

**PARTICIPATORY BUDGETING CONCEPT APPLIED IN  
THE THAI LOCAL GOVERNANCE**



**WALAIPOORN CHINNASRI**

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Thesis  
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ABSTRACT

The objectives of this research were, to meta-synthesize the knowledge premises of the participatory budgeting; to investigate elements reinforcing the success of people participation same, and thirdly to recommend approaches appropriating the concept of the participatory budgeting to be implemented in organizing the Thai local administration. A qualitative method was applied to synthesize research works, methodologies, theories, data and field work from five local government organizations. Interviews were also conducted with the central administration personnel the local government specialists and 32 key informants, three focus groups and non-participatory observations. The results revealed the knowledge premises of the participatory budgeting originated in Brazil – a concept offering opportunities for people to participate in decision-making and spending monetary resources. Secondly, the elements reinforcing the success of people participation were the geographic contexts, attributes of people, opportunities offered by laws, the local leaders, common ownership creation, auditability, good governance approach, public relations, information provisions, trust of people, confidence and faith in the management of the local government organization, gaining utilities, responsive to problems, having diverse stages and channels to access information and the vigor of the civil sector. Thirdly, the approaches in appropriating the concept of participatory budgeting to be implemented in organizing the Thai local government involve, the government enacting either laws or rules or ministerial announcements, the local government organizations should orchestrate facilities and monitor ways to welcome people participation, the civil sector has to be enthusiastic, tax money should be spent with efficiency, the NGOs mediate between the local government and the people, and finally, the civil societies (CSOs) should avail opportunities to create networks both from social and political supporters.

KEY WORDS : PARTICIPATORY BUDGETING / LOCAL GOVERNANCE

310 pages

การนำแนวคิดงบประมาณแบบมีส่วนร่วม (PARTICIPATORY BUDGETING) มาประยุกต์ใช้ในการจัดการปกครองท้องถิ่นไทย  
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บทคัดย่อ

การวิจัยครั้งนี้มีวัตถุประสงค์คือ 1) เพื่อสังเคราะห์สถานะองค์ความรู้เกี่ยวกับกระบวนการงบประมาณแบบมีส่วนร่วม (Participatory Budgeting) 2) เพื่อศึกษาถึงองค์ประกอบที่เสริมสร้างความสำเร็จของประชาชนในการเข้ามามีส่วนร่วมในกระบวนการจัดทำงบประมาณขององค์กรปกครองส่วนท้องถิ่นไทย 3) เพื่อเสนอแนะแนวทางในการนำแนวคิดการบริหารงบประมาณแบบมีส่วนร่วมมาประยุกต์ใช้ในองค์กรปกครองส่วนท้องถิ่นไทย โดยใช้วิธีวิจัยแบบเชิงคุณภาพ ด้วยการสังเคราะห์งานวิจัย เพื่อสังเคราะห์วิวิธวิทยา สังเคราะห์ทฤษฎี และสังเคราะห์ข้อมูล และการลงพื้นที่เพื่อสำรวจข้อมูลจากองค์กรปกครองท้องถิ่น 5 แห่ง และการสัมภาษณ์บุคลากรส่วนกลางและนักวิชาการผู้เชี่ยวชาญด้านการปกครอง รวมจำนวน 32 คน การสนทนากลุ่ม จำนวน 3 กลุ่ม และการสังเกตแบบไม่มีส่วนร่วม ผลการวิจัย พบว่า สถานะองค์ความรู้ของงบประมาณแบบมีส่วนร่วม มีต้นกำเนิดมาจากประเทศบราซิล เป็นแนวคิดที่เปิดโอกาสให้ประชาชนได้มีส่วนร่วมในการตัดสินใจใช้ทรัพยากรทางการเงิน ส่วนองค์ประกอบที่เสริมสร้างความสำเร็จของประชาชนในการเข้ามามีส่วนร่วมประกอบด้วย บริบทเชิงพื้นที่และคุณลักษณะของประชากร การเปิดโอกาสของกฎหมายและผู้นำในท้องถิ่น การสร้างความรู้สึกร่วมกัน ความสามารถในการตรวจสอบได้ การบริหารงานขององค์กรปกครองส่วนท้องถิ่น ที่ยึดหลักธรรมาภิบาล มีการประชาสัมพันธ์ และการให้ข้อมูลข่าวสาร ประชาชนรู้สึกมีความเชื่อถือ เชื่อมั่น ไว้วางใจ และศรัทธาในการบริหารงานขององค์กรปกครองส่วนท้องถิ่นได้รับประโยชน์และสามารถตอบสนองต่อปัญหา การมีเวทีและช่องทางที่หลากหลายในการเข้าถึงข้อมูล และความเข้มแข็งของภาคประชาชน และสุดท้าย แนวทางการนำแนวคิดการบริหารงบประมาณแบบมีส่วนร่วมมาประยุกต์ใช้ในองค์กรปกครองส่วนท้องถิ่นไทย คือ รัฐบาล ควรออกกฎหมายหรือระเบียบหรือประกาศกระทรวง, องค์กรปกครองส่วนท้องถิ่นควรเป็นผู้อำนวยความสะดวกและคอยกำกับดูแลวิธีการที่จะให้ประชาชนเข้ามามีส่วนร่วม, ภาคประชาชน ควรเป็นผู้มีความกระตือรือร้น, องค์กรภาคเอกชน ควรเป็นผู้จ่ายภาษีและมีส่วนใช้เงินภาษีอย่างมีประสิทธิภาพ, องค์กรที่ไม่ใช่รัฐ (NGOs) ควรเป็นตัวกลางระหว่างรัฐบาลท้องถิ่นกับประชาชน และภาคประชาสังคม (CSOs) ควรเปิดโอกาสในการสร้างเครือข่ายที่มีผู้สนับสนุนทั้งทางสังคมและทางการเมืองเพิ่มมากขึ้น

