

PARTNERSHIP FOR LOCAL GOVERNANCE

BACKGROUND

During the 1990s, UNDP and the United Nations have increasingly 'moved the people' into the center of development by looking at three major means of peoples' participation: decentralized governance, community based organizations and people-friendly markets. This focus was emphasized at the World Summit of Social Development in 1995 that called upon the international community, including all actors of the civil society, to "positively contribute their own share of efforts and resources" toward assisting with the global objective of poverty reduction.

Alliance building with actors of the civil society reflects a crucial link between participatory governanceⁱ at decentralized level and crosscutting issues of poverty reduction. Building viable, productive partnerships has thus become increasingly important to achieving the Millennium Development Goals.

It is against this background that UNDP and other development agencies have increasingly rendered support to local alliance building, which is a relatively new and challenging concept. The aim is to foster participatory local governance by way of giving equal weight to decentralisation on the one hand and supporting social mobilisation and civil society organizations (CSOs) on the other.

CONCEPT

In broad terms, state-civil society-private sector partnerships can be defined as 'multi-actor' interactions whose purpose is to achieve convergent objectives through the combined efforts of the partners, but where the respective roles and responsibilities of the actors involved remain distinct.ⁱⁱ Developing a partnership is best seen as a process of relationship-building in which the nature of the relationship may well change over time. It is both an expression of shared values and principles in our practice and a pragmatic approach to work, which is essential if we wish to scale up our efforts to have greater impact and influence.

The question is not, therefore, "Should we work in partnership?" but "With whom, in what ways and when should we work in partnership?" The concept of partnership has developed beyond a 'funding arrangement' or individually targeted technical support towards a process involving multiple groups, guided by 'equality of respect' between the concerned parties and recognizing their specific expertise and mandate, identity, structures and institutional linkages. This, combined with the enhanced flow of information, joint planning, review and evaluation of work between partners, brings increased transparency at national and local level decision-making and improves accountability and results-orientation. Good partnerships are built on

working in ways, which encourage participation; which empower others and which recognise difference as healthy, desirable and a basis for change.

Lessons learned in this Essentials concentrate on mechanisms and processes in partnership and alliance building at the local level as they are shown to be fundamental to Sustainable Human Development (SHD) and fostering ownership of development efforts. They do not address the issue of 'public-private partnerships' per se, but focus on those areas only where the three domains of governance, state, civil society and private sector interact at local level in support of sustaining human development. The linkages between institutional mechanisms of local government partnership development and national institutions are explored in terms of their impact on the effectiveness and efficiency of participatory local governance, which forms the key reference in the discussion of UN and wider donor cooperation.

LESSONS LEARNED

1. Partnership needs an enabling environment at the macro-level

Experiences from decentralization and social mobilization efforts show that partnership should be closely interlinked in strategies and implementation within an enabling legal framework, and supported by political will at all levels.

Support to CBOs/NGOs and capacity development at the community and local government levels can create favourable conditions for partnerships between local government, CSOs and the private sector. These partnerships allow for joint efforts for social, economic and political development as well as a foundation for local self-governing capacity and greater ownership of initiatives at all levels.

What to do?

- Prioritise the need for a clear and specific legal framework for decentralized

governance that includes the constitutional devolution of political, financial and administrative powers to lower level units. This should provide space for the participation of citizens through a variety of channels; for instance, direct CSO representation at all levels of decision-making, the media, political parties, traditional and interest groups. The most appropriate mix will reflect the country's specific circumstances.

- Build political support at all levels - local, intermediate, national (and regional/global) - within government itself and within the social sphere of society and develop strategies to utilise that support.
- Support national governments to create the appropriate policy and legal environment to enable public-private partnerships at the local level. Local governments need the capacity to implement the rules.
- Combine 'top-down' and 'bottom-up' approaches and expand them horizontally to link the supply side and the demand side of service delivery and decision-making. Reliance on either one or the other takes no advantage of the synergies of governance, which encourages both government and civil society participation.
- Accommodate changing political circumstances and institutional arrangements in programme design to maintain relevance of policies and to achieve development results.

Example:

Consensus building at central level fosters success, as shown in Honduras' state modernization efforts and the Local Rural Development Projects in the West Bank and Gaza. These projects show that the success of interventions depend upon the ability of central governments to involve a wide range of stakeholders in decisions that affect their communities.

In Honduras, the central government took similar measures by "bringing stakeholders of diverse political orientations into the decision-making process" (Source: MDGD/UNDP, 1998a).

Example:

UNDP's Public-Private-Partnerships for the Urban Environment demonstrates the importance of an enabling policy framework and that municipalities and national governments need to develop their regulatory and legal capacity to participate in public-private sector partnerships effectively.

2. Programmes need to build upon locally available planning and technical processes and capacities for efficiency and ownership

Both technical capacity and alliance building skills are essential to ensure sustainability of achievements and to instill a learning community approach among development participants. The planning and production of goods and services is often conventionally understood as a linear process, based on various models from industrialized countries. However, these are clearly at odds with the procedures employed by local people in most situations, and much of what had been offered, in the past, in planning manuals, training, evaluation and re-tooling exercises had shown to be of little value.

