



# **United Nations Committee of Experts on Public Administration (CEPA)**

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## **Participatory Governance and Citizens' Engagement in Policy Development**

**Werner Jann  
CEPA, United Nations, New York, April 10, 2007**

# Outline

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- Main Issues:
  - need for clearer concepts
  - governance is different from management and government
- Lessons Learned
  - participation and decentralisation
  - problems of participation
- Key Principles to Guide Action in the Future
  - decentralisation and subsidiarity
  - empowerment and capacity building

# Main Issues

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- participation is a fundamental goal and object of value in and of itself
- participation has positive impact on output and outcome of policy formation and implementation
  - efficiency
  - effectiveness
  - equity
  - social justice
- this is the lesson of the developed world

# Main Issues

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- but this is also true for pro poor policies and poverty reduction
- there are important
  - limitations and
  - prerequisites
- governance is different from traditional
  - government and
  - management
- participatory governance is not simply another word for democracy

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# Government and Governance



	<b>democratic government</b>	<b>participatory governance</b>
<b>citizens</b>	<ul style="list-style-type: none"> <li>• subjects</li> <li>• voters</li> <li>• service consumers</li> <li>• clients</li> <li>• customers</li> </ul>	<ul style="list-style-type: none"> <li>• activists and co-producers</li> <li>• partners of social co-operation and political negotiation</li> </ul>
<b>society</b>	<ul style="list-style-type: none"> <li>• object of state intervention</li> <li>• pluralistic interest articulation</li> <li>• corporatist negotiation</li> </ul>	<ul style="list-style-type: none"> <li>• area of societal self regulation</li> <li>• active civil society</li> <li>• mobilisation of societal actors</li> </ul>

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# Government and Governance



	<b>democratic government</b>	<b>participatory governance</b>
<b>articulation and coordination of collective interests</b>	<ul style="list-style-type: none"><li>• parties</li><li>• interest groups</li><li>• parliament</li><li>• state monopoly</li><li>• government is the state</li><li>• "traditional democracy"</li><li>• top down</li></ul>	<ul style="list-style-type: none"><li>• negotiated patterns of public-private coordination</li><li>• direct participation and citizens engagement</li><li>• several public welfare arrangements</li><li>• governance within, with and without the state</li><li>• "participatory democracy"</li><li>• bottom up</li></ul>

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# Management and Governance



	<b>public management</b>	<b>public governance</b>
<b>focus</b>	<ul style="list-style-type: none"><li>• single organisation</li><li>• internal control</li><li>• performance of public agencies</li></ul>	<ul style="list-style-type: none"><li>• coordination of public and private actors</li><li>• combination of hierarchies, markets and networks</li><li>• performance of institutional arrangements</li></ul>
<b>solutions</b>	<ul style="list-style-type: none"><li>• contractual management</li><li>• strengthening managers</li><li>• business methods</li><li>• privatisation, outsourcing</li><li>• "lean state"</li></ul>	<ul style="list-style-type: none"><li>• new division of labour between state, market and civil society</li><li>• self-organisation</li><li>• "enabling state"</li></ul>

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# Lessons Learned

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- participatory governance is different at
  - central
  - regional and
  - local level
- it is particularly relevant at the local level
  - empowerment of citizens, especially the poor
  - community-based organisation and mobilisation
  - decentralisation



# Lessons Learned

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- lack of progress on the poverty front can in many cases be explained by the neglect or misunderstanding of the role of governance, i.e. the interaction of state, market, and civil society
- governance to be effective (for poverty reduction) has to include actors beyond government, and has to take into account, and possibly change the institutional arrangements which drive the behaviour of actors

# Lessons Learned

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- institutional change: changing the regulatory, normative and cognitive pillars of institutions
  - incentives: what actors have to do (rules, laws and economic sanctions)
  - appropriate behaviour: how actors are supposed to behave (unwritten rules, social obligations)
  - worldviews: what is taken for granted (ruling concepts and assumptions, the social construction of reality)

# Lessons Learned

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- too many traditional governance structures
  - that meddle too much into the details of economic activities that are best left to the market
  - but provide too little support on 'public' matters that require non-market mediated governance
- top down planning, implementation, and evaluation has in many instances failed to secure necessary contributions from the targets of programmes