## CONTENTS

|   | <b>Page</b> |
|---|-------------|
| <b>ACKNOWLEDGEMENTS</b>   | <b>iii</b>  |
| <b>ABSTRACT (ENGLISH)</b>   | <b>iv</b>   |
| <b>ABSTRACT (THAI)</b>  | <b>v</b>    |
| <b>LIST OF TABLES</b>   | <b>ix</b>   |
| <b>LITS OF FIGURES</b>  | <b>x</b>    |
| <b>CHAPTER I INTRODUCTION</b>   | <b>1</b>    |
| 1.1 Background and significance of the Problem                                  | 1           |
| 1.2 Research Questions  | 7           |
| 1.3 Research Objectives   | 7           |
| 1.4 Scope of the Study  | 7           |
| 1.5 Expected Benefits   | 8           |
| 1.6 Definition of technical terms   | 8           |
| <b>CHAPTER II LITERATURE REVIEWS</b>  | <b>11</b>   |
| 2.1 Decentralization Theory   | 11          |
| 2.2 Participation Theory  | 20          |
| 2.3 The concept of Participatory Budgeting Theory                               | 29          |
| 2.4 General Information of the Thai Local Government<br>and the Local Budgeting | 70          |
| 2.5 Related Researches and Literatures  | 77          |
| <b>CHAPTER III RESEARCH METHODOLOGY</b>   | <b>87</b>   |
| 3.1 Methodology   | 87          |
| 3.2 Research Instrument   | 93          |
| 3.3 Test of the Research Instruments  | 93          |
| 3.4 Data Analysis   | 94          |
| 3.5 Results Reliability Test  | 94          |
| 3.6 Summary   | 95          |

## CONTENTS (cont.)

|   | <b>Page</b> |
|---|-------------|
| <b>CHAPTER IV THE KNOWLEDGE PREMISES OF PARTICIPATORY BUDGETING</b>   | <b>97</b>   |
| 4.1 The Knowledge Premises of Participatory Budgeting   | 97          |
| 4.2 PB Knowledge Status Gained from Synthesizing Researches   | 133         |
| <b>CHAPTER V ELEMENTS REINFORCING SUCCESS OF PEOPLE PARTICIPATION</b>   | <b>145</b>  |
| 5.1 The Provincial Administration Organization (PAO) of Mae Hong Son  | 146         |
| 5.2 Khon Khaen Metropolis Municipality  | 156         |
| 5.3 The Khao Sam Yod City Municipality  | 170         |
| 5.4 The Khor Kha Subdistrict Municipality   | 180         |
| 5.5 The Suan Mon Subdistrict Municipality   | 193         |
| <b>CHAPTER VI IMPLEMENTATION OF THE CONCEPT OF PARTICIPATORY BUDGETING (PB) IN THE THAI LOCAL GOVERNANCE</b>  | <b>212</b>  |
| 6.1 The knowledge condition of the PB concept, its success, challengers, failures, efficiency and its applicability                                 | 212         |
| 6.2 Elements Reinforcing the Success of People Participation  | 227         |
| 6.3 Recommendations from the Central Administration, Specialists and Scholars on Applying Participatory Budgeting (PB) in the Thai Local Governance | 233         |
| 6.4 Approaches and Drives of Participatory Budgeting  | 240         |

## CONTENTS (cont.)

|   | <b>Page</b> |
|---|-------------|
| <b>CHAPTER VII DISCUSSIONS</b>  | <b>250</b>  |
| 7.1 Synthesis of the Knowledge Premises of the<br>Participatory Budgeting   | 259         |
| 7.2 Elements Reinforcing the Success of People Participating<br>in Participatory Budgeting with the Thai Local Governance | 273         |
| 7.3 Approaches in Applying Participatory Budgeting (PB) in<br>the Thai Local Governance                                   | 281         |
| 7.4 Applying Participatory Budgeting (PB) Knowledge with<br>the Thai Local Governance                                     | 286         |
| <b>CHAPTER VIII CONCLUSIONS AND RECOMMENDATIONS</b>   | <b>288</b>  |
| 8.1 Knowledge condition of participatory budgeting  | 288         |
| 8.2 Elements Reinforcing the Success of People Participation  | 292         |
| 8.3 Approaches of Applying Participatory Budgeting (PB)<br>with the Thai Local Governance                                 | 294         |
| 8.4 Recommendations on Policy   | 295         |
| 8.5 Recommendations for Practices   | 297         |
| 8.6 Recommendations for Further Study   | 298         |
| <b>BIBLIOGRAPHY</b>   | <b>299</b>  |
| <b>APPENDIX</b>   | <b>307</b>  |
| <b>BIOGRAPHY</b>  | <b>310</b>  |

## LIST OF TABLES

| <b>Table</b>   | <b>Page</b> |
|--|-------------|
| 2.1 The level of public participation  | 22          |
| 2.2 Summary of PB experience in foreign countries  | 53          |
| 2.3 Worldwide experiences in participatory budgeting   | 54          |
| 3.1 List of research papers/ these/ dissertations for meta-synthesis                               | 88          |
| 3.2 Criteria in selecting the local government organization for investigation                      | 91          |
| 3.3 List of in-depth interviewees  | 91          |
| 4.1 Seven (7) procedures of the PB process   | 137         |
| 4.2 Summary of synthesize the premises of knowledge on the participatory budgeting                 | 139         |
| 5.1 Participation process relevant to PB in the project of villages                                | 153         |
| 5.2 Participation process relevant to PB in the projects of the Khon Khaen Metropolis Municipality | 166         |
| 5.3 Application of PB with educational network to international standards                          | 177         |
| 5.4 PB application in The Khor Kha Subdistrict Municipality  | 190         |
| 5.5 PB application in Subdistrict Suan Mon municipality  | 200         |
| 5.6 Summary of Elements Reinforcing Success of People Participation                                | 208         |
| 6.1 Summary of the origin of PB appropriate to the Thai local governance                           | 221         |
| 6.2 Participatory Budgeting Process  | 223         |

