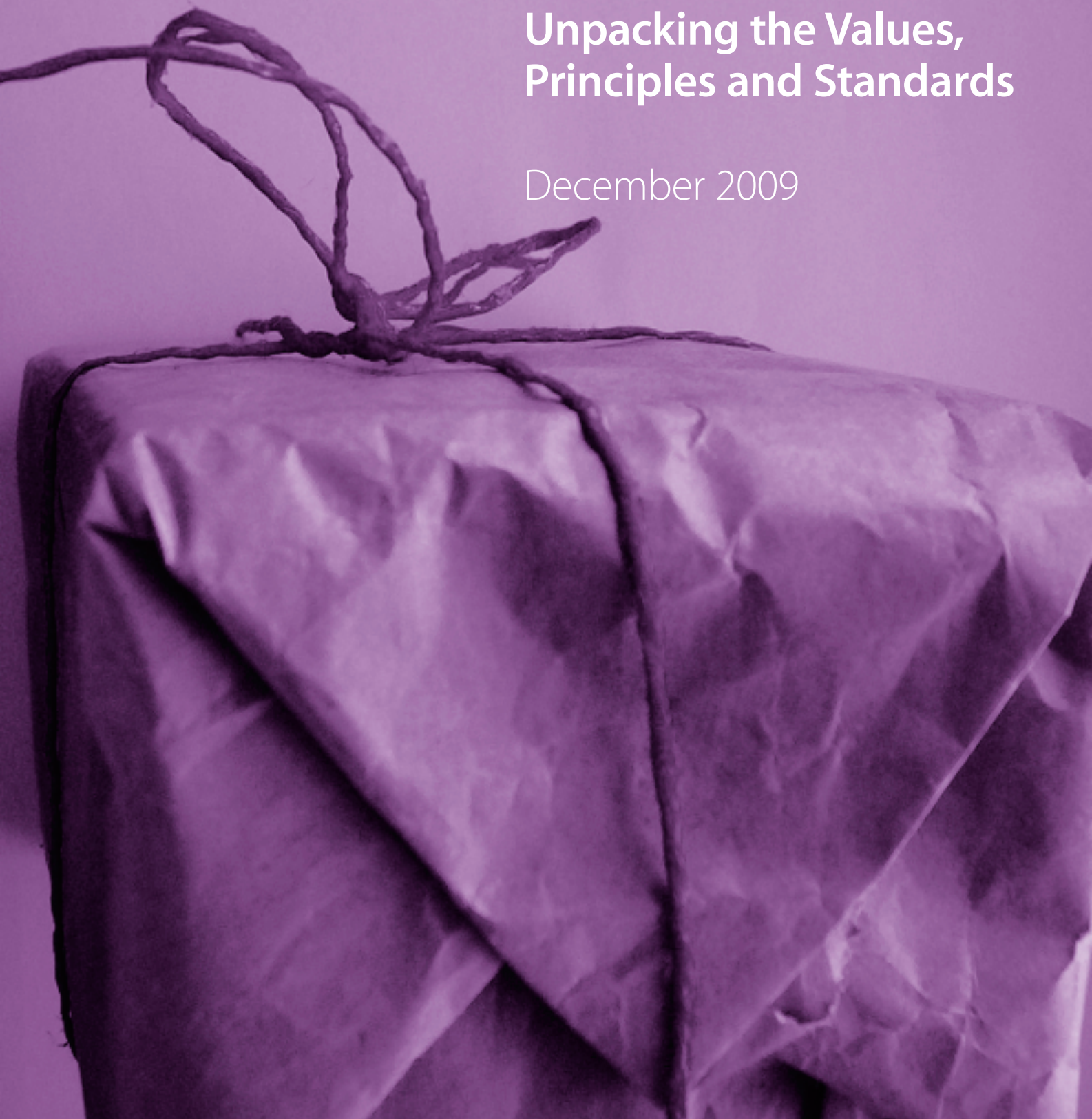


Unpacking the Values, Principles and Standards

December 2009



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Purpose of the document

“Done well, Participatory Budgeting (PB) empowers communities, gets more people involved in democracy and improves local public services. This document sets out the distinct values, principles and standards needed to run a successful PB programme.”

Participatory budgeting values, principles and standards document, September 2008

The purpose of this document is to provide PB projects with a way of identifying which values, principles and standards they have adopted in their process, and to what extent. It's not a requirement that PB processes adopt all values to their fullest extent. However, they are designed to help ensure projects get maximum benefit from a PB process. The values, principles and standards demonstrate good practice. The matrices in this document were developed to help projects identify direction of travel, but not to provide an overly prescriptive model.

We have provided a case study of a project which demonstrates good practice for each value, to provide a tangible example of how the values can be incorporated into a process.

The adoption of the values, principles and standards set PB within the community development and empowerment arena, helping to guard against people paying 'lip service' to PB to 'tick a box' without any real intention of empowering communities.

Background to the document

In September 2008 we produced a document on the values, principles and standards which was based on consultation with key stakeholders and input from projects.

Over a year later, we have found that the values, principles and standards are broadly accepted by practitioners and academics as being correct for PB in the UK. A number of projects now evaluate their projects against them, as a way of improving their process.

However, we have had a number of comments about the difficulty of translating the values, principles and standards into something more tangible in a project. We are often asked to define PB, to put parameters around empowering and engaging activities and define what constitutes PB. We feel that being too prescriptive and

rigidly defining PB can be disempowering to those seeking to engage with their communities. So rather than say 'this is PB and that isn't PB' we have developed some matrices which:

- a) Support the values, principles and standards and illustrate the range and scope of PB practice, rather than try to set out a narrow definition
- b) Support projects and those involved (including community groups) in considering, implementing or improving PB processes.

A definition of PB

There is a nationally agreed definition for PB:

“Participatory budgeting directly involves local people in making decisions on the priorities and spending for a defined public budget. This means engaging residents and community groups representatives of all parts of the community to discuss and vote on them, as well as giving local people a role in the scrutiny and monitoring of the process.”

Or, to put it more simply 'local people decide how to allocate part of a public budget.' The values, principles and standards set minimum guidelines in terms of the 'spirit' of PB and not just the 'letter'. When PB is recognised as something which can help in achieving government requirements, this is beneficial in terms of increasing its uptake, but there is also a danger that it is seen as a 'tick box' exercise. By incorporating the values, principles and standards into PB projects, organisers and communities can help to safeguard against this risk.