Referring to Uganda and Malawi, UNCDF notes, "In both countries the closer we got to the grassroots the clearer the message that local government and project identification, implementation and maintenance are not new processes. They are processes that the communities have undertaken for a long time, through good times and bad. These societies have grassroots institutions and procedures. (UNCDF, 1998)

It is important to exploit existing local capacity and resources, taking advantage of livelihood strategies actually employed by local communities. Furthermore, their involvement in planning and implementing programmes of their choice and evaluation exercises will generate greater relevance of local development efforts.

What to do?

- Adapt planning and technical principles to the local political reality and the community's needs and utilize existing techniques. It is important to avoid too many "donor fads".

Screen the capacity of partner organizations at local, intermediary and macro level – covering local government, CSOs and the private sector. Undertake this assessment for their organizational, sectoral and institutional capacities to build linkages between the levels. Design capacity building programmes accordingly and make adequate resources available.

- Partners should be selected on the basis of an assessment of their current or potential degree of accountability at both functional and strategic levels.

- Clearly delineate expectations for community participation and the roles of all local partners. These expectations should be based not only on the programme needs, but also on existing institutional/technical capacities of communities and prospective partner organisations.

- Engage partners in joint planning, implementation, review and evaluation processes to enhance their capacity to foster compatibility of values and mission for increased effectiveness, accountability and sustainability.

- Ensure that support to CBOs/ CSOs in general, local government institutions and, where appropriate, the private sector, is undertaken simultaneously – since the quality of participation of all relevant development actors in planning, decision-making and implementing is a crucial factor in determining development outcomes.

- 'Learning-by-doing' has proven a powerful and successful medium, when capacity development and development activities are funded in tandem.

- Partners should be willing to monitor their accountabilities to each other, their constituencies, donors, trustees and supporters and to their host government.

- Ensure that the technical oriented individual learn participation and dialogue skills, while the participant enthusiast should learn practical and technical skills. The art is to work with each others' advantages.

Example:

The Local Initiative Facility for Urban Environment (LIFE) programme demonstrates that the presence or absence of community groups, the level of experience of NGOs and CBOs and the presence or absence of mature NGOs that can impart training and guidance will fundamentally affect the quality of capacity building at the local level.

Example:

The most important factor contributing to the success of the Cambodian Area Rehabilitation and Regeneration Project is the 'learning-by-doing' approach as applied to programme concept development, its constituent elements and capacity building. This was made possible by the combined funding of methodology development, capacity building and development activities as a package involving a wide range of actors.

Example:

Local-level planning in Nepal's Decentralisation Programme significantly strengthened rural development through the establishment of district information centers, the introduction of participatory planning, and the strengthening of upward linkages from the community to the district and to the capital. This was achieved through very targeted training and resources to District Development Committee (DDCs) that focused on combining (a) accurate information, (b) a transparent and participatory planning and monitoring process, and (c) supporting improved upward linkages.

3. Political capacity is as important as technical skills

Increased technical capacity among people can improve their social, economic and political standing in society. The process of participation and partnership building will foster important political skills of bargaining,

compromising and consolidating the many social, technical, financial and other factors necessary for joint decision-making. Accountability, the key to fair and equitable decision-making, increases as the level of these skills increase for all actors of the civil society, the private sector and government.

What to do?

- Implement targeted training for local government officials and local politicians, who do not generally have the skills for working in dialogue and partnership. A similar strategy is needed for socially marginalized groups.
- Support processes that enhance the political capacity of local organisations and which improve local level social relationships. Take vertical and horizontal organisational linkages into account, especially how new organizations relate to the existing structure. The activities should grow out of either a pre-existing activity or a detailed pre-programme assessment.
- Political and technical capacity-building, like dialogue, cannot be limited to a one-time event. It can only be implemented as an on-going process.

Example:

The technical expertise of community groups can promote 'high political standing', as shown by "the high standard of engineering expertise of the 'Concerned Citizens of Abra for Good Governance'(CCAGG), which not only curbed corruption in the construction sector successfully but in itself fostered the NGO's highest esteem in the eyes of others". The CCAGG was therefore contracted by the government to participate in the local government's auditing exercise. The proximity of CCAGG's members to the locality and their in-depth knowledge of the community increased the efficiency of the auditing process and the popular acceptance of the outcome (P. Sumangil, 2001).

Example:

In Mali, it was "possible to increase representation for marginal groups, such as ethnic minorities and women by mandating that a certain proportion of representatives

belong to a certain group". While representation of these marginalised groups did not automatically lead to their empowerment, increasing their representation improved their status, showing the community at large that they also could hold leadership positions and serve as potential role models (Source: USAID, 1998).

4. The support of inspired leadership is a prerequisite to promote positive behavioural standards and institutional change

For development change to take root, it is important that structural/institutional changes go hand-in-hand with behavioral change – whether in relation to community or other types of organisational set-up. The need for institutionalising behavioural change that fosters partnership is relevant to all actors, and can be greatly facilitated by inspired and popular leaders, who can initiate and move the process.

Within the culture specific context the goal is to establish new behaviour that can progressively push the boundary of what is 'acceptable behaviour' into new 'standards' or ethical principles. Experiences show that down streaming participation within an organisation requires that participation and alliance building is not just an 'implementable' at programme level, but rather a central internal management principle. It is important for institutions and organisations to think strategically about matching working methods, procedures and the style of management to the overall objective of building alliances.

