van patrimonieel goederen.
Participatie voor herdefiniering van de rol van de overheid binnen de economie.	Via participatie kan de overheid bepaalde taken en verantwoordelijkheden van zich afstoten naar de private sector of NGO's.
Participatie voor hervorming en modernisering van het Staatsapparaat.	Participatie verhoogt de druk en de noodzaak voor een efficiëntere en effectievere publieke dienstverlening.

- **Sociale participatie:** refereert naar de groepering van burgers in sociale organisaties met het doel de interesses en idealen van die organisaties in bepaalde sectoren te vertegenwoordigen en te verdedigen, bv. milieubescherming, betere sociale voorzieningen, betere openbare veiligheid etc.
- **Gemeenschap participatie:** refereert naar de participatie van burgers in gemeenschapsorganisaties met het doel hun directe leefomstandigheden en/of het algemeen welzijn in de localiteit te verbeteren, bv. asfaltering van wegen, aanleg van een park etc.
- **Politieke participatie:** hierbij gaat het om de invloed die de burgers uitoefenen op het machtsstelsel en de configuratie van het politiek bestel, hetzij via het uitbrengen van een stem op een bepaalde politieke partij of kandidaat tijdens de verkiezingen, of zichzelf als kandidaat profileren voor een bepaalde politieke post.

Aan de andere kant, kan participatie binnen een bepaald bestuursproces op verschillende manieren ter uitdrukking komen:

- **Via informatieverstopping:** informatieverstopping vanwege de burgerij is het meest elementaire nivo van participatie, doch is onontbeerlijk voor participatieve processen. Informatie omtrent de leefsituaties van burgers is essentieel voor een correcte inschatting van de situatie.
- **Bij consultatie:** hierbij worden de burgers hun mening gevraagd omtrent een bepaalde kwestie, doch die mening hoeft niet per sé bepalend te zijn voor de besluitvorming.
- **Via het ondernemen van initiatieven:** dit zijn de voorstellen die zelf voortkomen uit de burgerij om een bepaald probleem op te lossen of een bepaalde situatie te verbeteren.
- **Bij de besluitvorming:** is de inspraak van de burgerij in besluitvormingsprocessen om specifieke zaken te bespreken en gedefinieerde doelen te bereiken, zoals verbetering van de leefomstandigheden, verbetering van de infrastructuur etc.
- **Bij de uitvoering:** betreft de inspraak van de burgers bij het aanwenden van openbare middelen met het doel genomen besluiten op efficiënte en effectieve manier ten uitvoer te brengen.
- **Bij de controle:** een van de meest belangrijke elementen in een participatieve democratie is de monitoring en controle vanwege de burgerij op de door hun verkozen representanten en hun respectieve handelingen.
- **Bij de evaluatie:** kan beschouwd worden als de laatste instantie van participatie, waarbij het specifiek gaat om de analyse van de effectiviteit van de genomen beslissingen en de toebehorende behaalde resultaten.

III. Wettelijke Grondslag voor Participatie.

De in deze handleiding beschreven methodologie voor het opstellen van participatieve Ressort- en Districtsplannen is gebaseerd op de volgende wettelijke regelingen:

- **Grondwet Artikel 157:**
 - Stelt dat alle administratieve procedures met betrekking tot methodes en deelname door burgers in de besluitvorming of in de beraadslagingen die hun betreffen bij wet dienen te worden vastgelegd;
- **Grondwet Artikel 159:**
 - Bekrachtigt de beginselen van participatie, democratie en decentralisatie van bestuur en regelgeving;
- **Wet Regionale Organen Artikel 50:**
 - Verplicht het Districts Bestuur de lokale bevolking te betrekken bij het opstellen van Ressort- en Districtsplannen;
 - Stelt dat de Districts Besturen zorgdraagt voor een effectieve communicatie ten behoeve van de informatie, voorlichting en inspraak van burgers in Ressort- en Districtsplannen;
- **Interim Regeling Decentralisatie Artikel 5 (zie ook Wet Regionale Organen Artikel 54):**
 - Stelt het Districts Bestuur verantwoordelijk voor het opstellen van de Districtsbegroting op basis van gehouden hoorzittingen;
 - De hoorzittingen worden in de verschillende Ressorts bijeengeroepen in coordinatie met de Ressort Raden;

IV. Methodologie voor het Opstellen van Participatieve Ressort en Districtsplannen.

The 1989 Law on Regional Bodies (LRB) establishes the bureaucratic process and timetable for the design and approval of District Plans. For instance, Article 53, Sub 1 and 2, establishes that it is the task of the Resort Council (“Ressort Raad”) to propose an annual Resort Plan to the District Council (“District Raad”) before the month of May. That month is reserved for the District Council to analyze the received Resort Plans from the respective Ressorts and to construct the District Plan (Article 54), before proceeding to submit the draft District Plan to the Ministry of Regional Development (MRD) at the end of May. The MRD then proceeds to submit the different District Plans to the Ministry of Finance (MOF), which in turn initiates a negotiation process with the other sector Ministries for the construction of the National Budget. The draft National Budget is ultimately submitted to the National Assembly (DNA) for discussion and approval.