Current PB context in the UK

Over the past year there has been a significant increase in the numbers of projects implementing PB. There are now over 75 projects England, 13 in Wales and 6 due to start in Scotland. Since September 2008, over £10million has been allocated by PB.

Not only has there been an increase in numbers of projects and amounts of money allocated, there has been an increase in the variety of project themes and PB models. There are now projects which are police led or involve the police in local partnerships such as in Liverpool and Northumbria, there are whole local partnership approaches such as in Norfolk, and a much greater move to using mainstream funding to be allocated by PB to mainstream services, in Tower Hamlets for example. Children and Young People is a theme that continues to grow in areas such as Plymouth and Hartlepool, and there have also been projects focussing on disabled people and their carers in Salisbury, and social housing tenants in Redcar. There has been increase in interest from the health sector with a number of Primary Care Trusts including Lewisham and Hull now considering how to implement PB in their areas.

There has been a greater recognition of the value of PB in meeting the requirements of the Comprehensive Area Assessment and the Duty to Involve. PB is beginning to be seen as a way of engaging with communities at a time when resources are tight and as a way of renewing local democracy and giving a greater role to local councillors and community leaders and champions. There has been greater media interest in PB as an answer to the dramatic decrease in trust in representative democracy following the MPs expenses scandal.

Value: Transparency

Case study: U Decide Children's Fund, Newcastle



In May 2008, over 450 children and young people were involved in deciding how to spend £2.25million of Youth Opportunities Funding. In a radical move, Newcastle City Council decided to open up the whole of the budget to children and young people aged 5-13, for them to decide how it should be spent. Their votes represented a 20% stake in the fund.

Recognising that children and young people are the experts, the project aimed to give those young people in the city who were most likely to benefit from the Fund, the chance to have a real say in how it was allocated. The project also sought to demonstrate that participative approaches can be reconciled with complex decision making processes by integrating the popular Udecide method with the Fund's procurement arrangements. Finally, by challenging providers to pitch their idea to young people, the project aimed to make them think differently about their services and how they involve young people. This project was also the first in the programme where the young people voting were not always direct beneficiaries of the project ideas so the Udecide Team were interested to see whether the young people would remain interested in spending decisions irrespectively.

The project involved 450 young people at various stages of the process. These young people are often considered 'hard to reach' and came from a variety of settings including Pupil Referral Units, Additional Resource Centres, special schools, the Youth Inclusion Project, a young carers group and a number of BME youth groups. Their enthusiasm and commitment has shown that with the right method, these young people are eager to participate, setting a new benchmark for the engagement of young people in the city.

An important element of Udecide's success has been its transparency. The introduction of electronic voting at the Grand Voting Event enhanced this transparency, with participants able to see immediately how their votes had made an impact. The procurement process on the other hand is notoriously complex and it was essential that this transparency was retained in the eyes of the young people involved. For the remaining 80% of the procurement process, projects would be scored 0, 1, 3 or 4. The Udecide Team therefore decided to adopt this scoring for the engagement with young people, so that their scores fed transparently into the overall decision making process. Officers could then evidence on their return visits to these settings, exactly how the young people's participation had affected the final allocations.

“electronic voting at the Grand Voting Event enhanced transparency, with participants able to see immediately how their votes had made an impact”

The numbers of young people who engaged, which included many 'hard to engage' young people has shown local partners that the barriers to engagement are not insurmountable and that these young people are eager to have their say, with 93% saying they enjoyed the Conference. The views of young people captured in the three sessions also provide important intelligence which Children's Services can now feed into future activity. Moreover, the project has challenged local partners' ideas of procurement and dispelled any comfortable notions that participative approaches cannot be transferred to more rigorous decision making environments. The project also acted as a mandate for local providers to think differently about their services and give more priority to the views of young people in the design, promotion and delivery of these services.



Value: Transparency

PB processes are designed to give citizens full and clear knowledge of public budgets in their area, even those over which they do not have a direct say

Benefits of the value:

- Public sector processes more transparent leading to greater trust and mutual respect
- Wider community are more informed about what is happening in their area and how they can get involved
- Improved decision making through gaining of skills and knowledge by participants

Principles:	Have open and clear processes	Involve communities in scrutiny of PB funded projects or programmes	Provide full and open information on all public budgets
<p>Best practice standards</p> 	The names and roles of all those with responsibility for managing and planning PB processes must be published, and clear redress procedures put in place. Clear mechanisms for accountability should be in place.	Participants in the PB process should be given the opportunity to get involved in the scrutiny process for the services or projects funded through PB. Mechanisms for accountability of projects and the role of scrutiny should be clear.	Budget literacy support should be provided and public budgets should be explained to those involved, to allow the best possible allocation of resources through the PB process.
	The rules devised for a PB process must be drawn up in partnership with citizens. This should include the establishment of accountability structures.	Citizens should be regularly updated and informed on the progress of the services or projects funded through PB.	True costs of PB funded projects should be widely known and reported consistently.
	The process should be published in an easily accessible format highlighting where citizens can get involved and what they can expect from their involvement.	Any conflicts of interest for any person involved in the PB process should be made public and absolutely clear.	The budget available for PB processes should be clearly defined at the start of each year, and protected from being reduced by budget pressures within that years as far as possible.
Minimum standards			