What to do?

- Partnership development should be embedded in a multitude of layers reflecting an integrated approach to behavioural and institutional change so that synergies can establish an irreversible momentum towards structural change. Indigenous patterns, behaviours and structures should not be destroyed, but built upon in a cultural sensitive manner.

- Foster participation and collegial attitudes in internal management and other professional activities so that internal administrative and management procedures assist and not constrain partnership processes.ⁱⁱⁱ

- Identify and support indigenous formal and informal leaders within a target group. Socio-metric techniques have been found useful to identify popular leaders.

Example:

A socio-metric technique to identify informal leaders to serve on 'pre-committees', which were precursors to market management committees, was used in the Nepal Small Marketing Infrastructure project, with support from UNVs. This technique was aimed at minimising the politicization of the selection process and allowing people to elect a leader of their choice. Using this approach, a group of hundred and thirty representatives were selected, which was accepted as a fair process, enabling the selection of the most appropriate representatives.

Example:

As a way to increase national school attendance rates, especially among girls, school canteens in Côte d'Ivoire were supported. Based on the advantage of their number and availability, teachers were initially chosen to provide support to the management of canteens. At the beginning, lack of ownership was the main reason identified for their weak performance. A response of the programme was build upon the leadership of those teachers who showed initiative and produced the best results for reinforcing information and training.

5. Dialogue to understand each other's strengths, weaknesses and contributions is crucial to address a common agenda

To reach a common agenda needs dialogue. It should move away from 'giving and receiving instructions' towards a communication process, which allows for an exchange of views, identification of needs and new solutions. This process tends to be a journey from mistrust among actors

to alliance, partnership and finally synergy and alignment. It takes time and should focus on commonly perceived problems and practical solutions, rather than concepts.

Effective communication in dialogue must be treated not only as an input into programme design but as an ongoing process that can facilitate a re-orientation, away from physical production of outputs towards partnership building.^{iv} This also fosters the up-scaling/advocacy influence of the activities. Working together on new tasks can facilitate widened exposure to new processes and actors. Donor agencies and government officials in particular need to be aware of the different CSOs that are operating in the country.

What to do?

- Map the country's civil society in terms of communities, their organizations and capabilities. Identify the different CSOs and assess their respective capacities. Prepare a similar analysis for the capacity of local governments and activities of donors and other institutions and organizations, including the legal environment pertaining to governance issues. This will assist in identifying suitable partners to undertake specific programmes and set realistic organizational performance targets.
- Some of the skills which working in partnership particularly demands of are: negotiation skills; relationship-building and maintaining skills; conflict management skills; communication skills; advisory/consultancy skills and training skills. These all need to be considered both before embarking on partnership work and during the period of relationship-building.
- Identify the strengths and weaknesses of established formal and informal organisations in the design of community participation strategies. The same should be employed for the local government and the private sector. Fora, arranged either as special events or institutionalised processes, should ensure an appropriate strategy to enable different sections of the society to meet and exchange views. The strategy should be incorporated into

programme design and translated into a work plan to periodically monitor progress.

- Use different methods of participatory approach, depending upon the background of the group, context and required tasks. To encourage community participation, interactive methods, especially those that rely on face-to-face dialogue, should be applied as they are shown to be more effective than semi-interactive methods such as questionnaires. Interactive tools such as large illustrations or drama can also reduce the danger of dialogue being dominated by a few people.
- Encourage roundtables and 'open spaces' as a means of bringing people together. To include larger numbers of people in consultations and dialogues, these events should be arranged in 'cascades', whereby participants at a national meeting might, for example, carry the debate to regional, sectoral, occupational and other groups. The results of these meetings can then be fed back through representative groups to a further national meeting. Similar processes can be arranged from the community, expanding to regional, national, and across countries.
- Participatory methods should specifically focus on perceived problems and possible solutions. If 'modern' structures or technologies are introduced, particular care should be given to build upon prevailing traditional ways.
- Maximize the distinctive competencies of partners to fully utilize their comparative advantages. As contributions are likely to be different, but of equal importance, identify and keep track of the social dynamics affecting intended activities and outcomes. This requires working together on 'equal terms' and keeping partners informed of all decisions and actions so as to build confidence, transparency and to sustain trust.
- Give special attention to involve marginalized groups in order to foster equity in the development process.
- Ensure that physical and institutional space is provided for communities to be able to meet and discuss issues and how to get involved.

- Meaningful dialogue sometimes requires a facilitator, especially when the dialogue is taking place between stakeholders with different agendas.
- Communication materials should not be developed 'in hindsight', but as an integral part of the strategy where messages are especially designed to match the 'receiver's' needs and language. Technical documents, including programme related papers, should be translated into local language and appropriately set within the social context.

Example:

Where dialogue is promoted between all stakeholders, ownership is strengthened, as shown in Uganda's District Development Programme (DDP): "The formulation of the DDP involved extensive consultation at all levels of local government and a wide variety of other stakeholders including central government, donors, NGOs, private contractors and service providers, as well as community groups". This process ensued a clear understanding of the 'rule of the game' and a better appreciation of different stakeholders' interests, helping them to design the project, rather than relying on technical judgments made by external agents. The consultative process was also captured in a communication strategy, which reflected the commitment to a two-way, upstream-downstream-upstream communication process (Source: UNCDF 1998).