Chronologically, the process of elaboration, discussion and approval of District Plans -containing Resort Plans- is as follows:

Who	What	When
Resort Councils	1. Elaboration of draft Resort Plans	Mar - Apr
Resort Councils	2. Presentation of draft Resort Plans to District Council	End Apr
District Council	3. Evaluation and analysis of submitted Resort Plans	May
District Council	4. Elaboration of draft District Plan	May
District Council	5. Presentation of District Plan to MRD	End May
MRD	6. Discussion of District Plans with MOF and Ministries regarding imbedding procedure	Jun
President	7. Draft National Budget submitted to DNA	Jul - Aug
DNA	8. Final discussions and approval of National Budget	Oct - Dec

The National Budget contains two explicit sources for the financing of District Plans:

- The District Fund, consisting of financial resources originating from provisions in the budget of MRD (in accordance with Article 40 of the LRB and Article 4 of the 2003 Interim Regulation Fiscal Decentralization);
- Provisions within the budget of sector Ministries -except MRD-, which do not form part of the District Fund.

It should be noted that *only* after the approval of the National Budget the eventual District Plans are known, and also the corresponding funds allocated through one of the abovementioned sources.

Within this context, a methodology is developed that implies a democratization of the District planning process and a deeper empowerment of civil society at local level. The envisioned methodology comprises of 5 chronological Phases which for the mayor part coincide and are streamlined with the strategies included in the Manual for Budgeting and Financial Management; however, it should be noted that the methodology is purely based on a “bottom-up” approach in planning, which may not always be in line with the rationale of the procedures currently applied in District planning.

Phase A: Preparation and organization (± 1 month before start of hearings process).
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Step 1: Social Pact for Implementation Participative Planning.

A crucial factor for successful implementation of participative planning and budgeting processes is to ensure the political commitment and involvement of all key stakeholders throughout the processes. Therefore, it is recommended that local governments, central government institutions involved in the Districts and civil society organizations agree upon and sign a so-called “Social Pact” in every District, which would ensure the realization of prioritized projects. The Pact should establish procedures with regard to the following:

- The estimated District Fund to be implemented in a given year, and its eventual distribution per Resort;
- The proposed project ceiling (optional);
- The positive and negative project menu, to determine beforehand what kind of projects will and can be financed through the District Fund;
- The imbedding of projects which are not to be financed through the District Fund, in the respective Ministerial budgets;
- The expected collaboration of civil society organizations to inform and educate the local population with regard to the participative planning process and its methodology, and to help promote¹ their participation in the public hearings;

This show of “political will” by District authorities is especially important to generate confidence with the citizens, as these authorities are legal- and institutionally responsible for the elaboration of District investment plans and corresponding budgets.

Step 2: Estimation of Available Budget and Project Ceiling.

Participative planning and budgeting is more effective and sustainable if beforehand is known what can and cannot be achieved given the budget constraints. Therefore, it is advisable that an estimation of the size of the District Fund in the District is made before the initiation of the public hearings. This estimation could be based on historic figures of the different financial sources forming the District Fund. By doing so, District authorities have an idea of what projects, or combination of projects, which result from the participative planning process will be economically feasible.

¹ It is expected that a broad promotion campaign will be implemented through billboards, leaflets, radio and TV talk shows etc. in order to educate the population and to motivate their participation.

If a realistic estimation of the District Fund is obtained, District authorities can determine what part of this Fund can be destined to the respective Resorts. There are various ways to calculate the distribution of the District budget among the Resorts, but for the moment it is advised to implement the distribution exclusively according to the population of the various Resorts. The following table gives an example of such exercise.

District: A	Resorts: 5 Population	Estimated District Fund 2009: SRD 1,000,000	
		% of Total District Population	Budget Availability 2009
Resort 1	5,000	20	SRD 200,000
Resort 2	7,000	28	SRD 280,000
Resort 3	3,000	12	SRD 120,000
Resort 4	6,000	24	SRD 240,000
Resort 5	4,000	16	SRD 160,000
Total	25,000	100%	SRD 1,000,000

Thus a proportional distribution of the available District Funds can be established, by which authorities can avoid total or high concentration of investments in one or few Resorts and therefore broaden the geographical spread of District Commissariat's activities in a given time period, which in turn promotes the "visibility" of its actions.

Step 3: Determination of Project Ceiling (optional).

If it's known what the available budget will be for the implementation of projects in a Resort, it is recommendable that a realistic project ceiling is established per project. That is the maximum amount of funds that will be allocated to one specific project according to the budget availability in a given Resort. By doing so, a higher number of projects are economically feasible as indicated in the table below, and probably a higher number of households will benefit directly by the various interventions.

	District: A	Number of Possible Projects	
	Available Budget 2009	Budget Ceiling SRD 100,000	Budget Ceiling SRD 50,000
Resort 1	SRD 200,000	2	4
Resort 2	SRD 280,000	3	6
Resort 3	SRD 120,000	1	2
Resort 4	SRD 240,000	2	5
Resort 5	SRD 160,000	2	3
Total	SRD 1,000,000	10	20

Obviously, the project ceiling can vary between Districts, and even between Resorts, in order to adjust for local circumstances and needs.

Step 4: Definition of a Positive and Negative List of Projects.