Value: Accessibility

Case study: It's UP2U in Tameside

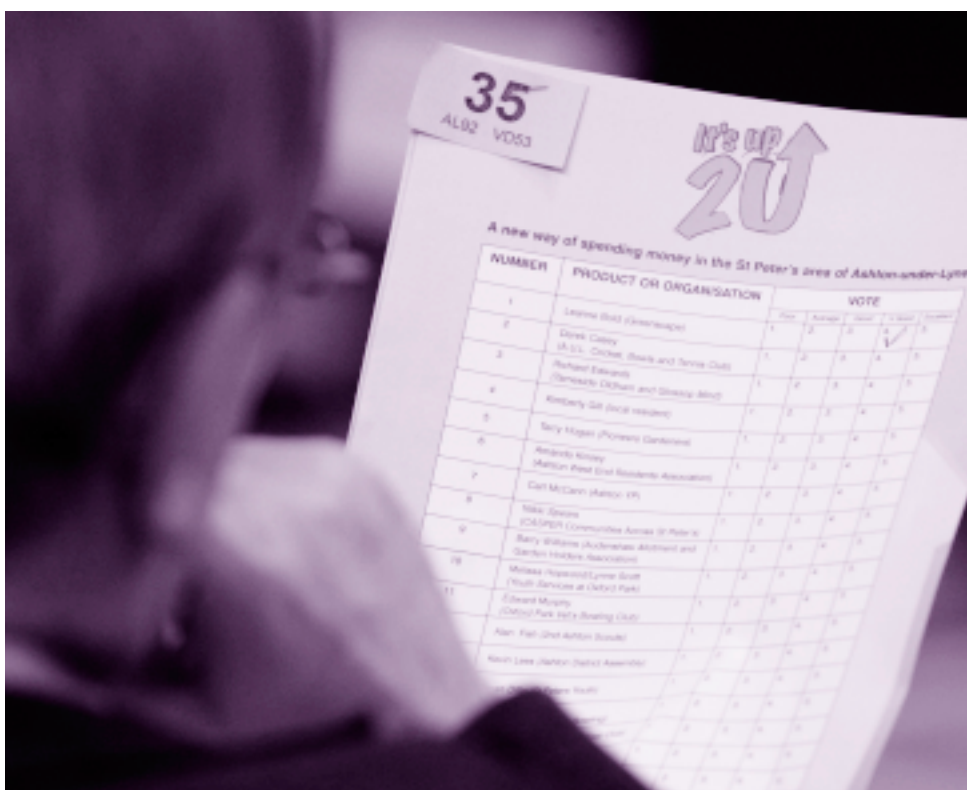


Greater Manchester Police were awarded funds from the Home Office to implement two pilots in the Greater Manchester area. They chose Tameside and Stockport divisions as their pilot areas. Tameside police decided to use their funds in the St. Peters ward. St. Peters is both an area of high deprivation and very multicultural with a large Asian community.

In March 2009, nearly 200 people, including young people turned out to participate in deciding how to spend £35,000 which included funding from both Greater Manchester Police and Tameside police division as well as the Home Office funds.

In order to achieve such a good turnout at the decision day event, Tameside police engaged in a variety of promotional and engagement activities prior to the event, plus to draw people in they made the event as fun as possible by having a number of other activities on the day including a bouncy castle, face painting a climbing wall and a number of demonstrations from the Dog Unit and the Firearms Unit. To engage with the ethnically diverse communities in the ward the police promoted the decision event on local radio and in printed press as well as talking about it at local residents meetings and other group meetings including meeting with members of the local mosque. All neighbourhood policing teams were fully aware of the details of the event so they could talk to residents in their areas about it as well. All households in the ward also received printed information about the day.

“To engage with the ethnically diverse communities in the ward the police promoted the decision event on local radio and in printed press”



The organisers also considered the venue carefully and chose a community building in the heart of the community. Prior to the decision event, local community and voluntary groups had been engaged to submit bids for the funding which had a theme of 'community safety'. A local third sector organisation was also on hand to help people in filling in the application forms and to give training in presentation and confidence skills. At the event, the bidders presented their projects in 3 minutes and then the participants voted on them.

Initial outcomes from the voting event show the benefits of making the process open and as accessible to all, and the role of community development:


- **94% of participants felt that the process was clear, easy to understand and transparent.**
- **63% felt that they were able to have a real say in decisions in their area through the event, and 78% felt that the event brought different parts of the community together.**
- **The participants profile information collected at registration to the event shows that there was a good spread across gender and age with similar levels of participants in all age groups. The ethnicity profile of participants was broadly representative of the ethnic profile of the area. This demonstrates that they were successful in getting a good range of the community to participate.**
- **61% of community groups saying they had made new contacts**
- **100% of participants saying they would attend a similar event again.**
- **81% feel that the event will help more people get involved in the community**
- **98% said they were more aware of different groups in the area from being at the event.**
- **50% of the participants said they now wanted to get involved in the groups as a result of finding out about them at the event.**

A partnership approach to PB in St. Peter's ward is now being developed and Tameside police will also ask follow up questions to the community to see if initial outcomes have been sustained.

Value: Accessibility

Benefits of the value:

- Improved community cohesion
- Improved community representation in the PB process
- Educating young people about democracy and active citizenship
- Empowering the unempowered and not just the already empowered
- Services targeted to meet needs of whole community not just a section of the community

Principle	Participants have good and clear access to PB processes		
Standards	Processes are accessible to all	PB is promoted widely and appropriately	Barriers to full participation removed
<p>Best practice standards</p>  <p>Minimum standards</p>	Optimal levels of accessibility and equal representation are achieved and demonstrated through monitoring data; including involving marginalised or excluded groups.	Optimal levels of involvement are achieved not only through publicity but also through word of mouth and the community is aware of the process and how they can get involved.	Community development work with 'hard to reach' groups identifies other specific cultural, religious or other barriers which are removed to best ability.
	Children and young people are given a role in the PB process – whether separately or as part of the 'adult' process. Decisions around who can vote are made by the steering group.	Promotion is targeted more specifically to attract the 'hard to reach' groups and to target specific 'communities of interest' such as children and young people.	Wider accessibility issues for events are considered and resolved such as transport, childcare options and disabled access to the venue as well as appropriate dates and times.
	Representation of participants is monitored with the aim of targeting and including minority and 'hard to reach' groups in future processes.	PB is promoted through attractive and targeted marketing and publicity materials so that everyone knows how to get involved.	Language and technology that is easy to understand and use is used at events and throughout the process.

Value: Deliberation

Case study: UDecide in Denton and Newburn, Newcastle (Safe Newcastle)



The aim of the project was to give local people their say on how to spend £50,000 to tackle community safety as part of a Home Office participatory budgeting pilot campaign. Safe Newcastle was awarded £20,000 for being a pioneer area with the remaining £30,000 match-funded by Newcastle City Council and private sponsorship.

The Denton ward mainly consists of large areas of local authority housing estates and private housing. The ward is currently undergoing a large housing regeneration project which includes looking at the development of new community space. Much of the ward is urban. Newburn ward is made up of five villages – Bulcher, Newburn, North Walbottle, Throckley and Walbottle. Some of the ward is semi-rural and it has a variety of housing tenures. It has a population of 9,301. Both wards suffer from high levels of youth anti-social behaviour and associated crimes.

Working in partnership with the City Council's Udecide team, who specialise in participatory budgeting, a number of roadshows and community events were held to raise awareness of the funding available to local community groups and organisations.

Each ward held their own 'Grand Voting Day' with their community. Each group worked hard to ensure that the rooms had a celebratory feel.

Residents were welcomed on arrival, provided with an electronic hand held voting device and shown to a table. Working group volunteers were responsible for seating guests to ensure that each table had a good mix of ages, groups and geographical area.