## LIST OF FIGURES

| <b>Figure</b>   | <b>Page</b> |
|---|-------------|
| 2.1 Participation Ladder  | 24          |
| 2.2 Annual Participatory Budgeting Cycle                                      | 39          |
| 2.3 Possible underpinning logics of PB  | 63          |
| 2.4 Trail of the study  | 86          |
| 5.1 PAO people participation: Mae Hong Son                                    | 149         |
| 5.2 Elements reinforcing people participation the Mae Hong Son<br>PAO         | 151         |
| 5.3 People participation in Khon Khaen Metropolis Municipality                | 161         |
| 5.4 People participatory process in Muang Sam Yod Municipality                | 175         |
| 5.5 People participatory process of The Khor Kha Subdistrict<br>Municipality  | 188         |
| 5.6 People participatory process of Subdistrict Suan Mon municipality         | 197         |
| 6.1 Participatory Budgeting Process   | 219         |
| 6.2 Participatory Budgeting Benefactions                                      | 227         |
| 6.3 Elements reinforcing PB success in the Thai local governance              | 243         |
| 6.4 Approach and the driving process of the participatory budgeting           | 244         |
| 6.5 Steps of applying PB in the Thai local government                         | 248         |
| 6.6 Applying PB knowledge in the Thai local governance                        | 252         |
| 6.7 Factors challenging the application of PB in the Thai local<br>governance | 257         |

## **CHAPTER I**

### **INTRODUCTION**

#### **1.1 Background and Significance of the Problem**

The Thai local governance is obvious regarding decentralization and the solid foundation since its Constitution BE 2540 (1997) which prioritizes decentralization and stress more clarity with the announcement of enforcing the Determining Plans and Process of Decentralization to Local Government Organization Act BE 2542 (1999). Decentralization is clearer and there is also a legislative act on the Local Government in the Constitution BE 2550 (2007) and BE 2560 (2017). Besides, it is the Constitution obviously stresses on decentralization and offers opportunities for people and various sectors to involve in administrating the state affairs. The Royal Decree on Criteria and Good Governance BE 2546 (2003); the Determining Plans and Process of Decentralization to Local Government Organization Act BE 2542 (1999); and the Regulations of the Prime Minister Office on Public Opinion BE2548 (2005) empower and offer opportunities for people to involve more. In addition, Thailand in the past experienced administration and crafted involvement for many years especially at the local and regional levels. The intent in bringing participatory budget to be implemented in the state agencies has been stipulated in the Strategic Plan and the Thai Bureaucratic Development (BE2551-2555/2008-2013), the strategies of Ministry of Interior and all the attempts to steer all these issues by the Budget Bureau, too.

However, the Thai local government after the promulgation of the Constitution BE 2540 (1997) until the promulgation of the Constitutions BE 2550 (2007) and BE 2560 (2017) and in the plan of decentralization as referred above would free the local and being more democratic than in the past. However, it does not mean that processing the decentralization policy will not meet any problems and barriers but it meets countless number of them, regardless determining and processing the government policy on decentralization, resistance from various sectors and the

malpractices of the local government organizations. In addition, there are more problems on 1) the state fails to proportionate the local income at 35% as has been targeted. 2) The state still withholds the all tasks of public health administration to the local especially the tasks involving the large amount of budget. 3) The local government organization still has inadequate latency. 4) The attitude and value of the civil servants to favor working in the central administration is better than in the local and has higher dignity than in the local. And 5) the local cannot adequately collect income by itself (The Secretariat of the House of Representatives, 2014).

In addition, the problems from working of the local government organization are 1) there is different conceptualization between the concepts of being an organization with dependency or to what extent it has been supervised; and 2) the structural problems of the local government organization which unclearly divides its duties between the top level and the low level. Its administrative system has been adjusted and needed relevancy. It is more inclined to bureaucratic and it is thus poor expedition. The problem of personnel such as unfair promotion; the local personnel cannot express their full latency. The problems of public service are mostly shortage of knowledge and experiences of leadership and so on. 3) Problems of factors promoting the system of the local government organization such as reform system, local financial system and the local latency. 4) There are problems from external factors, such as the bureaucratic sector in bureaucratic reform, reinforcing the CEO systems, political public service reform regarding being interfered by politics at the international level. The government policy seems to focus directly on people and demanding it as the national agenda, such as educational policy, and health and so on. It includes the shortage of decentralization. 5) The problem of managing decentralization plans involves such as absence of unity to see all system before transferring, solving problems by scheduling, problem solving at the provincial level, too many agencies involved and other uncontrollable complicity factors and so on (The Secretariat of the House of Representatives, 2014).

With problems above, it creates the questions of efficiency and the capacity of the local government organization in providing public services and worries about transparency of its internal administrative system. Therefore, there is steering for the local government reform through people involvement by offering them

opportunities to monitor, check and co-operation with it. They are founded upon, 1) none knows the problems and needs development better than people who are the owners of the problems and area for operation. 2) Solving problems and development proposed by people are founded upon factual data, which leads to solving problems and development directly to the fact. 3) Budgetary spending meets restraint with saving and efficiency. 4) It is to strengthen to communities in self-organization. With such fundamental concepts above, the National Reform Council through the Local Government Reform Committee prioritized people involvement by proposing the way to solve the problems of people involvement with demanding the local government organizations disseminate knowledge to people without their request in order to make them active to the importance of their involvement (The National Reform Steering Assembly, 2016).

Consequently, people involvement is the international principle accepted as important and necessary for the current democratic societies. The constitutional laws the sovereign rules of the country reflects the motive to clearly promote the people involvement including the government reform under the concept of the participatory governance and good governance and active to the importance of public participation. There are many laws to warranty their tights on participation and stipulating the public sector to offer participation of people as mentioned above especially for the local governance. Public participation is the core or the indispensable component and the local government is to offer opportunity for autonomy or to determine their own course of life and their community future by its people (Orathai Kokphol, 2008). Therefore public participation is essential beginning with having their representatives to be responsible for policymaking in both local and national levels. What is important to mention in this research is the public participation at the local level which should better prioritized than election but it also includes their participation in governance and the inspection of the performance of the local government organization targeted on its performance to directly respond to the need of people, speedily solving problems, creating transparency and being the method to strengthen their community, ownership of their community and promoting local democracy. Therefore, the local government needs to focus on promoting public participation in order to achieve the objectives of the birth of the local governance. That is to be the foundation of developing democracy itself.