So far, public hearings in the respective Districts were characterized by a highly motivated citizen participation resulting in a spontaneous outpour of all kinds of problems and needs currently affecting the populations. Nevertheless, many of these problems and needs transcend District financial and technical capacities, or do not even correspond with their administrative responsibilities and institutional competences. This could negatively affect citizen's confidence in the process, because of the real possibility that many of these necessities will stay unattended, which in turn could be interpreted by the participants in the hearings as incompetence of District governments or even lack of seriousness.

Therefore it is recommended that in every District a "positive (and negative) menu of projects" is elaborated, that is a list of possible projects initiatives that could be proposed by the citizens to be financed through the District Fund (positive). This menu² can vary from District to District depending on the local priorities and needs, and can even vary from year to year as priorities can change over time. It is recommended that the positive projects menu is presented to the District Council for approval.

² The projects options incorporated in the menu should correspond with the administrative responsibilities and institutional competences with regard to service provision and local development as established in the 1989 Law on Regional Bodies.

Step 5: Training of Local Authorities, Staff and Facilitators.

It is important to implement specific training courses directed to District authorities, District Staff (especially the District Administrator, DFP Department, CTD Department, BIC Department) and local facilitators of the participative planning processes, with regard to the proposed methodology and tools to be used in the public hearings. It is important to familiarize authorities with the envisaged methodology mainly because of the more interactive role with civil society and citizens, while the facilitators will be technically and organizationally in charge of moderating the public hearings. These facilitators can either be Staff or employees of the District Commissariat, external consultants or even members of civil society organizations included in the Social Pact. It is also recommended to invite clearly identifiable community leaders (the so-called “key-persons”) to participate in the training sessions, as they can serve as “multipliers” in socializing the process towards citizens.

Step 6: Gathering of Basic Community Information.

Before starting the public hearings, it is useful to obtain a diagnostic of the social network within the Districts through the gathering of basic information³ about the population, number of households and the number of identified or registered civil society organizations (see Table 1 below). This information will be used in later phases of the participative planning and budgeting process, more specifically in the planning and organization of the hearings and the structuring of social monitoring mechanisms.

Table 1: Diagnostic of Ressorts

District: _____				
Ressort	# Households	Population		# Civil Society Organizations
		M	F	
1.				
2.				
3.				
4.				

A wide variety of sources are normally available to collect such information, such as the General Bureau of Statistics, the District Commissariats or even the more organized civil society organizations.

³ This information database can be widened by aggregating other variables like public services available, number of schools, number of roads etc.

Phase B: Implementation of Hearings at Resort Level (± February - March).
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Step 1: Organization of Hearings at Resort Level.

It should be pursued that all communities that comprise a specific Ressorst be represented in the public hearing; by doing so, each public hearing will be representative of the entire community and thus benefit from a broad social and political basis. In the public hearings at Ressorst level, the District authorities and Resort Council have a passive role; they are solely in charge of moderating and conducting the hearings but do not take part in the discussions.

In every Ressorst a hearing (usually one-day events) is organized with the participation of citizens representing all the different communities. To prevent having too many people present at the hearing, it is recommended that communities that comprise of about 30 – 50 households be represented by a delegation in charge of presenting the problems and needs within their community. The basic information gathered in the Preparation and Organization Phase can be a useful tool in this regard.

Every public hearing should start with an explication of the methodology by the moderator, with emphasis on the presentation of the negative and positive menu of projects⁴, the available budget, the project ceiling, the organizational procedures (amount of time per person, order of participation) to be implemented for the hearings and the voting procedure to be implemented in the prioritization of demands and needs. Every question from the participants should be answered satisfactorily.

Step 2: Identification of Demands and Needs by Participants.

After this introduction, the public expression of demands and needs takes place. Every participant in the public hearings has the equal right to speak out with regard to the identification of demands and needs within their Ressorst, and the equal right to vote when it comes to prioritization of those identified demands and needs. Every problem, demand or need identified by the community should be registered as expressed by the participants. The moderator and/or facilitator should promote a lively, interactive, but orderly discussion between the participants.

In this phase it is useful to have an integrated overview of the results from the different meetings held at community level. The following Table 2 contains an illustration of an inventory of all the problems and needs identified in a specific Ressorst, which can be a helpful instrument for District authorities in the planning and prioritization processes.

⁴ That is, explain to the participants what kind of projects will be taken into consideration and why.

Table 2: Inventory of Hearings at Ressort Level

District: <u> A </u>																			
Ressort	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19
1	√				√					√		√			√				
2								√	√		√							√	√
3	√	√				√				√									√
4			√	√			√			√							√		
Legend:																			
1. Potable water 2. Primary roads 3. Waste collection 4. Illumination 5. Public safety					6. Rural clinic 7. Primary school 8. Library 9. Sports field 10. Drainage					11. Postal office 12. Cemetery 13. Fire department 14. Public telephone 15. Park					16. Bridge 17. Maintenance of roads 18. Waste deposit 19. Parking space				

Problems or needs identified with higher frequency in the public hearings obviously indicate the urgency of a recurrent problem for the population of a given Ressort.

Step 3: Prioritization of Demands and Needs and Definition of Resort Plan.

Afterwards, the participants prioritize the 3 – 5 most important⁵ problems, demands or needs (potential project ideas) by casting their vote through a simple procedure (by the raising of the hand, or every participant writes his priorities down on a piece of paper). The problems or needs that receive the most accumulated votes are considered to have priority from the participant’s perspective, in representation of their respective communities. The product obtained in this phase of the participative hearing process is a list of the most important problems or needs (project ideas) as prioritized by the Ressort, which for convenience of this document is hereafter called a “Ressort plan”.