Each group applying for funding was given three minutes to present to the audience. The audience were then asked to debate how well they felt the project addressed community safety issues and what they thought of the project. There were facilitators at each table with a good knowledge of crime and community safety issues if there were any queries or help was needed. The aim of the discussions was to help residents with their decisions. It was not necessary to reach an agreement with others at the table as each vote was everyone was entitled to their own opinion.

The projects with the most votes were awarded their funding until all of the funds available were allocated. In Denton, there was a total of 17 projects presenting at the Grand Voting event. The total cost of these 17 projects was £34,500 – with only £25,000 of Udecide funding available. In Newburn, a total of 19 projects presented at the Grand Voting event. The total cost of these 19 projects was £58,000 – with only £25,000 of Udecide funding available.

“Each group applying for funding was given three minutes to present to the audience who were then asked to debate how well they felt the project addressed community safety issues”

Feedback from participants included

'it's opened up greater teamwork amongst the community'

'makes us feel like our opinions count'

'it gives people a lot more confidence in the place they live'

Participants were also asked to rank their views about various aspects of the day out of 5. In both Newburn and Denton the average score for 'How helpful did you find talking to other people before voting' was 4 out of 5, indicating that people really valued the time to deliberate first before voting.

Participants considered deliberation to be a valuable element of the process, which did have the ability to modify an individual's decision making process:

'we all had a say and listened to each others opinions - if we'd just done it ourselves it would not have been the same'


'you need the discussions, otherwise it is just reactive decision making'

Working Group members in both wards acknowledged the value of project deliberation in the programme. In particular, it was noted that 'it got different communities talking across the table', and 'it allowed people to make more informed decisions'. Other professionals and Council staff who took part in deliberation were very positive about this addition to the programme, and recognised that it brought about a deeper understanding of the projects and made the voting seem more robust.

Value: Deliberation

Benefits of the value:

- Increases likelihood of consensus
- Builds community cohesion – more of a community decision than an individual decision
- Provides more thought out ideas about services – wisdom of crowds over wisdom of individuals in targeting services

Principle	PB processes should take citizens beyond personal choice and involve real deliberation around budget decisions		
Standards	Take part in a wide-ranging debate as an integral part of PB	Support practices that promote thoughtful consideration	Support participative democracy
<p>Best practice standards</p> 	Deliberation should be seen as the key aspect of PB – beyond the vote – and deliberation should lead to consensus on decisions where possible or voting should be used to support deliberation.	Suitable, interesting and fun deliberation processes should be used to help everyone participate.	All citizens are able to have a say and influence over public services in their area and feel that their suggestions and contributions are equally valued in a deliberative space.
	Resources with relevant and understandable information should be available to facilitate deliberation at PB events.	Facilitators should make sure all voices are heard, not just the loudest. Intimidation of any form should not be tolerated at PB events.	Citizens gain knowledge and confidence to participate in budget and other key decisions about services.
	The programme at each PB event should allow time for people to think and deliberate before they vote or make decisions.	The physical space at PB events should allow for people to group together to discuss and reflect before they vote or make decisions.	All suggestions/ideas/proposals/priorities from participants should be given equal consideration and facilitators should ensure that all suggestions are deliberated.
Minimum standards			

Value: Empowerment

Case study: Acorns Your Voice, Your Choice Ballot



Acorns is a neighbourhood management area in Scunthorpe with about 4500 households. It is an area of high deprivation and partners work together through the neighbourhood management structure. Your Voice, Your Choice ballot project was one of the Home Office community safety PB pilots which was given £20,000 of Home Office funding for PB. The time constraints for delivery were such that service providers were asked to come up with projects that met the community safety criteria. Ten were short listed by the steering group to go on the ballot.

Your Voice Your Choice used a postal vote, but did not solely rely on this. 845 people voted for their preferred PB projects. To get this level of engagement, the Acorns team 'took to the streets' and held a number of events around the area where people could meet and discuss the proposals. There was also a significant amount of door-knocking and engaging with residents. The Acorns officers researched the busy periods for shops and then ensured they had a presence in these locations during these times. In total, they held 37 events in 12 days.

By holding consultation events at a variety of places, the team were able to meet with a range of people from marginalised, 'hard to reach' groups who do not traditionally engage with public agencies. This included speaking to young mothers at places they meet, and talking to people with addiction issues who were visiting the local pharmacy.

The team recognised a further traditionally disengaged section of the community as males aged 25 - 60. These residents were engaged by the Acorns team entering into environments where this target audience would be, such as local public houses. The Acorns team talked through the options with residents, assisting them to fill in their ballot papers where necessary. This form of engagement often brought telling responses: "I like that anti-social behaviour one - that might have helped us 'coz we've just been evicted for ASB" (young couple).

Events were held close to the post office, which enabled the team to speak with people collecting their benefits. People who were unlikely to be on the electoral register were also persuaded to vote in the pilot. Whilst many initially refused and stated that they never vote, the Acorns officers explained that this project was about helping their community: "I don't vote usually, I think it is a waste of time. But this is ok...if it really happens" (young mother).

So that people could see the tangible effects of their votes, the team arranged for a 'Week of Action' when the four successful projects were delivered. The successful projects were a neighbourhood clean up, fitting 1100 door alarms to increase house safety, home fire safety equipment & installation, and youth activities. The four projects were able to be delivered (or at least partly delivered) in the Week of Action.

"the discussions with participants and voters has contributed towards increasing budget literacy, as people began to see the difficulty of prioritising"

Further feedback to residents has been through the relationships they've developed with the officers working in the area and also through the newsletter which provides regular updates on the projects.

Beyond the numbers and different groups of people engaged in the process, there have been a number of other outcomes. One of the primary intended outcomes of PB is to develop budget literacy and community ownership in citizens. The Acorns team felt that the discussions they held with participants and voters throughout this process has contributed towards increasing budget literacy, as people began to see the difficulty of prioritising:

"It's hard to pick isn't it - can I vote for all of them!" (young couple).


There were also some unintended, but very welcome outcomes. The local drop-in centre that was used for some of the events and meetings gained five new young people as volunteers as a result of them finding out about it through the project.

The police developed better relationships with the community to the point that community members provided them with information which led to the arrest of someone for a serious crime. They were also able to refer people to the right agencies for small improvements such as having house alarms fitted. 500 fire alarms were fitted and it's anticipated that it should have a significant positive effect on crime in the area.