Example:

The World Bank in their evaluation of NGOs describes the NGO/CSO sector as an environment unknown to most donors, where "the demand for partnerships with NGOs/CSOs exceeds the supply of willing and able partners. Equally the Bank and borrowers have tried to do too much too quickly without building up their own capacity to work with NGOs/CSOs, and without clear indication of progress" (Source: World Bank, 1999).

Example:

In Vanatu an innovative approach was used to settle long-standing land disputes through registration of land rights that combined prevailing local traditions with modern technology. Oral historians from the community - the traditional keepers of the

land records - were organized to work in partnership with technicians, including government specialists and trained local youth, who used global positioning systems (GPS) for mapping and registering land boundaries. The information gained from the traditional system was combined with modern technology that helped to legitimise the process. This served as the basis for appropriate institutional development and policy reform for these areas, which were fully accepted by the people.

6. The self-interest of stakeholders should be sufficiently understood to create a common understanding of roles, inputs, outcomes and timeframes

Political processes as well as the delivery of sustainable, equitable and affordable services are enhanced if service users are involved in choices about priorities and delivery options. People then tend to be more prepared to invest their financial resources and social capital that makes the services relatively more accessible to vulnerable sections of the population.

Different stakeholders portray a multi-faceted conglomerate of values, cultural systems, and interests, whose strengths, weaknesses and needs should be aligned.

The role of clients often remains unclear and under-emphasized. Introducing rhetoric of client orientations is easy enough, bringing the client into reality of operational decision is more difficult, but necessary.

A common understanding of expectations, obligations and contributions of all stakeholders is key to success. The capacity of actors to fulfill their entrusted roles effectively and efficiently greatly fosters an atmosphere of respect and lowers potential barriers to cooperation. Therefore, keeping track of agendas, which tend to change over time, is the first step for turning them into mutual beneficial opportunities.

What to do?

- Explore the nature, composition and agendas of key 'players' at all levels carefully as an on-going process, as interests and/or alliances tend to shift. Be conscious about potential 'political' misperceptions and miscalculations.
- Ensure mutual respect and accessibility of information by all partners to provide an environment where complimentary and mutually beneficial situations are created.
- Local level consultations should expand beyond the stakeholders most likely to be effected by a project intervention. Special care should be taken to seek out and meet with as many different groups as possible found in communities in order to include their diverging viewpoints and circumstances.
- Set up the programme management structures only after a thorough assessment of the prevailing political realities.
- The expectations of partners with regard to programme implementation objectives and modalities -- including outcomes, timeframes, and quality and quantity considerations -- need to be aligned.
- Consider the evolution of a functioning partnership as a 'valuable' exercise in itself.

Example:

Evaluation of Estonia's capacity 21 programme highlights "helping different players to play their roles better" and the necessity to recognise that "diversity is an essential prerequisite for sustainability", which allowed all players in the strategy to gain clear understanding of their respective roles (Source: UNDP 2000a).

Similarly, Nepal's Decentralization Support Project emphasizes the importance and effectiveness of the concept of ownership, where "it is relentlessly applied to every level of the project, every activity, every aspect and every phase". Ownership in this context is seen as a gradual process aimed at creating a constituency at local and national levels to effectively mobilise development resources in rural areas (Source: CEDAB a).

Example:

The second international donor conference on "NGOs and Development: Performance and Accountability" concludes that "NGOs must return to their roots" in order to promote poverty reduction. It is also noted that they are often over-involved in service delivery on behalf of local governments or donors, which could empower NGOs and leaders, but not necessarily the poorest groups (Hulme and Edwards, 1997).

Oxfam's Wajir Pastoral Development Project in Kenya, with its distinctive focus on participation, is an exception -- where very marginalised groups from pastoral communities were able to develop their own associations to represent their interests with Oxfam's role in facilitating that process: supporting the livelihoods of livestock keepers and those who have lost their animals; developing strategies to address drought and conflict as part of a longer-term agenda for sustainable development; and working to influence key decisions made by high level national policy-makers.

7. The selection of the most appropriate 'entry point' is defined by common local priorities

Advocates of participation seldom give clear advice on how participatory entry points and veto points should be identified in the planning and delivery process. The selection of entry points can be determined by the highest degree of congruence between all stakeholders needs, which can potentially offer key entry points for the promotion of innovative, participatory and integrated initiatives. Opportunity costs of participation must also be taken into consideration. With partnership building as the central pillar, initiatives chosen will create a basis for people to come together to work towards a common goal. Experience has shown that projects and programmes that were not relevant to people's immediate needs or which are perceived to threaten their self-interests also led to lack of interest.

What to do?

- Choose entry points which are closest to the peoples' needs and which are likely to address common needs for all stakeholders.
- Use the exercise of decision on entry-point formulation itself as an avenue to foster wide engagement of multiple actors in the society. The subsequent management and implementation of programmes should aim to foster the capacity of CSOs, the government structures and the private sector to engage jointly in development activities.
- Put community empowerment and leadership development for all stakeholders and partnership processes at the center of activities - whilst being aware that strengthening of multiple stakeholder knowledge around poverty reduction issues and governance structures can create tensions on its own – for which specific strategies should be developed through consultation.
- Consider the potential for difficulties in public-private sector partnerships, where the private sector goals of profitable operations and the public sector goal of universal coverage need to be managed by specific policies that do not penalize the poor or the marginalized.
- Assess the extent to which planned activities would draw away key staff of government, civil society and private sector from other vital tasks, as well as the resulting opportunity costs.