For prioritization, it is proposed that the participants basically respond to the following questions⁶:

1. How many households will benefit from the project intervention:
 - 1 community;
 - More than 1 community;
 - All communities;
2. What is the level of poverty of the community where the project intervention is envisioned:
 - Poor;
 - Very poor;
 - Extremely poor;
3. What is the level of importance of the proposed project intervention:
 - Important;
 - Important and necessary;
 - Important, necessary and urgent;

Then, a weighted index is applied to the various alternatives in the following manner:

- **Number of households to benefit from a proposed project intervention:** the higher the number of communities that will benefit from the project intervention, the higher the relative weight for prioritization (see Criterion A in the Table 3);

⁵ The methodology should be flexible enough with regard to the number of demands and needs to be prioritized in a given Ressort in order to adapt to local circumstances, but in all cases it should be less than 10.

⁶ The criteria mentioned here are only for illustration; this list can be completed, modified and/or adapted to local circumstances and needs.

- ***Socio-economic reality of a given community to be benefited by a proposed project intervention:*** the higher the poverty level in a community that will benefit from the project intervention, the higher the relative weight for prioritization (see Criterion B in the Table 3);
- ***Importance of the proposed project intervention:*** the more urgent the problem as perceived within a national scope, the higher the relative weight for prioritization (see Criterion C in the Table 3).

Table 3: Matrix Table⁷ for Prioritization of Project Proposals

Resort: _____ 1 _____		Project Proposal A		Project Proposal B		Project Proposal C	
District: _____ A _____							
Criterion 1: Benefited Households	Factor	Votes Received⁸	Total	Votes Received	Total	Votes Received	Total
A. Solves problem for 1 community	1	10	10	5	5	7	7
B. Solves problem for more communities	2	13	36	9	18	18	36
C. Solves problem for all communities	3	9	27	18	72	7	21
Criterion 2: Poverty level	Factor	Votes	Total	Votes	Total	Votes	Total
A. Community is poor	1	9	9	12	12	20	20
B. Community is very poor	2	15	30	9	18	8	16
C. Community is extremely poor	3	8	24	11	33	4	12
Criterion 3: Importance	Factor	Votes	Total	Votes	Total	Votes	Total
A. The project is important	1	8	8	6	6	8	8
B. The project is important and necessary	2	8	16	16	32	7	14
C. The project is important, necessary and urgent	3	16	48	10	30	17	51
Total Points			208			226	185

The voting results are then organized so that a global overview (a sequential listing) of the project proposals is obtained, indicating the points they individually achieved as a result of the prioritization process (see Table 4). This overview will enable the identification of those proposals that achieved the highest scores during the voting process.

Table 4: Results of Voting and Prioritization of Project Proposals

Resort _____ 1 _____					
Project Proposal	Community	Points	Points	Points	Total

⁷ This table is only for illustration, as it suggests that per community only one project proposal is being evaluated and thus a total of 3 proposals. As seen in previous parts of this document, the methodology suggest the prioritization of 3 – 5 problems and needs in every community, which of course would imply 3 – 5 proposals per community to be evaluated by the community representatives. For instance, if a total of 4 communities exist in a given Resort, the actual number of proposals to be evaluated will be between 12 – 20. For those, real life, situations the table is adapted by inserting more columns that permit the same exercise as done for the illustrated cases.

⁸ The table contains a simulation of the voting results for 32 community representatives in a given Resort hearing.

		Criteria 1	Criteria 2	Criteria 3	
1. A	1	73	63	72	208
2. B	2	95	63	68	226
3. C	3	64	48	73	185
4.					
5.					
6.					

Using the information presented in Table 4, the project proposals are then ranked hierarchically according to the total amount of points achieved (see Table 5).

Table 5: Ranking of Project Proposals According to Points Total

Resort 1			
Priority	Project Proposal	Community	# Total Points
1	B	2	226
2	A	1	208
3	C	3	185
4			
5			

Thus a prioritized list of the most important project proposals is obtained for any given Resort, for convenience hereafter called “Resort Plan”. Using the information illustrated in the tables, for example, the Resort Plan of Resort 1 to be presented in the hearing at District level consists of the project proposals B, A and C.

Step 4: Selection of Resort Representatives.

After the conclusion of the voting procedure for prioritization of the problems and needs in the Resort, the participants in the hearings should proceed to select four (4) representatives (preferably 2 male and 2 female to maintain gender balance). The task of these Resort representatives is to represent their Resort and justify the agreed Resort plan in the meetings to be held at District level in the next phase of the process.

The Resort Plan (that is, the information contained in Table 5) and the names of the Resort representatives are then registered in an official document, which is signed by the Resort representatives, the Resort Council and the facilitator. This document will be used in the hearings at District Level.

Step 5: Determination of Pre-feasibility of Projects (± April).

It is recommended that the Districts Finance and Planning Unit (DFP), in coordination with the Resort representatives, determine the pre-feasibility of the possible projects to be designed based on the problems, demands and needs prioritized by every Resort. This pre-feasibility analysis should be according the verification of the following criteria:

- The positive menu of projects;
- The economic viability with regard to the project ceiling and/or the District Fund;

Only the feasible projects should be canalized through to the next phase of the process; in case a prioritized project proposal does not meet the criteria, the next following on the list should be added to the priorities⁹.