Value: Empowerment

Benefits of the value:

- Improved community cohesion
- Strengthened local democracy
- Increased knowledge and skills
- Sense of having control/influence in decisions which impact residents' lives

Principle	PB events are centrally concerned with empowering local citizens in decisions over local services and shaping their local area through allocating part of a public budget			
Standards	Promote empowerment of individuals and communities	Promote active citizenship to create better public services	Promote community development and capacity building in PB	Support a stronger civil society
<p>Best practice standards</p> 	Processes should be designed in such a way that community empowerment is maximised – and where evaluation shows improvements could be made these are built into the process.	Encourage citizens to get involved beyond PB through putting them in touch with other organisations involved in PB – encourage volunteering, becoming a councillor, or getting involved in other community activities.	Community development techniques are maximised to build capacity in communities and to encourage citizens to engage in their community beyond the PB process.	PB is a component of a wider strategy for, and commitment to, the involvement of citizens in decisions.
	Evaluation should explore how well PB has empowered people.	Encourage community members to get involved in the PB process beyond the decision process such as being involved in the steering group or coming up with a project.	Good capacity building is essential for good community empowerment and should always be used in PB processes.	Participation in PB has enabled /encouraged people to get involved in other forms of citizen empowerment.
	Although there may be several reasons for a PB project, all publicity, events and processes should make it clear that empowering local people is a priority.	Through publicity and promotional materials and events, the concept that PB is about 'our money', 'our place', 'our decision' etc should be promoted.	Citizens, officers, councillors and partners should plan and lead PB events together, demonstrating local people's empowerment.	PB is used as a catalyst for building community capacity and skills.
Minimum standards				

Value: Local Ownership

Case study: Voice Your Choice in Eastfield, Scarborough



Eastfield, near Scarborough in North Yorkshire is one of the region's largest housing estates, providing a mix of owner occupied and social housing. Whilst the estate has a lively and varied community, there are areas of significant disadvantage within it. A community action plan had been developed, which was used to help identify the types of project most needed to address crime and community safety issues.

A steering group of about 12 people, a good mix of residents, elected members and workers was formed to deliver the PB programme. There was a feeling at first among residents invited onto the steering group (at this point chaired by the Police Authority) that their involvement was to some extent 'window dressing' and 'the same old story'; that is to say that the important decisions would still be made by officers and elected members, rather than residents. This feeling had an historical context, based on previous perceptions of 'not being listened to'.

This perception was voiced at a meeting of residents and officers, and a decision was taken to have a structured training session with all steering group members, to try and get to the bottom of this issue. The session consisted of some input about PB, followed by the whole group, in turn, telling each other how they saw their roles and responsibilities as residents, elected members and officers. This structure ensured that all voices were heard, and it was very instructive, for example, to hear officers feeding back that they didn't realise that they were perceived as remote.

Towards the end of the session, the group was asked "how will you know when the process has moved from local authority to resident led?"

Two immediate responses were:

- **to elect a resident to chair the Steering Group**
- **to send out information about the PB project from the Neighbourhood Partnership Office rather than on local authority headed notepaper.**

Stuart Pudney, the Police Authority representative on the Steering Group, commented afterwards:

"The training day... was invaluable in clarifying roles and process and with hindsight should be the starting point for steering groups embarking on a PB process. The session helped to clarify what 'resident led' meant and from then on the process was very much resident led... the group finding its own way of doing things, the result being a very focussed and positive steering group."

The group then went on to plan and deliver the process effectively.

"It was very instructive to hear officers feeding back that they didn't realise that they were perceived as remote"

Other examples of local ownership included:

- **Asking pupils from local schools to design logos/publicity materials**
- **Residents volunteering for key 'professional' tasks eg design and running of computerised voting system, providing on site catering facilities**
- **Over 100 local people (in addition to steering group members) involved in voting, publicity, project support.**


The Decision Day event, held at Eastfield Community Centre was attended by over 80 people. 19 projects were presented to residents. Projects included activities for young people, and the elderly, improved street lighting, and environmental improvements. Eight projects received full funding and a ninth was partially funded. These projects are currently being delivered. From feedback received from participants, the day was judged to be very successful with over 94% thinking the process was fair and open, and 97% said they would come again to a similar event.

The project demonstrated the benefits of creating an environment where residents feel valued, listened to, and in some sense in control. Whilst it only involved a relatively small sum of money, it can be argued that, for this small sum, a lot of valuable community engagement, empowerment and capacity building took place. One of the frustrations of working in community development is that people become interested in the short term, and then 'fade away'. In this situation, the Steering Group remained dynamic and interested because the PB process kept generating new tasks and challenges. It is likely that the relationships developed through this project will improve community relations in the longer term, and foster a growing sense of local ownership.