Example:

The link between communities and the private sector is shown in the PARUL programme in Indonesia that supported "local economic development by linking small-scale producers to broader markets through collaboration with large enterprises". Actions and initiatives were designed and implemented collaboratively through public private partnerships between government, private firms, farmers and other members of civil society, without undermining the interests of the farmers (Source: IDG/UNDP 2000a).

Example:

Uganda reports the successful outsourcing by the local council of the collection of

market rates from vendors in the Jinja market to a private company that managed it in partnership with the vendors association and the local council. "The policy implication here centers on the importance of clearly outlined accountability structures and well-defined roles for the different partners" (Source: MDGD/UNDP, 2000).

Example:

The final evaluation of UNDP's Partners in Development Programme (PDP) notes different country strategies, focused on specific themes, target groups and sub-regions: "In several countries, strategy formulation appears to have been taken seriously and not as a cumbersome formality for getting funds. When this occurred the programme benefited from an early identification of strategic issues and 'entry points' as well as a better understanding of what PDP could (or could not) expect to achieve". A special focus on local situation and opportunities for lateral linkages across projects helped to improve PDP interventions that achieved a higher profile among the stakeholders, and also led to significant successes in resource mobilisation beyond project period (Source: UNDP/SEPED/BDP, 1999).

8. Target a large population for support of groups

The prevailing experience has been to target support to a specific group, either with the aim to support the special interests of marginalized groups or as a single activity/sectoral approach. Based on recent experience, it is argued that more holistic targeting of the poor as well as the better-off sections of a community, including local government, would encourage a more advantageous approach in terms of poverty alleviation as well as social harmony.

What to do?

- Where appropriate to the task, potential stakeholders should be grouped around functional categories, which could then lead to higher inclusion from different traditional structures to generate new ideas and initiatives.

- Explore the opportunities to apply a more holistic approach to targeting as it is likely to reduce conflict. This could be combined, where needed, with a 'special attention approach' to marginalized groups in terms of additional or specifically tailored capacity building support.
- Be conscious of factors that can perpetuate dependence whilst determining the roles of partners.

Example:

In Burkina Faso UNCDF "organized elections for village groups around functional categories, so that women and people of different occupations and ages would be represented". As elected and functionally organised groups they became the main implementing organisations for community development and were supported with resources and training to undertake tasks that would bring significant economic and social benefits for the group members and the community (Source: UNCDF 2000).

Example:

The development and application for decentralization and civil society empowerment in Cambodia required that the effort addressed the system as a whole, involving a wide range of actors at different level of government bodies as well as civil society institutions. This concept was developed by experimentation, learning and adjustment.

Example:

Several MDGD's studies highlight the role of NGOs and CBOs in social mobilization at the local level, acting as key change agents. However, the experience from Honduras recommends caution by presenting "evidence of a case where an international NGO set up its own mechanism for implementing its programmes and undermined the development of indigenous participatory organs". Care should thus be taken that assistance does not create or perpetuate dependency (Source: MDGD/UNDP 2000).

9. The potential to scale-up initiatives depends on linking strategy to the most relevant partners at the local and national levels

Building of networks with partners and designing and implementing a comprehensive advocacy/communication strategy are valuable tools to advocate policy change for improved governance, or else the experience gained from partnerships at the local level is likely to have limited impact. Learning from micro-interventions can be used to provide high quality information for higher-level policy discussions and decisions.

It is often argued that pilot or small-scale grass-root projects need to be 'scaled-up' to make a mark at the national level. The challenge is to precisely define that mark in order to reach a critical impact with all relevant national partners. Horizontal replication of pilot projects is one option of expansion. However, if it is undertaken without an appropriate communication strategy, the replication will fail. Since no two communities are identical, rushing the replication is also likely to be counterproductive. Participatory methods and partnership-building methodologies should be learned from, transferred and adapted; not eliminated whilst replicating a pilot project.

What to do?

- Develop advocacy strategy for scaling-up using lessons learned from previous initiatives as an integral part of programme design. In cases where small-scale projects are intended for a specific demonstration purpose, an explicit exit strategy needs to be designed, agreed upon and communicated to all partners.
- In cases where pilot projects are implemented as a group, either as multi-sectoral complementarities or as geographical test cases, the pilots should be strategically linked.
- Support local level technical and political capacity building initiatives in combination

with devolution and political decentralization to contribute to lasting governance reform.

- Use the advocacy and networking capacity of CSOs as a tool that can promote active participation and learning among them; this can further facilitate the identification of and provide access to the skills and methodologies necessary to leverage support for civil society participation.
- In order to reach and influence a wider audience, build a wide-encompassing communication strategy that spans the level of meetings from eye-to-eye to the national level, and also disseminates relevant information through the media.
- Promote network building through managerial, technical and financial assistance; an exit strategy, especially for the financial assistance, should be jointly designed for sustainability.