# Lessons Learned

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- participation is closely linked with decentralisation
- participation through decentralisation has until now shown many more cases of failure than of success
  - rhetoric of centralisation and participation frequently fails to match the willingness of the center to relinquish power
  - used to legitimise central programmes, not to change them
  - elite domination of local programmes (elite capture)

# Lessons Learned

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- problems of participation
  - decision making dominated by a combination of local elites and government functionaries
  - nobody relinquishes power easily
    - neither politicians or bureaucrats (at the center)
    - nor traditional elites (at the local level)
  - weakness of the lower segments of society to make their voices heard
  - the danger of a social bias of participation, strengthening vested interests

## Lessons Learned

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- "If graft, patronage and rent seeking characterise the political process that determines the distribution of power at the centre, local government can hardly be an arena of popular participation just because it is local" (Osmani 2001).
- "decentralisation is more likely to be thoroughgoing under liberal democratic/pluralistic national regimes. ... This applies equally to capitalist and socialist regimes, where small cliques have captured the power of the state. At the same time, however, the converse does not necessarily hold – democracy need not lead to decentralisation" (Klugman 1994).

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# Key Principles for Future Action

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- participation in all phases of the policy cycle and project management
  - agenda setting and problem definition
  - policy formation and project planning
  - policy implementation and project execution
  - policy evaluation and project auditing

# Key Principles for Future Action

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- changing the dynamics and the quality of the policy process
  - at the level of government and public administration
    - consultation
    - subsidiarity
  - at the level of civil society
    - empowerment
    - social mobilisation



# Subsidiarity and Consultation

	<b>traditional tendencies</b>	<b>needed reversals</b>
<b>public administration</b>	<ul style="list-style-type: none"> <li>• centralize</li> <li>• standardize</li> <li>• command and control</li> <li>• hierarchy</li> </ul>	<ul style="list-style-type: none"> <li>• decentralize</li> <li>• diversify</li> <li>• enable</li> <li>• network</li> </ul>
<b>actors</b>	<ul style="list-style-type: none"> <li>• professionals</li> <li>• outsiders</li> </ul>	<ul style="list-style-type: none"> <li>• (local) stakeholders</li> <li>• insiders</li> </ul>
<b>behaviour</b>	<ul style="list-style-type: none"> <li>• dominating</li> <li>• lecturing</li> <li>• extracting</li> </ul>	<ul style="list-style-type: none"> <li>• facilitating</li> <li>• listening</li> <li>• empowering</li> </ul>

*adapted from Schneider 1999*

# Key Principles for Future Action

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- what does empowerment mean?
  - no narrow concept of political power ("to assert one's will even against resistance")
  - gaining strength  
→ capacity building
  - capacity and power are no zero-sum games

# Key Principles for Future Action

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- prerequisites for empowerment and participation
  - pluralism  
accepting different interests and ideas
  - civil liberties  
freedom of speech  
freedom of organisation and association
  - rule of law  
functioning of the legal system  
literacy, financial means
  - transparency  
availability of information

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# Key Principles for Future Action

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- social mobilisation and capacity building
  - creating a civil society where none exists, and strengthening it where it does
  - mobilising the capacity and initiatives of civil society organisations working for social and economic development
  - newly emerging NGOs are often created from the top, often with state patronage, and with very little participation of people from the bottom

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# Key Principles for Future Action

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- social mobilisation and capacity building
  - information
  - education
  - communication
- both for
  - public administration and public managers and
  - civil society organisations and citizens

# Problems of Participatory Governance

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	<b>State</b>	<b>Market</b>	<b>Civil Society</b>
<b>too little</b>	<ul style="list-style-type: none"><li>• external effects</li><li>• crime</li></ul>	<ul style="list-style-type: none"><li>• welfare deficits</li><li>• innovation deficits</li></ul>	<ul style="list-style-type: none"><li>• no voice</li><li>• neglect</li></ul>
<b>too much</b>	<ul style="list-style-type: none"><li>• authoritarian state</li><li>• stagnation</li></ul>	<ul style="list-style-type: none"><li>• inequality</li><li>• social darwinism</li></ul>	<ul style="list-style-type: none"><li>• exclusion</li><li>• Mafia</li></ul>

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# Sources

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- Schneider, H., "Participatory Governance: The Missing Link for Poverty Reduction", OECD Development Centre, Policy Brief 17: Paris 1999

# Thank you very much!

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