Of the feasible projects, one-page project profiles should be elaborated by DFP, assisted by the District Administrator and in coordination with the respective corresponding Resort representatives. These project profiles contain the following basic information:

- Name of the project;
- Short description, detailing the problem to be resolved and justification of the project;
- The location of the project, where it will be implemented;
- The project goals;
- The expected results after the implementation of the project;
- Information about the number of households to be benefited directly by the project;
- The estimated project budget;
- The estimated time it would take to implement the project;

Phase C: Elaboration of District Plans (± May).

Step 1: Organization of Hearings at District Level.

Once all the hearings at Resort level are completed, that is in every Resort exist a Resort Plan containing feasible project proposals, the process continues at District level. In every District a hearing is organized with the participation of the Resort representatives selected previously in every Resort. In these meetings the District Council (“Districtsraad”) members have a decisive role, because of its responsibility attributed by the 1989 Law on Regional Bodies regarding the final approval of District Plans. On the other hand, it is advisable to also invite the members of the District Board¹⁰ to be present at the hearing. As stated in the 1989 Law on Regional Bodies, the District Board is the executive organ of the District and is comprised of the District Commissary (“Districts Commissaris”) and representatives of all relevant sector Ministries active in a particular District¹¹.

The hearing starts with the verification of the Resort representatives with the names stated in the documents signed in the respective Resort hearings; this indicates their legitimacy to speak and vote in representation of their respective Ressorts. Then the facilitator gives an explication of the methodology, the objectives of

⁹ The projects that are excluded from the process because their not deemed feasible according to the therefore established criteria, should be canalized through the District Board to the respective Ministries to be evaluated for imbedding in the Ministerial budgets. This is also suggested in the Manual for Budgeting and Financial Management (p. 41).

¹⁰ It could be convenient to invite the Heads of Departments of the relevant sector Ministries, as it is proven that not all representatives of these Ministries participating in the District Board have the necessary political influence and incidence to promote and justify selected projects within their organization during the budgeting process.

¹¹ This is particularly important for the process, because it corresponds to these Ministerial representatives to motivate the imbedding of identified projects, which could not be financed through the District Fund, in the Ministerial budgets.

the meeting, followed by a listing of the different Resort plans, and the organizational procedures (amount of time per person, order of participation) to be implemented. Every question from the participants should be answered satisfactorily.

Step 2: Presentation of Resort Plans and Definition of District Plan.

After this introduction, the Resort representatives present, explain and justify their corresponding Resort plans making use of the elaborated project profiles. The facilitator should promote a lively, interactive, but orderly discussion between the Resort representatives, wherein the District Council members could take part. In this meeting, because of their political status and competences, District Council members and the District Commissary should have the possibility to present other, additional, project proposals that were not identified through the processes though can be deemed to be of high importance for the District. However, every “new” proposal presented during the session by the District authorities should be explained and voted upon by the Resort representatives before added to the list of priorities.

For definition of the District Plan, it can be decided by the District authorities that this will simply consist of all the projects contained in the different Resort Plans as these are defined within the budgetary limits and availability per Resort (see Phase A). However, in the case that no “Resort Budget” is established in the organizational phase of the processes, it is probable that the available District Fund is insufficient to meet all these demands at once. Therefore, it may be necessary to implement a prioritization mechanism to determine which projects will be realized immediately, and which projects will be implemented in the next year¹². For this prioritization of projects by the Resort representatives, it is recommended to implement a similar procedure as described in Step 3 of the previous Phase.

Step 3: Ratification of District Plan by District Council.

The final draft of the District Plan, as agreed by the participants in the hearing held at District level and as stated in the document signed between the stakeholders, is then submitted to the District Council for validation¹³ whereby the District Commissary has the task to ensure that the draft District Plan is approved in the form it is submitted. A District resolution is then emitted which officializes the District Plan.

Step 4: Elaboration of Budget and Timetable for Implementation.

The final output of this phase is an approved District Plan containing those (feasible) project proposals identified and prioritized through a highly participative and democratic process. It corresponds to the technical departments of the District Commissariat (e.g. DFP) to elaborate corresponding logical frameworks and budgets for the different projects. Also, a realistic timetable for implementation should be developed.

The approved District Plans should be submitted to the MRD as they will form together with the projects incorporated through the imbedding process in the Ministerial budgets, the overall comprehensive government investment strategy in the respective Districts. Therefore, efficient coordination mechanisms should be established with the sector Ministries during implementation of, on the one hand, the projects to be financed through the District Fund and, on the other, those projects initially selected out of the participative hearing processes and afterwards imbedded in the Ministerial budgets.

Phase D: Establishing Monitoring and Evaluation Mechanism (pending Implementation Schedule).

¹² Therefore, some methodologies provide for participative planning processes with a 2-year time span.

¹³ See Articles 3 and 12 of the 1989 Law on Regional Bodies.

Transparency is a key ingredient in the all the phases of the participative planning and budgeting processes. Therefore, in every District a Monitoring Committee is established for monitoring and social control of project implementation processes. This Committee can be comprised of:

- One (1) representative of every Resort existing in the District;
- One (1) representative of the most important NGO's active in the respective Districts.