Example:

The Phase II of the 'MegaCities Project' tested and facilitated the transfer of a solid waste management project from Cairo to Manila and Bombay. While a high level of local participation with a varied group of stakeholders ensured a "successful" adaptation in Manila, the transfer proved less encouraging in Bombay, where a more institutional approach was taken, without the involvement of local communities until the final stage of the project design. Subsequently, "the process stalled and required them to start over and put local participation up front." (Source: MGDG/UNDP 1999).

Example:

The 'Agreement on the Identity and Rights of the Indigenous People' of Guatemala was communicated through an intense campaign of publicity that reached levels of society that were not organised in collaboration with local coffee-growers. Special attention was paid to the Mayan people and their numerous ethnic dialects.

A series of municipal and inter-municipal meetings with elected representatives, followed by a national meeting, were conducted. "This work, together with the dissemination through the media, made it

possible to reach around one million people over the age of 18. The process made use of television and radio, as well as face-to-face communication, which is traditional among the Maya....it facilitated the dialogue at the level of the indigenous people themselves, between different ethnic groups, and between government authorities and sectors of the indigenous populations. Its reach exceeded the number of municipalities targeted" (Source: UNDP/RBLAC, 1998).

Example:

The strengthening of the Honduran Association of Municipalities (AMHON), a private association of mayors working to promote collaboration among municipalities on issues affecting local governments and lobbies on behalf of municipal autonomy at the national level, led to key policy changes reflecting the interests and demands of poorer stakeholders at the national level: "Founded in 1962 but inactive for 3 decades, AMHON emerged in the early 90's as the single most effective organization to press for full implementation of the Municipal Reform Law. Key to AMHON's new vitality was the management training and funding provided" (Source: Lipman & Pranke, 1998).

10. Enhanced donor coordination is imperative to avoid duplication and 'waste'

A recent evaluation on decentralization indicates that coordination amongst assistance programmes is very limited and that the overwhelming number of interviewees favoured UNDP as the potential local donor coordinator. However, the role of UNDP as an effective coordinator seems to be rather weak, even in relation to other United Nations agencies working on the spot (Source: UNDP/BMZ, 2000).

What to do?

- Prepare a skills and activity inventory; in the absence of efficient aid coordination by the host government, donors themselves could undertake this, which could form the basis for strategic alliance building and the utilisation of prevailing comparative advantages.

- Enhanced efforts should be made by the United Nations Development Group to strengthen the role of the UNDP Resident Representative as Resident Coordinator in order to reduce overlapping and to avoid waste of human and financial resources.

Example:

The very close coordination of UNCDF, UNFPA and UNIFEM on projects in Mali and Uganda, and of the United Nations Volunteers (UNV) in Uganda and other countries was largely due to a good balance in roles “where UNDP played a more effective upstream policy role” while the other agencies focused on “a valuable downstream operational role”. These agencies were able to provide effective support to decentralization and local governance processes through participatory planning and other approaches. Furthermore, they were able to support UNDP in upstream policy assistance by providing feedback from the grass roots that contributed to the complementarity of the different programmes (Source: UNDP/BMZ 2000).

End Notes

ⁱ UNDP defines governance as a system of values, policies and institutions by which a society manages its economic, political and social affairs through interactions within and among the state, civil society and the private sector. It is the way a society organizes itself to make and implement decisions—achieving mutual understanding, agreement and action. It comprises the mechanisms and processes for citizens and groups to articulate their interests, mediate their differences and exercise their legal rights and obligations. It is the rules, institutions and practices that set limits and provide incentives for individuals, organizations and firms. Governance, including its social, political and economic dimensions, operates at every level of the society- the household, village, municipality, nation, region or globe. It is thus participatory, transparent, accountable, equitable and effective in making the best use of resources.

ⁱⁱ The rationale behind this principle is that these interactions generate synergistic effects; that is, more and/or better outcomes are attained than if the partners acted independently. USAID, for instance, suggests a set of factors that partnership arrangement need to address in order to contribute effectively to policy implementation. These include: specification of objectives and degree of convergence, mechanisms, for combining effort and managing cooperation, determination of appropriate roles and responsibilities, and capacity to fulfill those roles and responsibilities (Source: D. Brinkerhoff, 1998).

ⁱⁱⁱ For more information on participation in management and accommodating administrative procedures see 'Empowering people, a guidebook to participation', Chapter V, UNDP/Civil Society Organization and Participation Programme (CSOPP), 1998.

^{iv} For a description of available techniques and excellent implementation examples, see 'Empowering People – A Guidebook to Participation', Chapter 3, CSOPP at <http://www.undp.org/csopp/CSO/NewFiles/docemppeople3.html> and 'Participatory Local Governance - LIFE's method and experience', UNDP/MDGD, 1997

List of references:

UNDP sources:

- CEDAB(a): 'Supporting decentralization in Nepal'- NEP92027
CEDAB(b): 'PROGRESS' - BiH96025
CEDAB(c): 'Methodologies and analyses for good governance' - BUL97002
CEDAB(d): 'Rural Urban partnership programme' - NEP96003
CEDAB(e): 'CARERE' - CMB95011
CEDAB(f): 'Programme support to governance, democracy and human rights in Cambodia' - CMB95007
CEDAB(g): 'Enhanced Public Administration and Participatory Development' - KEN95100;
For other CEDAB examples see: BGD94001; BUL97008; BUL97007; BUL96003; KYR97002;
LEB98002; IND95004; MOR97001; PNG96001; POL96003; SAF97506; THA93003; UZB96004;
VIE98003; and ZIM97008
'Result-orientated annual report (ROAR), 2000' - UNDP 2001
'Creating change networks for local governance' – minutes of workshop, Bratislava, UNDP 2001
'Bulgaria's capacity 21 programme, case study' - UNDP/RBEC 2001
'Capacity 21, Approaches to sustainability, Bulgaria's country study' - UNDP, March 2001
'Experiences related to partnership for local governance' - note from the UNDP/CO, Côte d'Ivoire, UNDP 2001
'Bi-annual report on BMZ Trust fund for PACT' - UNDP/IDG 2001
'Estonia's Capacity 21 Programme Evaluation' - UNDP, October 2000a
'Evaluation of the UNDP/UNDCP programme in Baalbeck-el Hermel - Support to the Regional Development Programme of Baalbeck-Hermel' - UNDP, May 2000
'South Asia Poverty Alleviation Programme – Regional Progress Report 2000' - UNDP 2000
'The challenges of linking: City to City co-operation as a development modality for the 21st century' - UNDP/IDG 2000
'The UNDP role in decentralization and local governance: A joint UNDP-Government of Germany evaluation'- UNDP/BMZ, February 2000
'Joint Venture Public-Private Partnerships for Urban Environmental Services: Project Report on UNDP/PPPUE's project development facility'- UNDP 2000
'The impact of participation in local governance – a synthesis of nine case studies' – MDGD/UNDP, July 2000
'Rural-urban relations: an emerging policy priority'- UNDP/IDG 2000a
'CSOPP resource center: toolbox – innovative practices' - UNDP/CSOPP, Last Update February 2000
'Changing policy and practice from below: Community experiences in poverty reduction'- UNDP/CSOPP, Last Update 2000
'Decentralization programme in Kyrgyzstan – annual report 2000' - UNDP 2000
'Partners in development programme-- final evaluation'-UNDP/SEPED/BDP 1999
'The urban governance initiative – TUGI, draft terminal report' – UNDP 2001
'Local initiative facility for urban environment - global evaluation report'- MDGD/BDP/UNDP 1999
'Decentralization: A sampling of definitions. Working paper prepared in connection with the joint UNDP/BMZ evaluation of the UNDP role in decentralization and local governance' - UNDP/BMZ 1999
'Governance for Human Development – a corporate strategy for UNDP' - UNDP 1999
'UNDP and governance, experiences and lessons learned'- MDGD/UNDP 1998a
'Evaluation of the Governance Programme for Latin America & the Caribbean'- UNDP 1998
'UNDP and governance – experiences and lessons learned' – MDGD/UNDP 1998
'CSOPP Documents: empowering people: A guidebook to participation'- UNDP/CSOPP 1998
'Decentralized governance monograph: a global sampling of experiences' – MDGD/UNDP 1998
'Participatory local governance – LIFE's method and experience' – MDGD/UNDP 1997
'Reconceptualizing Governance, Discussion Paper 2' – MDGD/UNDP 1997
'Interim evaluation of project NEP96003' – UNDP 1996
'Peoples' participation – Human Development Report' - UNDP 1993

Other Sources:

- Ph. Bevan: 'Programme approaches: spaces and entry points for social development' – DFID 2000
- Isobel Birch and Halima Shuria: 'Perspectives on Pastoral Development. A Casebook from Kenya', Oxfam, September, 2001
- H. Blair: 'Democratic local governance in Bolivia' – impact evaluation no: 6, 1997
- H. Blair: 'Spreading power to the periphery – an assessment of democratic local governance' - evaluation highlights no: 62, USAID 1998
- D. Brinkerhoff: 'State-civil society partnerships for policy advocacy and implementation in developing countries' – working paper no: 2; USAID 1998
- A. Burke: 'Communication and development; a practical guide' - DFID 1999
- A. Evans: 'Poverty reduction in the 1990s – an evaluation of strategy and performance'- World Bank 2000
- P.C. Gallegos: 'Local government and corruption' - paper presented at the Global Forum on Fighting and Safeguarding Integrity, the Hague 2001
- J. Geist & N. Ng'ethe: 'Local Development Funds, an internal review' - UNCDF 1998
- German Foundation for International Development: "UNDP-BMZ-Seminar: International expert dialogue on global issues in decentralization and local governance: Mapping out collaborative action among key partners" - Public Administration Promotion Center, Berlin, May 2000
- GTZ: 'Networking with partners' - GTZ, June 2000
- D. Hulme: 'Protecting and strengthening social capital in order to produce desirable development outcomes' - DFID 2000
- K. Jobes: 'Participatory monitoring and evaluation guidelines; experiences from the field'- DFID 1997
- J. Jutkowitz et al: 'Democratic local governance in the Philippines; tradition hinders transition' - impact evaluation no: 1, USAID 1997
- C. Lindahl et al: 'Managing the NGO partnership – an assessment of stakeholder responses to an evaluation of development assistance through Swedish NGOs' - SIDA studies in evaluation 99/4, SIDA 1999
- H. Lippman & H. Blair: 'Democratic local governance in Ukraine' – impact evaluation no: 2, USAID 1997
- H. Lippman & P. Pranke: 'Democratic local governance in Honduras' – impact evaluation no: 3, USAID 1998
- R. Makwere: "Towards setting up of a local integrity system in Kwekwe" - paper presented at the Global Forum on Fighting and Safeguarding Integrity, the Hague 2001
- S. Molund: 'Ownership in focus – discussion paper for a planned evaluation' – SIDA studies in Evaluation 00/5, SIDA 2000
- OECD/DAC: 'DAC Scoping Study of Donor Poverty Reduction Policies and Practices', Development Assistance Committee/OECD 1999
- D. Porter: 'District Development in Uganda: The Formulation Process for a Pilot Project' – case study, UNCDF 1997
- D. Porter & M. Onyach-Olaa: 'Inclusive planning and allocation for rural services taking risks' - background papers for 'taking risks', UNCDF 1999
- P. Sumangil: "CCAGG, an NGO watchdog in the province of Agra" - paper presented at the Global Forum on Fighting and Safeguarding Integrity, the Hague 2001
- UNCDF: 'Midterm evaluation of DDP'- 2001
- UNCDF: 'Synthesis of the 2000 UNCDF Evaluations: sustainability of local institutions'- 2000
- UNICEF: '2001 UNICEF Annual Report', 2001
- USAID: 'Democratic decentralization in Mali'- impact evaluation no: 2, 1998
- UTENRIKSDEPARTEMENTET: 'Evaluation of the Public Support to the Norwegian NGOs Working in Nicaragua 1994-1999', The Royal Norwegian Ministry of Foreign Affairs, evaluation Section, 3/2001
- G. Wood: 'Concepts and themes; landscaping social development' - DFID 2000
- World Bank: 'Strengthening capacity for monitoring and evaluation in Uganda: a results-based management perspective' - 2001