Besides the importance and necessity of public participation in organizing the local administration as mentioned but in fact public participation are limited especially participation in inspecting the performance of the local government organization. It thus opens to corruption as being routinely appeared in newspaper and other media. It impacts decentralization and faith in the local governance dramatically. Though corruption is an act of individual in power and duty but it is not the act of the organization itself. It sometimes comes from mutual consent of people to just buy convenience from the state authority (Office of the National Anti-Corruption Commission, 1991:163). Though Thailand has a process to legal inspection and organizations to monitor it; but the corruption process in the local government organization has developed to more complex method through avoidance to follow rules and disabling the inspection or even being inspected, it cannot be accused of wrongdoing. The corruption condition in the local government organization comprises (Kowit Puong-ngarm, 2007) the corruption in the process related to procurement such as bid rigging/ collusion, bidding to benefit sellers or some contractors, disseminated announcement, tender envelope, examination of pricing results, procurement process, establishing a contracting company and appointing an intimate person with an administrator to win the company and finally the ignorance of the administrators themselves. In addition, there is corruption in the process related to finance and accounting, i.e. income collection, receipt issuance, booking or non-updated financial status reports or incorrect financial status reports, reimbursement without evidence, cheque paid or used without following criteria, and reimbursement without lists in the budgetary regulation. Corruption condition in the local government organization comprises with bribery of the officers and the administrators, facilitating cronyism, disguising political election vote campaign by using the local budget, malpractices of the organization, forgery and canard /false reports, taking governance belonging for private uses and dissembling information for people including bringing election canvassers for tour in order to campaign political vote by spending the government budget.

From the corruption problems in the local government organization and reckless law enforcement; it troubles the public participation in checking its performance. In this research, a participatory budgeting is proposed which directly

demonstrate the course of democracy through budgetary system. Meaning allowing opportunity for most people to learn about the action taken by the government and it is an opinion sharing, debate and persuasion of the public resource allocation to be a tool to investigate the bond creation and the empowerment to people while reinforcing good governance, more. In addition, the participatory budgeting also promotes transparency and accountability which reduce inefficiency and power monopoly by the clientelism, patronage system and corruption (Shah, 2007). It is expected that the participatory budgeting will help create transparency in managing the Thai local governance. It is a good sign to directly promote the birth of inspection and public participation in the public service activities of the public sector rather than leaving it to monopolize working alone.

Therefore, for promoting public participation and other agencies to provide public services in the local government organization, promoting inspection and balancing power which is to prevent centralization; the local government needs to facilitate supporting the roles of community and civil society to manage itself as much as it efforts. In order to be coherent with the vision admission of decentralization plan, strengthening within the local government organization; it is to support and to promote people to play the role in decision-making in many important activities especially activities related to livelihood, problems and needs of people. Such strengthening is necessary to relying on the tool in administrating the works of public sector through developing models and methods to strengthen the local government organization by participatory budgeting. This concept is renowned and widespread in various countries worldwide. The participatory budgeting is another democratic innovation selected to be implemented in the public sector's operation to gain transparency in using resources and readiness of the agencies involves. It is based on direct democracy allowing people to participate in decision-making through budgeting system. It needs a lot of people to have opportunity to learn about the works of public sector. Playing such role, it offers people to voice and influence the decision-making in public interest. It affects the improvement of the works of public sector, reduces the patronage system, nepotism and corruption (Shah, 2007:1).

From such the concept of denaturalization policy as above, the financial decentralization is its care but its current budgeting does not facilitate the

empowerment to people in the decision-making to use the government resources. In the past, people found no opportunities to co-propose their problems, consideration, debates, arguments or auditing its financial the management because it is a single channel - the representatives elected only. Therefore, preparing the participatory budgeting allows the local budget flexible, participating and directly responding to the needs of people more. It is also a system availing opportunity for hearing information and opinion from people, extensively in various models while offering opportunities for people to participate in decision-making since the beginning how to prioritize the urgencies of the policy and action plans. To what extent, the resources should be allocated to the plans or the projects. And should there be decentralized taxation risen from the government works and offering opportunities for people to participate in appropriate action plans and projects for constructive results including co-auditing and trailing these performances. As such, people participating in various procedures are not directed by agencies or the state authorities related (Weerasak Kruesthep, 2010).

Besides having laws, rules and regulations facilitating participation as mentioned above, Thailand still meets the problems on how to turn their participation become meaningful public participation because by fact it is truly hard to achieve as such. Also, the participatory budgeting in Thailand is yet to be born constructively regardless be it in either the central or local governments. Consequently, this research aims to investigate how the local government organization should develop its mechanism and process of the participatory budgeting so as to be the guides for best efficient and effective spending, saving and worth in using the resources directly to the problems or the common needs of the locality. In the past, by reasons, the improvement of budgeting in the local governance in Thailand have been cycling around the management and the legislative or around the representative-based budgeting. As such, either the central or the local government finds unlikely promotion for public participation in budgeting. The mechanism today to meet it at the regional and local levels is the participation just emphasizes more in planning than in participatory budgeting (Weerasak Kruesthep, 2010). Therefore, selecting the local government organizations as the study sites is to first establish a process and to develop a mechanism in the participatory budgeting at the sub-unit level and growing to the greater agencies. As such, the local agencies are small size and more intimated

with people; it should better avail opportunities for public participation in the participatory budgeting. This is corresponded with its founder in Brazil where it has begun first with its municipality.

## **1.2 Research Questions**

Disserting the “Implementation of the Concept of Participatory Budgeting in the Thai Local Governance”, the researcher raises the issues into three questions, i.e.

1.2.1 What are the knowledge premises of the participatory budgeting?

1.2.2 What are the elements reinforcing the success of people participation in the participatory budgeting of the Thai local government organization? And,

1.2.3 What should be the approaches in implementing the concept of the participatory budgeting in the Thai local governance?