Value: Local Ownership

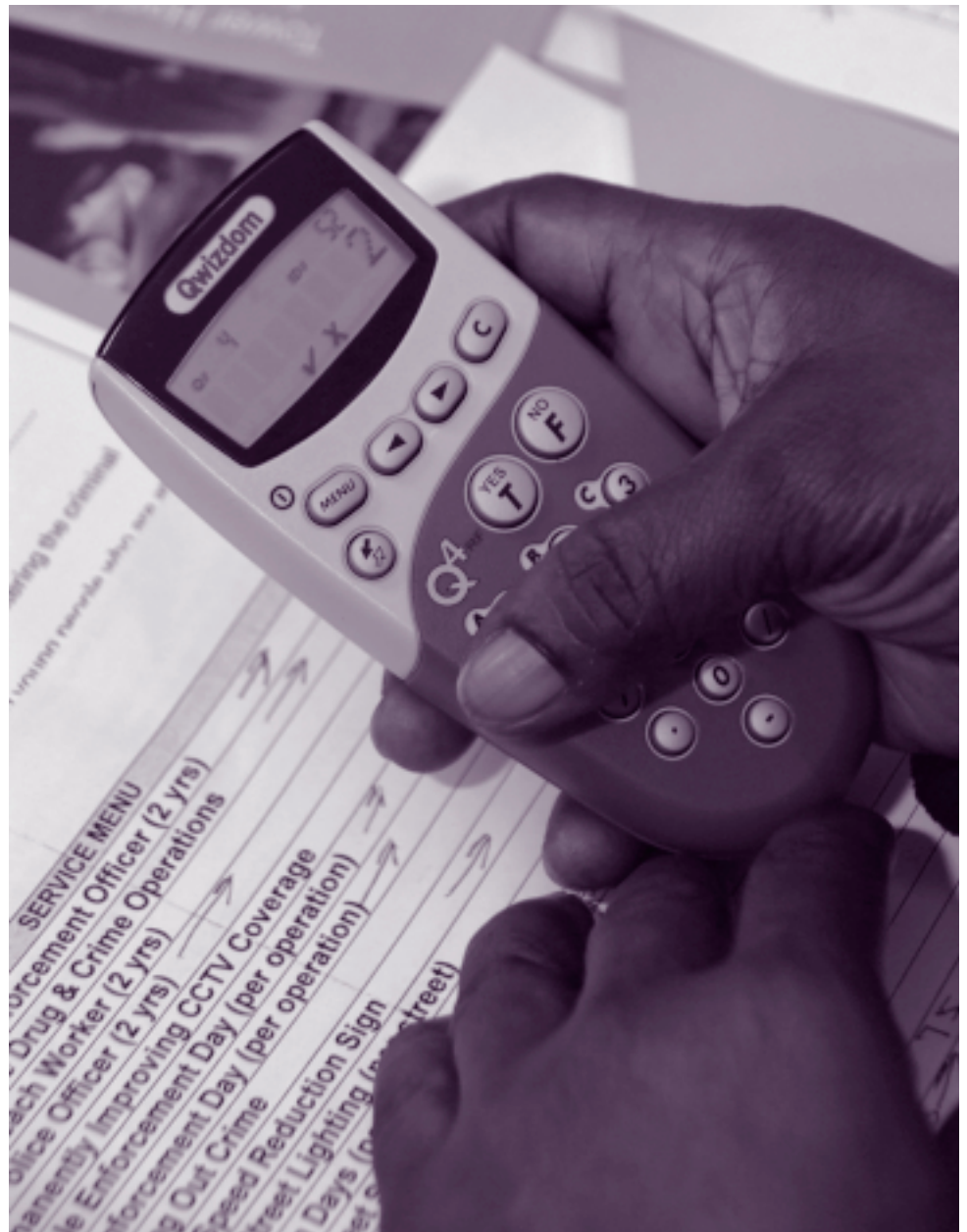
Benefits of the value:

- Improved community cohesion
- Increased active citizenship for representatives
- Improved relationship between service providers and residents and behaviour changes which allow services to focus more on prevention rather than fixing a problem.
- Improved confidence for participants

Principle	Residents should be involved in setting budget priorities and identifying projects for public spend in their area wherever possible		
Standards	Involve people affected by PB in decisions about PB processes and projects	Ensure local representation is supported by the wider community	Encourage individual and communities particularly those marginalised, to participate
 <p>Best practice standards</p>	The steering group should be citizen led, and mostly comprised of citizens who are representative of their community (preferably endorsed by the community itself) and should devise their own set of 'rules' or compact.	Elected members of the council are facilitators and champions of the PB process. Councillors should be encouraged to promote PB to their electorate and take an active role in the process.	All marginalised groups should be involved in the planning and design of PB processes.
	A PB process must begin early enough in the budget cycle for residents to influence both priority setting and project identification, and to be able to feel that they have influenced budgetary decisions.	The views of the wider community should be consulted around the design, process and priorities.	Community development techniques should be used to engage with the traditionally marginalised groups to ensure fair representation of the whole community.
	Because people often immediately identify with issues in their own neighbourhoods, budget allocation should apply to neighbourhood level, or to the lowest level possible.	There should be wide representation of the community. If representation is limited, other measures should be put in place to stop results being skewed.	Groups absent or marginal in the PB process should be identified through diversity monitoring at PB events/processes so that measures can be put in place to engage them more in future PB cycles.
Minimum standards			

Value: Mainstream Involvement

Case study: Tower Hamlets



Tower Hamlets are one of a handful of projects in the UK which have used PB to allocate mainstream funding for mainstream services. They are the only project in the UK to use PB to allocate as much as £2.4million in a single cycle. In Spring 2009, Tower Hamlets Partnership decided to use £2.4million of Area Based Grant to allocate by participatory budgeting. The money is mainstream funding and it was to be allocated to mainstream services, essentially a 'top up' of the basic services provided in each area.

The asked all partners to provide projects or services which could go into a menu of options for residents to vote on. The projects had to help achieve either previously determined local priorities or Local Area Agreement targets.

The voting process was split out into eight local areas called Local Area Partnerships. Over 800 people got involved over the 8 areas. The decision events were held in each of the 8 areas. Participants heard a short presentation about each of the services on offer on the menu, then there was time for questions and facilitated deliberation on tables before taking a final vote which was done electronically.

The results of the vote were displayed almost simultaneously so participants could see the results of their votes.

Participants questionnaires show an improvement in attitudes on feeling that they can get involved and have a say, which is encouraging for Tower Hamlets LAA indicators NI4 and NI5. 62% felt that the PB process strengthened their level of influence over local decisions. 68% felt that the event was a good way of deciding how money should be spent locally. 61% of participants felt that the process had improved their satisfaction with their local area. And 77% of participants would like to see the process repeated again.

Following on from the decision making events, the successful services visited the Local Area Partnership meetings to discuss with residents what they wanted out of the services through an exercise they've called 'Service Speed Dating'. Officers from the services would meet and talk with members of the community about what they wanted from the service and then they would move round - much like usual speed dating. The unique way of engaging people after the decision event meant that more people have stayed involved in ongoing decisions in the process and that they feel they are continuing to be listened to.

Tower Hamlets Partnership now have more ambitious plans including involving people in decisions about health care and involving children and young people in shaping the services that impact them. They also plan to start the process with a priority setting exercise so that the menu of options developed more closely fits with what local people want for their area.

“Over 60% of participants felt that the PB process strengthened their level of influence over local decisions”





Value: Mainstream Involvement

Benefits of the value:

- PB is more meaningful and is much more likely to reap longer-term benefits such as sustained empowerment, a more mature relationship between officers, councillors and citizens, and services more tailored to people’s needs
- Skills and knowledge for participants – much more so with this value because of the need to create greater understanding of budgets
- Improved partnership working – more sustained and long term

Principle	Over time processes should move towards residents being involved in decisions over mainstream budgets	
Standards	Promote the community capacity building needed for good decision making on mainstream budgets	Promote PB models where mainstream funding is used and repeated annually
<p>Best practice standards</p>  <p>Minimum standards</p>	Sufficient information is provided in an accessible format to all citizens about both the wider public budgets and the PB budget to enable greater understanding of the decision making process.	Citizens should be involved from the start of the process in designing it, identifying priorities and voting on how to allocate budgets that contribute to public services in their areas.
	Capacity building and budget literacy programmes to enable citizens to participate effectively in mainstream budgetary processes should be implemented.	Cross partner themes are beneficial in PB processes and pooled or partner cross budgeting processes should be encouraged where possible.
	Practitioners should be committed to exploring how PB can be developed to incorporate mainstream budgets in the longer term.	Small grants processes should generally be seen as a way of introducing and testing PB processes rather than an end in themselves.