World Bank: 'Lessons on community driven development' - 2000
 World Bank: 'The World Bank's experience with institutional development' - 2000
 World Bank: 'The role of civil society in assessing public sector performance in Ghana' - 2000
 World Bank: 'NGOs in World Bank supported projects – a review' – 1999
 World Bank: 'Designing project monitoring and evaluation' - 1996

Contact Institutions:

Asia Foundation: <http://www.asiafoundation.org/publications/index.html>
 AUSAID – The Australian Government's Overseas Aid Programme: <http://www.usaid.gov.au>
 BMZ - Bundesministerium fuer Wirtschaftliche Zusammenarbeit und Entwicklung (GER):
<http://www.bmz.de/en/media/evaluation>
 CIDA – Canadian International Development Agency:
<http://www.acdi-cida.gc.ca/INDEX-E.HTM>
 CSOPP – Civil Society Organization and Participation Programme (UNDP site):
<http://www.undp.org/csopp/CSO/NewFiles/resources.html>
 DAC – Development Assistance Committee (OECD site):
<http://www.oecd.org/EN/documentation/0,,EN-documentation-57-2-no-no-no-0,00.html>
 DANIDA – Danish International Development Agency: <http://www.um.dk/english/dp/index.asp>
 DFID- Department for International Development: <http://www.dfid.gov.uk>
 IDR - Institute for Development Research: <http://www.jsi.com/idr>
 GTZ – Deutsche Gesellschaft fuer Technische Zusammenarbeit:
<http://www.gtz.de/publikationen/english>
 IAWG – Inter-Agency Working Group on Evaluation: <http://www.uneval.org>
 MAGNET – Management and Governance Network (UNDP site): <http://magnet/>
 NORAD – Norwegian Agency for Development Co-operation:
http://www.norad.no/default.asp?V_DOC_ID=860&V_LANG_ID=0
 OECD – Organization for Economic Co-operation and Development:
<http://www.oecd.org/EN/home/0,,EN-home-15-nodirectorate-no-no--15,00.html>
 OXFAM: <http://195.89.185.89/oxfam/index.asp>
 PPPUE - Public-Private Partnerships for the Urban Environment: <http://www.undp.org/pppue>
 SIDA: Swedish International Development Agency
<http://www.sida.se/Sida/jsp/Crosslink.jsp?d=107>
 UNICEF- United Nations Children's Fund: <http://www.unicef.org/infores/publications.htm>
 UNCDF – United Nations Capital Development Fund:
http://www.uncdf.org/local_governance/reports/index.html
 UNDP – United Nations Development Programme:
<http://www.undp.org/dpa/publications/index.html> &
<http://intra.undp.org/bdp/bdpwww/demgov/publications.htm>
 USAID – United States Agency for International Development: http://www.dec.org/demo_gov.cfm
 WB-World Bank: <http://www.worldbank.com/oed>

<p><i>THE ESSENTIALS</i> series summarizes and synthesizes main lessons learned and recommendations made by UNDP and other development agencies on selected subjects. It is designed to provide UNDP country offices and headquarters easy access to lessons learned from evaluations.</p>	
<p>Evaluation Office (EO) United Nations Development Programme (UNDP) One United Nations Plaza New York, NY 10017</p>	<p>Telephone: (212) 906 5095 Fax: (212) 906 6008 Intranet: http://intra.undp.org/eo Internet: http://www.undp.org/eo</p>