## **1.3 Research Objectives**

1.3.1 To synthesize the knowledge premises of the participatory budgeting,

1.3.2 To investigate elements reinforcing the success of people participation in the participatory budgeting of the Thai local government organization, and

1.3.3 To recommend approaches implementing the concept of the participatory budgeting in the Thai local governance.

## **1.4 Scope of the Study**

An investigation of the “Implementation of the Concept of Participatory Budgeting in the Thai Local Governance”, emphasizes meta-synthesis over the concept of participatory budgeting and how the local government organization should develop it in order to meet the democratic principles, the principles of autonomy, and able to involve with the process of the local governance so as to be coherent to the principle of participation enacted in many laws. In order to maximize the efficiency and transparency in utilize the limited resources; the researcher investigates the

elements appropriated to be the model of the participatory budgeting. From the theories of public administration; the external factors facilitate the participatory budgeting such as laws/rules and regulation, the concepts of active citizen, direct democracy, and the deliberative democracy. In addition, the researcher proceeds to investigate the intrinsic three models of the local government, which are the provincial administration, the municipal administration and the sub-district(tambol) administration. Factors facilitating the participatory budgeting are the decentralization policy, and the budgeting for the Thai local government organization, which will lead to the approaches developing the participatory budgeting in the local governance during January 2016 to December 2017.

## **1.5 Expected Benefits**

Disserting the “Implementation of the Concept of Participatory Budgeting in the Thai Local Governance”, the researcher raises the issues into three questions, provides expected benefits as follows:

- 1.5.1 To know the knowledge premises of the participatory budgeting,
- 1.5.2 To know the elements reinforcing the success of public participation in the participatory budgeting of the Thai local government organization, and
- 1.5.3 To know the approaches appropriating the concept of the participatory budgeting implemented in the Thai local governance.

## **1.6 Definition of the Terms**

**1.6.1 The Participatory Budgeting** is referred to a process to plan the budgetary expenses empowering the local people to decision-making in utilizing resources in order to appropriate the project in solving the problems of the community and the locality when their problems and needs are proposed or discussed in the allocation of the public resources. The participatory budgeting prevails opportunity for people to play their direct roles in “decision-making” on how the resources should be spent. It helps the deprived and discriminated people to have opportunity in the critical decision-making process. The participatory is budgeting designed to appropriate people

to involve in the policy design and to prioritize problems which will spur the participation to emerge transparency and responsibility in the Thai local governance.

**1.6.2 The Local Government Organization** is an independent jurist body under law empowered to supervise peace and order of people under vigor of self-reliance and autonomy, empowerment of decision-making in their own local affairs, having its administrators and its council members from public election. In this research they involve the provincial administration, the municipal administration and the sub-district (tambol) administration.

**1.6.3 Participation** is referred to people are appropriated to play the roles to acknowledge information, to express opinion, to discuss, to argue, and to debate including the empowerment in decision-making of the public policy as the stakeholders in the local community through being founded on autonomy of thought and willingness to participate in those affairs.

**1.6.4 Decentralization** is referred to the transfer of tasks, responsibility, personnel, budget and decision-making by the central government to the sub-level administrations enabling them to manage and to access the problems of the local people including to reinforce their self-reliance and autonomy freely under the scope which do not impact the state security.

**1.6.5 The Local Government Organization Budgeting** is referred to its spending plans in an annual fiscal budget round beginning from the procurement process, the budgetary preparation, the approval of budget and the budgetary management of the local government organization.

**1.6.6 The Problem of Budgetary Administration** is referred to barriers in the spending process beginning from the problems of budgeting, the approval of budget, the budgetary administration and the budgetary audit which will lead to malpractices of budgetary spending, non-transparency, not worthwhile spending, inefficiency and corruption risen.

**1.6.7 Deliberative Democracy** also know as *discursive democracy* is referred to public deliberation availing opportunity for people with rights, freedom and equality to participate in decision-making on policy through knowledge sharing and raising opinions to each other with reasons where all parties agree and common people understand leading to best appropriate conclusion while offering opportunities for improvements in future.

**1.6.8 Active Citizen** is referred to people being conscious of their rights, freedom and duties, being responsible to run the tasks of their agencies under the provision of laws. That is public members fully participate with willingness to design policy and implement it, which is meaningful public participation between citizens and administrators. Having active citizen affects the efficient organization of the local government and promotes democracy for more progression.

**1.6.9 Direct Democracy** is referred to citizens have opportunity and basic rights in decision-making on public policy directly and under the principle of belief in their sovereign power. Therefore, direct democracy is the exercise of sovereign power of people in involving with activities without passing through representative or without passing election.

**1.6.10 Approach to Apply the Participatory Budgeting** is referred to an appropriate model and method gained from meta-synthesizing knowledge and data collection from individuals involved in the participatory budgeting to become the model with procedures or methods or other mechanisms in preparing it by the Thai local government organization.

**1.6.11 The Thai Local Governance** is referred to a process or an activity of running the local governance related to the institution owned by the state and the unofficial players outside the public sector to play the roles or to involve with administration or the complex issues. It emphasizes cooperation, compromise and involves with diverse players or the stakeholders. It concentrates on problem solving or finds exits for the multiple interests connecting many sectors. The network, allies and cooperation will be the key players in the local governance.

## **CHAPTER II**

### **LITERATURE REVIEWS**

In the “Participatory Budgeting Concept Applied in the Thai Local Governance”, the researcher reviews concepts, theories and related literature as follows:

- 2.1 Decentralization Theory
- 2.2 Participation Theory
- 2.3 Participatory Budgeting Theory
- 2.4 General Information of the Thai Local Governance and the Local Budgeting
- 2.5 Related Researches and Literatures

#### **2.1 Decentralization Theory**

Decentralization is a concept influencing political governance. Decentralization is the transfer of authority and public responsibility from the central government to the lower levels or the semi-NGOs of the government or the private sector. There are four types of decentralization, i.e. political decentralization, administrative decentralization, fiscal decentralization and economic/market decentralization.