Value: Representative democracy

Case study: Eich Dinas, Eich Dewis – Your City, Your Choice; St Asaph



The ancient Cathedral Town of St Asaph (population 3,600) is central to North Wales, on the A55 Trunk road. In December 2008 the Town Council unanimously voted to carry out a PB pilot, promoting Community Cohesion, Safety, Green and Intergenerational projects. The Council allocated £3,000 from its annual precept, and Denbighshire County Council (DCC) added a further £2,000 to the pot.

The Town Council, led by the Mayor Councillor Elsie Powell, set the upper limit for individual project proposals at £1,500 each, devised a very simple application procedure, then hosted two well-advertised public information events to tell the community all about it. These were not particularly well attended, but the commitment from residents present was total, enthusiastic, and led to a very wide distribution of information and interest over the following weeks.

Thirteen proposals were submitted by the due date, and the working group (Councillors and volunteer residents working together) tuned these up, costed and smoothed the way for the voting event.

Further intense advertising for the big day paid off well, and over 90 residents turned up in June 2009 to decide on their preferred schemes, the event being chaired by the Dean of St Asaph, The Very Revd Christopher Potter. Confident presentations made the choice difficult, but 11 of the 13 made it through, scores being extremely tight. These included funding a new Friendship Youth Club, a Community Choir, school gardening project, new seats for the bowling club, exercise classes for older people, furniture and playground for young people, a football tournament, seating and lower-beds, and the planting of many thousands of Welsh Daffodils along the banks of the River Elwy.

Council Involvement

Councillors were wholly involved throughout, hosting the public meetings, the working group and the voting event. With the Mayor chairing the project throughout, Councillors sought residents' representative volunteers at an early stage to ensure full community engagement in establishing the design and plans for the project.

Working group decisions on 'rules and limits' were made by direct collaboration of Councillors and Town Residents' representatives, in complete agreement.

The PB Project would simply not have gone ahead if it had not been for the Councillors drive and commitment from start to finish.

“the links between generations and between elected members and voters are among the most beneficial long-term outcomes”

Outcomes

- Even small pots can make substantial differences; small sums can facilitate huge changes.
- Communities, once engaged, are enthusiastic participants; the links between generations and between elected members and voters are among the most beneficial long-term outcomes. Collaboration at all levels paid off handsomely.
- The nature of the project, the manner in which the community was engaged from the start, and the raising of awareness of public budgeting and democratic involvement has had a substantial impact on other collaborative ventures in the Town and in the County.
- There is a willingness to do it again, extending PB into other areas and for more outcomes involving integrated communities.

Value: Support representative democracy

Benefits of the value:

- Greater role for councillors leading to greater trust by constituents
- Promotes active citizenship – more people getting involved in their community as people see the value of councillors
- Greater clarity of the co-existence of representative and participatory democracy

Principle	Participation mechanisms such as PB should be seen as supporting representative democracy rather than undermining it. PB can increase citizens trust of councillors and boost the role of ward councillors		
Standards	Promoting and supporting representative democracy	Developing both representative and participatory models to work alongside each other	Providing opportunities for citizens to engage in local affairs through participating in a democratic decision making process
<p>Best practice standards</p>  <p>Minimum standards</p>	Councillors should use their status to encourage all their constituents to participate. They should also consider further budgets to open up to PB.	The steering group managing the process should choose a method of voting carefully. An inclusive and empowering method should always be chosen over any method that excludes or divides people.	The PB process includes a clear set of rules that define the responsibilities of elected officials to respond to local demands for increased control over local budgets.
	Organisers and councillors need to consider the role of councillors in PB and whether or not it is appropriate for them to be involved in influencing or participating in a vote.	If in exceptional circumstances a decision is overturned, it should be explained to the local people involved in the process quickly and clearly to minimise any sense of disempowerment.	Processes should provide information and training so citizens can become active, influential and engaged in local democracy beyond the PB process.
	Local councillors should be involved from the start of any PB process and participate in designing it with local people.	Councillors should ratify decisions made by local people as soon after they have voted as possible, preferably at the same meeting.	Decision making should involve a real opportunity to express a preference through an experience of voting.

Value:
Shared Responsibility

Case study:
Voice your Choice,
Manton



Manton Community Alliance, a local third sector group, run the neighbourhood management pathfinder in Manton, an area in Bassetlaw in Nottinghamshire. Manton is a very deprived neighbourhood with very low voter turnout at just 22% compared with the district average of 35%. One of the main aims of implementing PB here was to increase voter turnout, not just in PB but for local and general elections.

MCA decided that residents should decide how £50,000 of their pathfinder funding should be spent. They set up a scrutiny panel to manage the PB process which included resident representatives, a local councillor, members of the MCA board and local authority officers. The residents involved in the panel and board shared their knowledge of local issues, and together with issues identified through other consultations in the area, 42 main priorities for the area were identified. Using a budget bingo sheet, local residents were asked to number their top five priorities – 1 to 5. The top ten priorities are then taken from this exercise and ballot boxes are used for residents to vote on their top priorities. Residents are given Manton Money of £50,000. They were asked to post the amount of money they wanted to spend on each priority into its assigned ballot box.

The ballot boxes visit a number of locations over a number of days to ensure maximum resident involvement. In their 2008 PB process, over 1050 people were involved, which represents about 16% of the total population of the area.

The five priorities which have the most amount of money assigned to them are then used to identify projects. Local community and voluntary groups are asked to put forward projects and ideas which address the five priorities. The scrutiny panel short list the projects based on the funding criteria. The short listed projects are then asked to present their project in three minutes on a video, which is then shown at a number of different meetings, groups and organisations in the area. They were also shown in local cafes and work places.

Voting for the projects took place over a week. The voting week was publicised widely both in local media and by word of mouth. Voting points are set up around the area to encourage people to vote.

Participants felt very engaged in the process with most of them putting on their evaluation forms that they came to the events and voted 'to make a difference'. 76% of participants would be involved again, 69% felt it was a good way of involving people and 67% felt like they had been listened to through the process.