The Monitoring Committee's should be officially registered at the District Commissariat.

The District authorities and the District Monitoring Committee (DMC) should agree upon the following aspects:

- The timetable according to which the projects contained in the District Plan will be implemented, which should be made public to the District population;
- The rules of procurement to be implemented for the contracting of external services by the District authorities.

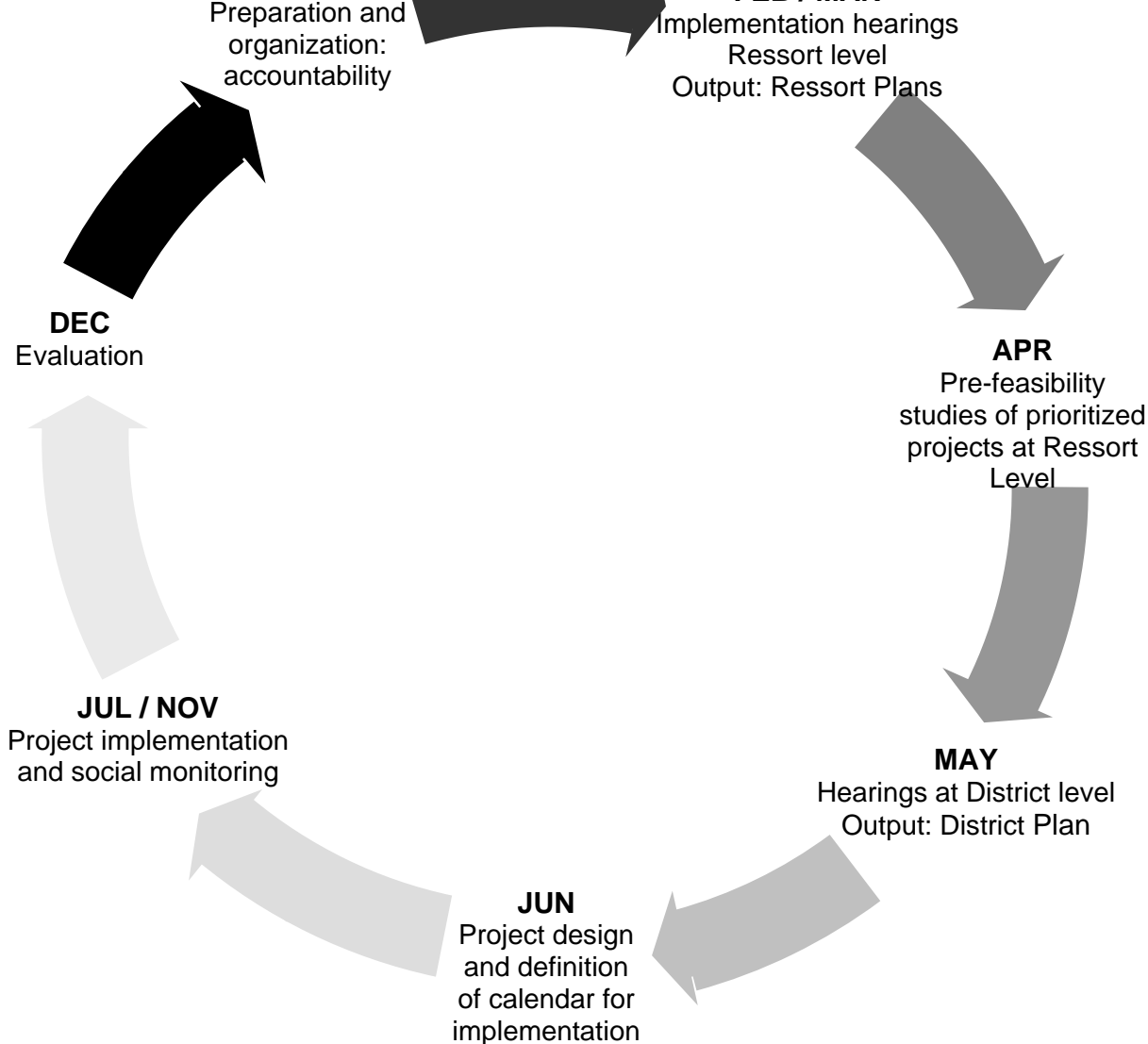
The DMC's function as an overall body for the whole District; nevertheless, it is possible to appoint specific Project Monitoring Committee's (PMC) assigned to the monitoring of a particular (more complex or bigger) project. These PMC's are appointed by the corresponding DMC and thus corresponds institutionally to the latter.

Given the nature of the activities to be performed by the Committee's, it is recommended that DLGP facilitate short training workshops for the Committee members, mainly with respect to:

- Quality control;
- Public procurement;
- Public financial management and accountancy;
- Project cycle management;
- Conflict management;
- Legal framework for decentralization and local government institutions etc.

Every new participative planning and budgeting process should *start* with a detailed briefing by the District authorities with regard to results and accounts: a public meeting where the authorities provide information to the public about the realisation of the District Plan and the budget spent. The whole process should be submitted to a critical evaluation with the stakeholders in order to correct any defect or problem that could have occurred during the implementation of the processes. Also information concerning projects that where not realized should be made public¹⁴. Every question from the participants should be answered satisfactorily. The cycle is then complete and then the whole hearing process can start all over again as is illustrated in the following graphic.