##### **2.1.1 The meaning of decentralization**

It is political governance affecting citizen participation because whenever there is decentralization, it means that people will elect their local administrators and involve in administrating the local public affairs. Consequently, if there are studies on the reinforcement for the local administration organization (LAO), it is necessary to begin studying the concept of decentralization as the foundation to propose and to respond to the opportunity of people in engaging their roles to promote the public sector affairs. To direct decentralization in various countries around the world is

critically the failure of the centralization and the national development with top-down manipulation, which leads to economic failure especially the collapse of alleviating poverty among people in the lower level. The dissatisfaction waves over the failures in operating the rural development initiated and decided by the central government without reflecting the needs and responses to the community problems at the local level. They are more apparently appeared and led to the thrust of the decentralization direction in Central and Eastern Europe countries during 1980s along with the wave of declining credibility of the centralized state which is also redirected decentralization to the Latin America countries since 1983 (Shahid Javed Burki, Guillermo E. Perry, William R. Dillinger, 1999).

Decentralization or supervisorization is restructuring or reorganization of the elites in order to acquire co-responsible system between the central governance institution, regional level and local level under the principles of subsidies. It might raise quality in general and the supervisory effectiveness while increasing power and ability of the sub-level national organization.... "Decentralization might anticipate that participation in the important component of the good governance such as increasing opportunity in the involvement of people with regards to economic, social and political decision-making. To help developing public competency and reinforcing the government responses regardless its transparency and responsibility..." (UNDP, 1997:4). Decentralization or supervisorization should not be overlooked as the ends in itself; it can be the method of being more opened, good responses and efficiency of the local government. Also, as of reinforcing the operation system in the level of community decision-making through the local community and the regional agencies to handle their own affairs with the facilitation in closely contact between the central administration and the local administration. The local efficient system governance helps respond to the public needs and prioritization, which ensure that the government intervention is responsive to the diverse needs of societies. Decentralization, participatory process and prioritization are therefore, destined to alleviate poverty, to create employment, to alleviate sexual inequality, and to recover environment" (UNDP, 1998:6). Decentralization motivates exploring projects and innovation of the policy. First, it is for its own self-innovative operation in supervision. Second, since the affairs of the local government demands responsibility for new public service

model and wide opened for all, then new responsibility through decentralization likely demands good planning, budgeting and techniques of organization and operation; application of new tools, better developing human capital for deploying decentralization” (UN, 1996:26).

In addition, it is seen that decentralization is a complex phenomenon related to different geographic agencies related to the players the in the large social groups within the social sectors, geographic agencies, foreign agencies, national level agencies, sub-national agencies. They include the local agencies, social players of both public and private sectors, civil sectors, social sectors and all development models – politic, social, culture, and environment. In the design of decentralization and the projects of decentralization, it is necessary to apply systems to cover all these social sectors overlapping and diverse needs in each agency. Therefore, decentralization is the integration of financial administration, political duties and relationship to design the system of decentralization in all the tree things, which are needed to be assembled. Then, they will create the success o decentralization (UNDP, 1998:1).

In brief, decentralization is the spread of power by the national level agencies on decision-making to do public affairs for the sub-agencies in the region and in the local. As such, it is to create the efficiency in providing public service and ability to respond to the diverse needs of the local people to the communities.

### **2.1.2 Types of decentralization**

**1) Political Decentralization** - its objective is to allow citizen and their representatives from election are more empowered to decide in public matters. It usually involve pluralist politics and the state representatives still support democracy by allowing people or their representatives are more influential in designing policies and operations. Supporting political decentralization thinks that more decision-making gains better participation and more involvements for diverse benefits in societies than through the national political personnel, what is currently doing. This concept means electing representatives from their constituency helps people to better know that their political representatives know the needs of people in their constituency. Political Decentralization must abide in the Constitution or the laws to reform and develop the pluralist political parties, reinforcing the vigor of the

Legislative Council, the local political agencies, and to; to leverage the efficiency of the public group of interested (World Bangkok, 1999).

**2) Administrative Decentralization** - In the literatures reviewing decentralization, its interpretation and these entire things link with the thought of supervising decentralization and the local governance. Types of decentralization in the academic works will have different perspectives with the levels of decentralization in each type. The works of Cohen and Peterson about “Administrative Decentralization” reveals things mostly seen as decentralizing the power of “administration”. Impacts of decentralization of good governance rely on the larger scope in its forms and attributes specifically related to any countries. Decentralization in each form is important to create understanding the meaning in good governance and it is diverse in its different preparation and likely involved in the topic of decentralization, i.e. (Cohen and Peterson, 1999: 24-29)

**2.1) Deconcentration** is dividing power of decision-making in different finance, administration and responsibility from the central government. Majority usually thinks that this form is the weakest decentralization and most used in the unitary state. The division of power is the shift of responsibility for the central authorities to the regional, provincial and district authorities but the administrative affairs are still under supervision of the ministries of the central government.

**2.2) Delegation** is the top executive in the agencies or in the central administration allocates or transfers their decision-making power and duties to the lower executive levels of the organization for speedier decision-making in the government agencies or agencies under supervision of the government. For example, a Director General delegates powers to a Deputy Director General; a School Director delegates power to a School Deputy Director; and a Director General delegates power to a School Director and so on. The delegator is still subject to the responsibility of the consequences of the decision-making delegated.

**2.3) Devolution or empowerment** is the perfect power-and-duty transferred in decision-making by the central government or by the top level to the lower level with evident laws, rules and regulations on transfer. The lower level is empowered to policymaking and control practices to abide with the policy. For example, empowering the municipality to handle education, the person

empowering secludes his/her devolution. Therefore, there is no power or least power to monitor the devolutionary affairs.

**3) Fiscal Decentralization** – fiscal responsibility is the main element in decentralization. If the local government and private organizations would be successful in efficient decentralization, they must earn adequate income by collecting more by themselves or by being transferred from the central administration. It is similar to the person with power of decision-making in spending. There are many forms of fiscal decentralization. For example, they earn income through tax collection, widening local income from property tax or sales tax or indirect fees. Income collected by the central government is generally transferred to the local government, which collects general and specific taxes and the approval of municipal loan and national fund raising or the local government resources through loan guarantee. In the developing countries, many local government or service agencies are legally empowered to design taxation but the soft-base tax and subsidy dependency from the central administration. It is the attempt to make the local government powerless (World Bank, 1999: 3).