The process has also been very beneficial in bringing local partners together. In 2008 the Primary Care Trust provided £10,000 to the pot which had no restrictions because they recognised that the process in itself could improve health outcomes. In 2009 there has been greater involvement by the local police and also the district and county councils.

“In 2008 the Primary Care Trust provided £10,000 to the pot which had no restrictions, because they recognised that the process in itself could improve health outcomes”



Value: Shared responsibility

Benefits of the value:

- Increased community cohesion
- Understanding of resources available in the community – so they can be more effectively targeted
- Visible benefits of working in partnership and devolving ownership to community level

Principle	PB should build common purpose and commitment from all stakeholders		
Standards	Have clarity and transparency in the aims of PB projects	Have clear roles and responsibilities in PB projects	Develop communities sense of ownership and responsibility for their local area
<p>Best practice standards</p>  <p>Minimum standards</p>	All parts of the community are aware of what PB is, the benefits of participating and how they can be involved.	Roles have evolved with experience and there is a collective sense of responsibility for PB outcomes.	PB is essentially a “bottom up” process in which the rules are largely determined by the community.
	The project’s aims should be agreed in a democratic and deliberative forum that involves members of the affected community.	Willingness to allocate responsibility to residents and community groups, there is a sense of both personal and community responsibility.	Community development practices should be used to bring communities and statutory agencies together to feel shared ownership and responsibility for local areas.
	Purpose should be explained to citizens in language which is accessible and inclusive.	Roles and responsibilities should be agreed between those involved.	The process should be adapted to suit the local situation and meet the needs of all stakeholders.

Appendix A:

Community Development Values and Standards

**taken from the Community Development
Challenge, published by Communities and
Local Government in 2006**

What are the National Occupational Standards for community development?

The National Occupational Standards outline clearly the Skills, Values and Practice Principles required for community development work and have been developed to provide the basis from which we can promote effective and appropriate community development work practice. The Federation for Community Development Learning (FCDL) led the development and subsequent review of the National Occupational Standards through widespread consultation and endorsement within the community development work field. The standards identify community development work as an occupation in its own right, and are now held by Lifelong Learning UK (LLUK), the sector skills council for lifelong learning. For more info www.fcdl.org.uk

Key purpose of community development work

The key purpose of community development work is collectively to bring about social change and justice, by working with communities* to:

- Identify their needs, opportunities, rights and responsibilities
- Plan, organise and take action
- Evaluate the effectiveness
- all in ways which challenge oppression and tackle inequalities.

* communities refer to those that can be defined geographically and/or those defined by interest

Values and practice principles of community development work

Social Justice

- Respecting and valuing diversity and difference
- Challenging oppressive and discriminatory actions and attitudes
- Addressing power imbalances between individuals, within groups and society
- Committing to pursue civil and human rights for all
- Seeking and promoting policy and practices that are just and enhance equality whilst challenging those that are not

Self-determination environment

- Valuing the concerns or issues that communities identify as their startingpoints
- Raising people's awareness of the range of choices open to them, providing opportunities for discussion of implications of options
- Promoting the view that communities do not have the right to oppress other communities
- Working with conflict within communities

Working and Learning Together

- Demonstrating that collective working is effective
- Supporting and developing individuals to contribute effectively to communities
- Developing a culture of informed and accountable decision making
- Ensuring all perspectives within the community are considered
- Sharing good practice in order to learn from each other

Sustainable Communities

- Promoting the empowerment of individuals and communities
- Supporting communities to develop their skills to take action
- Promoting the development of autonomous and accountable structures
- Learning from experiences as a basis for change

- Promoting effective collective and collaborative working
- Using resources with respect for the environment

Participation

- Promoting the participation of individuals and communities, particularly those traditionally marginalised/excluded
- Recognising and challenging barriers to full and effective participation
- Supporting communities to gain skills to engage in participation
- Developing structures that enable communities to participate effectively
- Sharing good practice in order to learn from each other

Reflective Practice

- Promoting and supporting individual and collective learning through reflection on practice
- Changing practice in response to outcomes of reflection
- Recognising the constraints and contexts within which community development takes place
- Recognising the importance of keeping others informed and updated about the wider context

Roles and skills for community development work

Role A: Develop working relationships with communities and organisations

- Make relationships within communities
- Build relationships within and with communities and organisations
- Develop strategic relationships with communities, organisations and within partnerships

Role B: Encourage people to work with and learn from each other

- Contribute to the development of community groups/networks
- Facilitate the development of community groups/networks
- Facilitate ways of working collaboratively
- Promote and support learning from practice and experience
- Create opportunities for learning from practice and experience
- Support individuals, community groups and communities to deal with conflict
- Take action with individuals, community groups and communities to deal with conflict

Role C: Work with people in communities to plan for change and take collective action

- Work within communities to select options and make plans for collective action
- Contribute to collective action within a community
- Support communities to plan and take collective action
- Ensure community participation in planning and taking collective action
- Contribute to the review of needs, opportunities, rights and responsibilities within a community
- Work with communities to identify needs, opportunities, rights and responsibilities

Role D: Work with people in communities to develop and use frameworks for evaluation

- Support communities to monitor and review action for change
- Facilitate the development of evaluation frameworks

Role E: Develop community organisations

- Encourage the best use of resources
- Review and develop funding and resources
- Develop and evaluate a funding/resourcing strategy
- Develop people's skills and roles within community groups/networks

- Facilitate the development of people and learning in communities
- Develop and review community-organisational structures
- Develop and maintain organisational frameworks for community-based initiatives

Units imported from national occupational standards for management

- Contribute to planning and preparation
- Co-ordinate the running of projects
- Contribute to project closure

Role F: Reflect on and develop practice and role

- Identify and reflect on own practice, knowledge and values
- Review own practice, knowledge values
- Evaluate and develop own practice
- Identify and take action to meet learning and development needs
- Review and meet own learning development needs

Further information

This document was written by the PB Unit with case studies provided by Tameside, Newcastle, Tower Hamlets, Eastfield (Scarborough), Manton (Bassetlaw), Acorns (Scunthorpe), and St. Asaph. Newcastle, Salisbury, and Norfolk projects also provided comments about the previous version of the values, principles and standards which helped to refine this version.

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We hope that this document is a helpful and useful guide for projects implementing PB. We will continue to review and revise this document on a regular basis and provide updated versions when the need arises.

We welcome all comments on the document, particularly from practitioners using the matrices as this will help with ongoing development, and ultimately improve the document.

The PB Unit is here to offer support or guidance to projects. Please do get in touch with any queries or concerns and we'll do our best to help in any way we can.

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