¹⁴ It could occur that at the time of this evaluation some of the projects will still be in their implementation phases. However, it should be clarified that these ongoing projects will be completed without having any sort of impact or dependence on the "new" hearing processes.



V. Factoren van Invloed bij Ressorthoorzittingen

In elk Ressor wordt een hoorzitting gehouden, waarbij de aanwezige participanten met spreek- en stembevoegdheid participeren. In de Ressorthoorzittingen participeren ook de Ressor Raadsleden en eventueel de District Commissaris, doch slechts met spreekbevoegdheid. De convocatie en de organisatie van Ressorthoorzitting is verantwoordelijkheid van de Ressor Raad, daarbij technisch bijgestaan door facilitators. Hierbij dient rekening gehouden worden met de volgende aspecten:

- De hoorzitting moet representatief zijn: alle wijken moeten vertegenwoordigd zijn;
- Gender gelijkheid: participatie van een (min of meer) gelijk aantal mannen en vrouwen nastreven;
- Leeftijd: participatie van burgers uit verschillende leeftijdsgroepen stimuleren;
- Leiderschap: specifieke uitnodigingen naar burgers die binnen de lokale gemeenschap een leidinggevende rol vervullen (“key-persons”), b.v. leraren, eigenaren van grote handelszaken, lokale vertegenwoordigers van politieke partijen, religieuze leiders, traditionele leiders etc., die kunnen bijdragen aan de organisatie van het proces, de motivatie van medeburgers en de implementatie van de hoorzittingen;

De facilitators zorgen voor een correcte registratie van alle participanten, waarbij deze moeten aangeven uit welke buurt ze afkomstig zijn. Voorts dienen de facilitators de methodologie en doelstellingen van de hoorzitting in alle detail uit te leggen, alsook uitleg omtrent het te volgen proces om te geraken tot de

Districtsplannen. In elke hoorzitting wordt een secretaris aangewezen die verantwoordelijk is voor het opstellen van de acte van de hoorzitting waarin alle conclusies en besluiten worden geregistreerd.

De geregistreerde participanten presenteren en priorizeren naderhand de noden en problemen die in het Ressort geïdentificeerd zijn. Hierbij kan men de eventueel aanwezige Districtautoriteiten en vertegenwoordigers van de vakministeries de ruimte bieden om kort in te gaan op de genoemde noden en problemen. De prioritering van de project ideeën vindt plaats op basis van vooraf bepaalde technische criteria. Aan het eind van de hoorzitting wordt door de secretaris een acte opgesteld met alle alle conclusies en besluiten, en vindt de verkiezing plaats van de Ressortvertegenwoordigers om het Ressort te vertegenwoordigen op de Districthoorzitting.

VI. Factoren van Invloed bij Districtshoorzittingen

De Districthoorzittingen dienen zoveel als mogelijk gehouden te worden in de vergaderruimten van de lokale overheidsorganen (met voorkeur het Districtscommissariaat), om de identiteit en de plechtigheid van dit evenement te waarborgen. De Districthoorzitting wordt georganiseerd door de Afdeling District Finance and Planning, met eventuele bijstand van externe facilitators. De uitnodiging tot participatie wordt is verantwoordelijkheid van de District Raad voorgezeten door de District Commissaris.

De Districthoorzittingen worden technisch begeleid door de facilitators, die allereerst de participantenlijst verifiëren met behulp van de getekende aktes komende uit de verschillende Ressorten. De aanwezige Ressortvertegenwoordigers hebben spreek- en stembevoegdheid, terwijl de overige participanten alleen maar spreekbevoegdheid hebben. In de Districthoorzittingen participeren ook de District Commissaris en de District Raadsleden, elkeen met spreek- en stembevoegdheid. Alle andere genodigden participeren slechts met spreekbevoegdheid, waarbij het gewenst is om vertegenwoordigers van de vak ministeries present te hebben. Alle participanten worden weliswaar geregistreerd, District autoriteiten, vertegenwoordigers van de verschillende ministeries, burgers die willen participeren en andere genodigden.

Voor de goede organisatie en verloop van de Districthoorzitting, is het van belang een agenda op te stellen, hetgeen er als volgt uit kan zien:

1. Opening door de District Commissaris of zijn aangewezen vertegenwoordiger;
2. Uitleg over de doelstellingen en de methodologie van de hoorzitting door een facilitator;
3. Presentatie van geprioriteerde noden en problemen (projectvoorstellen) per ressort zoals vastgelegd in de Ressortplannen, door de Ressortvertegenwoordigers en/of de Ressort Raadsleden;
4. Open discussie tussen de participanten over gepresenteerde Ressort plannen;
5. Stemming en priorisatie van projectvoorstellen opgenomen in Ressort Plannen;
6. Redactie, ondertekening en lezing de akte van de hoorzitting voor vastlegging van de participatieve District Plan;
7. Verkiezing van de Districts Monitorings Comite.

Het overeengekomen Districtsplan dient vervolgens geratificeerd te worden door de District Raad in een openbare vergadering.