**4) Economic or Market Decentralization** – it is, from the government perspectives, the best perfect form of decentralization with the government pro-privatization and deregulations. They shift the responsibility from the works of people to the private sector. They help most or specific responsibility the government has to achieve by the community groups, cooperatives, private volunteer association and other private development organizations and so on. The state privatization and deregulations likely open free for economics while the policy of developing the market decentralization usually comprises privatization and deregulation (World Bank, 1999: 4).

**4.1) Privatization** – it is cooperation between the public and the private bodies to provide public services or infrastructures. It might mean also permits for private companies to handle the above affairs monopolized by the government. In addition, it can also mean signing contract to service or to facilitate commercial enterprises. Privatization may also include fund raising in the state projects through stock markets. There are also sufficient rules and regulations or measures to ensure that the central government does not suffer risk in loans but helps

the private organizations, which will involve. Finally, it may mean transferring responsibility for the state servicing to the private sectors through selling shares owned by the state enterprises.

**4.2) Deregulation** - it helps alleviate legal limitations of private participation in servicing or helps competition among private suppliers with the previous services provided by the government or monopoly. As such, privatization and deregulation in the past became more attractive optimizations for the governments in the developing countries. The local governments still have privatization through signing contracts for servicing and administration.

### **2.1.3 Advantages and Disadvantages of Decentralization**

**1) Advantages** – in the modern government, centralization always **meets** restrictions within itself because public administration with large amount of population and large area will be troublesome with centralization and it will lead to critical problems. For example, the centralized public services by the central government meet inefficiency and delays by restriction of bulky bureaucratic organizations or diseconomies of scale. It is then necessary to delegate political and administrative power into the hands of the organizations or institutions outside central power. As such, domestic affairs of each local community will be spread into the responsibility of the local agencies and local organizations. There are four (4) advantages of decentralization as below (Nakharin Mektrairat, 2009:24-26).

1.1) Decentralization creates a process of public participation in the locality because the existence of the local or regional government should facilitate public involvement in the political decision-making process and determine the more direction of public services. In addition, it offers opportunities for people to involve in politics at their own community level under the principle of autonomy and their motive in democracy.

1.2) Decentralization owns responsiveness to the community problems and needs because external political institutions are “closer” and “sensitive” to perceive the community needs. This will invigorate them under the principle of democratic accountability. In addition, it enables the local administrative mechanism to efficiently drive policies and problem solving better according to the policies of the national government.

1.3) Decentralization on decision-making and local participation in the process of the local administrative affairs create legitimacy in the state power play of its agencies especially in running and developing the state mega projects in various areas. If there were no decentralization of either decision-making or community participation or local government or just having central decision-making, they are rejected and led to the local resistance, which are affected by the projects. The decision-making and empowerment of the authorities finally become illegitimate.

1.4) Decentralization is a condition of good governance because the administrative decentralization leads to checks and balance networks within the public administration system regardless being the data exchanges and participatory drive of the missions among agencies. It is the important mechanism to prevent corrupted malpractices of the power plays among the state authorities as they are usually found in either the top or the middle executives of centralization.

Impacts of decentralization for the past decades until today especially in Thailand, it has always been nominated indispensable necessity and ideal with thrusts to be born in the national governance system. However, reflecting scholarly debates and real experience, decentralization also owns weaknesses or disadvantages as centralization. Consequently, to well-rounded expose debates around decentralization, it is inevitable to learn about its three dark sides (Nakharin Mektrairat, 2009:24-26).

1) *Politically*, decentralization might lead to political disunity and instability. For example, in the case of a unitary state, decentralization might drive to republic state whereas it drops unity in the republic states. In addition, in the weak-unity countries such as ethnic groups and religious groups with differences and clashes, decentralization can weaken their political unity.

2) *Fiscally*, over decentralization might lead to the national fiscal instability because most public fiscal proportions are in the local. It is then difficult for the central government to in general manipulate directions and to monitor the national fiscal system. And if the local spending is undisciplined such as over spending while poor collection of income like in Latin America; it can create the national fiscal problems in general and in long-term.

3) *In equality*, decentralization at too high level might easily lead to differences and inequality among the areas or locals in economy, fiscal, quality of life and public services and so on especially in the case of decentralization to the local government to mainly be responsible for raising income for autonomy whereas each area might not have similar latency. If they were not supported by the central administration, some local people could receive different quality of services unequal to other areas.

#### **2.1.4 The Importance of Decentralization in Thailand**

Thailand is a unitary state and divides its administration of the land into three parts, i.e. first, it is the central administration comprising ministries, departments, and divisions under the principles of centralized decision-making. Second, it is the regional administration comprising provinces, districts, district branches, sub-districts and villages under the principles of Deconcentration. Third, it is the local administration comprising five (5) models of the tambol (sub-district) administration organization, municipality, the provincial administration organization, and Bangkok Metropolis and Muang Pattaya under the principles of decentralization.

Thailand enjoys its history with strong central state nation and centralization for long as in France. The central administration traditionally dominates the local communities. The state nation is inevitable centralized. All levels of administration are in the central administration under the necessity of its sovereignty and its territorial integrity. Under such social system, the central administration will avail its own people to govern every land in the territory as being witnessed and ongoing in the administration of the land today. Thailand ever has provincial intendants system during the reign of His Majesty Chulachomklao (Rama V) reproducing the French model. The institutions of Khamnan (Sub-district Chief) and Phooyaiban (Village Chief), His Majesty has initiated for people to meet and elect for working as delegate. There are evidences of overthrowing the conventional governors dominating communities so that the central administration can control through the platform of citizens in communities (Borwornsak Uwanno, 2002:13).

During the last two decades, the Thai local administration was significantly adapted from the conventional existence in many aspects. It is similar to many countries around the world. There are three causes driving the change (Nakharin Mektrairat, 2003:25-27), i.e.