VII. Hoe kan participatie van de structureel burgers gemotiveerd worden?

Participatie is pas effectief als de burgers kunnen meebepalen in de organisatie en de implementatie van bestuurstaken. De motivatie om actief te participeren wordt gestimuleerd als de ideeën en de idealen van de bestuursorganen overeenkomen met de interesses en/of noden van de burgers. Daarom is het van belang dat de bestuursorganen het vertrouwen van de burgerij geniet. Informatie en capaciteit zijn essentieel voor een kwalitatief goede participatie, dus dienen de burgers goed ingelicht en getraind te worden om effectief te

kunnen participeren in de ontwikkeling van het District. Dit betekent dat de burgers moeten weten hoe constructief met elkaar te communiceren, hoe mogelijke conflictsituaties te analyseren en te vermijden, hoe ontwikkelingsstrategieën te plannen, organiseren, evalueren etc.

Meer specifiek, kunnen de volgende factoren opgesomd worden die een motiverend effect hebben op de participatie van de burgers:

- Verschaffing van reële, betrouwbare en actuele informatie omtrent politiek-administratieve processen op lokaal niveau:
 - installeren van een Afdeling Communicatie in de organisatiestructuur van de lokale overheden;
 - informatieverstrekking via radioprogrammas, affiches, brochoures etc.;
 - publicatie van het Districts budget met gedetailleerde informatie over de bestemming van de gelden;
 - informatieverschaffing betreffende inkomsten en uitgaven van de lokale overheid naar de burgerorganisaties toe;
 - plaatsen van ideeënbusen op strategische punten voor opiniepeilingen;
 - stimuleren van de communicatie en informatiestroom tussen NGO's en de burgers in het algemeen;
- Training en voorlichting met betrekking tot de politieke, sociale en economische rechten en plichten:
 - workshops in zake de rechten en plichten van de burger;
 - oriëntatie en training van burgerorganisaties omtrent hun rol in de ontwikkeling van het District;
 - workshops met burgerorganisaties omtrent de wetgeving op het gebied van decentralisatie en lokaal bestuur;
- Motivatie van aansluiting en participatie van burgers in grass roots en andere belangengroepen:
 - voorlichtingscampagnes omtrent de voordelen van de participatie in burger en grass roots organisaties;
 - institutionele erkenning van gemeenschapsorganisaties, buurtverenigingen, en andere burgerorganisaties;
 - stimulering van democratische structuren binnen de burgerorganisaties;
- Versterking van de coordinatie en cooperatie tussen lokale overheid en burgerorganisaties:
 - politieke wil zijdens de Districtsautoriteiten en bereidheid tot dialoog;
 - duidelijke regelgeving voor participatie in de bestuursorganen, alsmede het creëren van institutionele structuren voor participatie (“empowerment”);
 - **organisatie van periodieke discussie bijeenkomsten tussen de lokale overheden en burgerorganisaties;**
 - verlenen van technische bijstand aan burgerorganisaties bij de opstelling en uitvoer van ontwikkelingsprojecten op grass roots niveau;

VIII. Rol van de Burgerorganisaties en Community Leaders

De burgerorganisaties en community leaders (de zogenaamde “key-persons”) hebben vanwege hun maatschappelijke aanzien, een fundamentele rol binnen de organisatie en het administratief bestuur op lokaal niveau, hetgeen hen verplicht een permanente band te onderhouden met de lokale overheden, met de burgerij zelf en andere (soortgelijke) instanties die in het District actief zijn.

Ten eerste, dienen zij zich permanent te informeren omtrent de noden en problemen zijdens de burgerij. Aan de andere kant, zorgen burgerorganisaties via informatievoorziening en kennisoverdracht voor een beter begrip zijdens de burgers wat betreft hun rechten en plichten ten opzichte van de lokale overheidsstructuren. De burgerorganisaties dienen goed te begrijpen van de wettelijke competenties en taken zijn van de lokale overheden, en dat de uitvoer van deze competenties en taken hun medeverantwoordelijkheid is. Daarvoor is het belangrijk dat ze een permanente institutionele relatie onderhouden met de lokale overheidsorganen, ook omdat zij de lokale overheden moeten motiveren tot het creëren van institutionele structuren ter accommodatie van de participatie in de bestuursprocessen.

Andere belangrijke actoren bij participatieprocessen op lokaal niveau zijn de zogenaamde “community leaders” (key-persons), daar zij verscheidene belangrijke taken binnen hun buurtomgeving potentieel kunnen vervullen, zoals:

- **Vertegenwoordiging:** de wenselijkheden en gevoelens van de medeburgers te interpreteren en te presenteren aan de lokale autoriteiten en/of NGO's, dus een vertegenwoordiging van collectieve belangen;
- **Mobilisatie:** de motivatie van medeburgers voor participatie bij het definiëren van duurzame oplossingen voor actuele problemen;
- **Genereren van bewustwording:** het stimuleren van bewustwordingsprocessen, via conversaties, bijeenkomsten, analyses, studies etc., op basis van eigen ervaring met thema's of problemen die actueel zijn;
- **Organisatie:** het structureel organiseren van ideeën en voorstellen komende van de burgers, en die doorkanaliseren naar de autoriteiten;
- **Coördinatie:** zorgdragen voor een efficiënte organisatie van activiteiten in het kader van de participatieve Ressorts- en Districtsplannen, vooral bij het werken in teamverband en gezamenlijke besluitvorming;
- **Planning:** participeren bij de planning van strategieën met duidelijk omschreven doelen, activiteiten, tijdspad en mechanismen voor periodieke evaluatie.