1) *Driven by the waves of democracy and democratization* – they are viral and dynamic around the world. Such drives affect the non-democratic countries adjust into semi-democracy and demand the semi-democratic countries to step to democratic countries more. This demands the representative democracy to today adapt to participatory democracy.

2) *Driven by the waves of neo-liberalism* – it significantly affects local government in various countries in the modern world. Neo-liberalism waves its targets to decrease the state roles, the public sector workforce, and red tape. It promotes social sector, citizen sector, private organizations, corporate and the local government-cooperated organizations to play the roles and replace the authority.

3) *Driven by the city-based waves of economy, politics and social* involving urbanization of communities and new social movements any forms of urbanization such as new city constructions, expansions and so on entirely affect the local administration especially in doing their duties of cleaning, disposing wastes and polluted water, infrastructure services, culture and recreation, and city planning and so on. They are critically important that the local administration in the past with conventional form might likely provide public services or might even not; they are not the issues unlikely affecting their local administration and governance. However, human groups and new social in urban certainly affect the performance of the local administration directly. It creates input like complaints that the local administration has to, in another way, adapt itself and its roles.

In the real situation, the direction of the national development currently and in future demands decentralize development and progress to the local along with national development for progress and enable it to compete with other countries around the world. Today, the government has policy on decentralization and growth to various locals in order to set foundation in developing democracy and wellbeing for people. However, decentralization in Thailand though prolongly demanded but its scope is restricted since the decentralization is likely in the form of the sovereignty of the government with being unserious and insincere and favorably refer that the local or people are not ready for it. The important restrictions in the locality are the personnel administration, devolution of duties, fiscal decentralization - such powers are normally centralized which lame the local in affordably developing themselves as in the motive

of the local government. Decentralization for public participation in autonomy is counted the solid foundation in developing democratic governance. However, decentralization requires too Deconcentration to allow the local government latency to develop their own growth.

## 2.2 Participation Theories

### 2.2.1 Public Participation and Local Governance

Public/citizen participation is the heart of local governance founded on the concept of local democracy and autonomy prioritizing with the direct democracy when people handle their own community affairs. Therefore, public participation demands brainstorming, teamwork, co-inspection and common responsibility. If analyzing the level of public participation by International Association for Public Participation (IAP 2), it is divided into five (5) stages and each stage permutes most to least public participation, as below.

**1) Empowerment** – it is a stage to offer people the highest position because they must decide by themselves. The local government must follow by their decision-making. This stage of participation is well known as referendum or city council. This participation reflects consensus of the local administration to accept the public/community decision-making power. However, participation at this level the local administration requires enhancing the ability of people to decide by themselves such as having adequate coverage data, leveraging their skills of analysis and decision-making with quality problem solving. Applying this level of participation reflect the sovereignty of people.

**2) Collaboration** – it permit the high level of roles for people. The local administration and its people cooperate in the decision-making process. Consequently, the opinion of people is highly reflected in their decision-making. At the stage the forms of participation are such as co-committee of the public sector and the private sector and the public advisory committee. The result of decision-making is their common decision-making and it is believed that it would enhance reconciliation in their societies because

people or their representatives share their parts in the organization in decision-making too and not just comment for the organization to decide.

**3) Involvement** – it offers opportunity for people to play roles in working and in decision-making. There are serious exchanges of ideas and data between the local administration and its people with clear targets. Opinion data of people will be reflected in various options. This stage of participation is relative to collaboration except the latter forms are more permanent than the involvement stage. In addition, its decision-making is finalized by the local administration. However, people involved at first with intensive opinion sharing. Technical examples of participation are workshops and the appointment of the civic teamwork and so on.

**4) Consult** – it is a public participation in providing data, facts, feeling and opinion for decision-making. Therefore, people status is data provider while decision-making is the role of the state agencies. The techniques of consult as participation are opinion survey, and public forums. Today, most laws enact the state agencies to organize public participation at least at the level of public hearing.

**5) Inform** – it is a public participation at just the level of information provider by minimum. The roles of people are at last level and just acknowledge where things happen. Today, the state decision-making on the public impacts and reporting to them are obsolete administration and reflect the style of “Daddy Knows Best”. At the same time, it is imperative to be conscious that regardless offering people to participate in any stages, informing people data is so indispensable but not just alike public relation, which is only the optimistic sides. The heart of inform is to provide inclusive and adequate facts for people to acquire facts and decide to provide opinions with quality. However, knowing information is necessary for high level of participation if people are naïve to inclusive information; their rational decision-making will not emerge as exposed in the table 2.1.

**Table 2.1 The level of public participation**

|                           | <b>Inform</b>   | <b>Consult</b>  | <b>Involve</b>  | <b>Collaboration</b>  | <b>Empower</b>  |
|---------------------------|---|---|---|---|---|
| Public Participation Goal | To provide the public with balanced and objective information to assist them in understanding the problems, alternatives and/or solutions | To obtain public feedback on analysis, alternatives and/or decision   | To work directly with the public throughout the process to ensure that public issues and concerns are consistently understood and considered  | To partner with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution                            | To place final decision-making in the hands of the public |
| Promise to the Public     | We will keep you informed.  | We will keep you informed, listen to and acknowledge concerns and provide feedback on how public input influenced the decision. | We will work with you to ensure that your concerns and issues are directly reflected in the alternatives developed and provide feedback on how public input influenced the decision | We will look to you for direct advice and innovation in formulating solutions and incorporate your advise and recommendations into the decisions to the maximum extent possible | We will implement what your decide                        |
| Example Tools             | -Fact sheets<br>-Websites<br>-Open houses   | -Public comment<br>-Focus groups<br>-Surveys<br>-Public meetings  | -Workshops<br>-Deliberate polling   | -Citizen Advisory committees<br>-Consensus building<br>-Participatory decision-making   | -Citizen juries<br>-Ballots<br>-Delegated decisions       |

Source: International Association for Public Participation (IAP 2)

In addition, Cohen and Uphoff (1980) propose another four (4) models of participation, i.e.

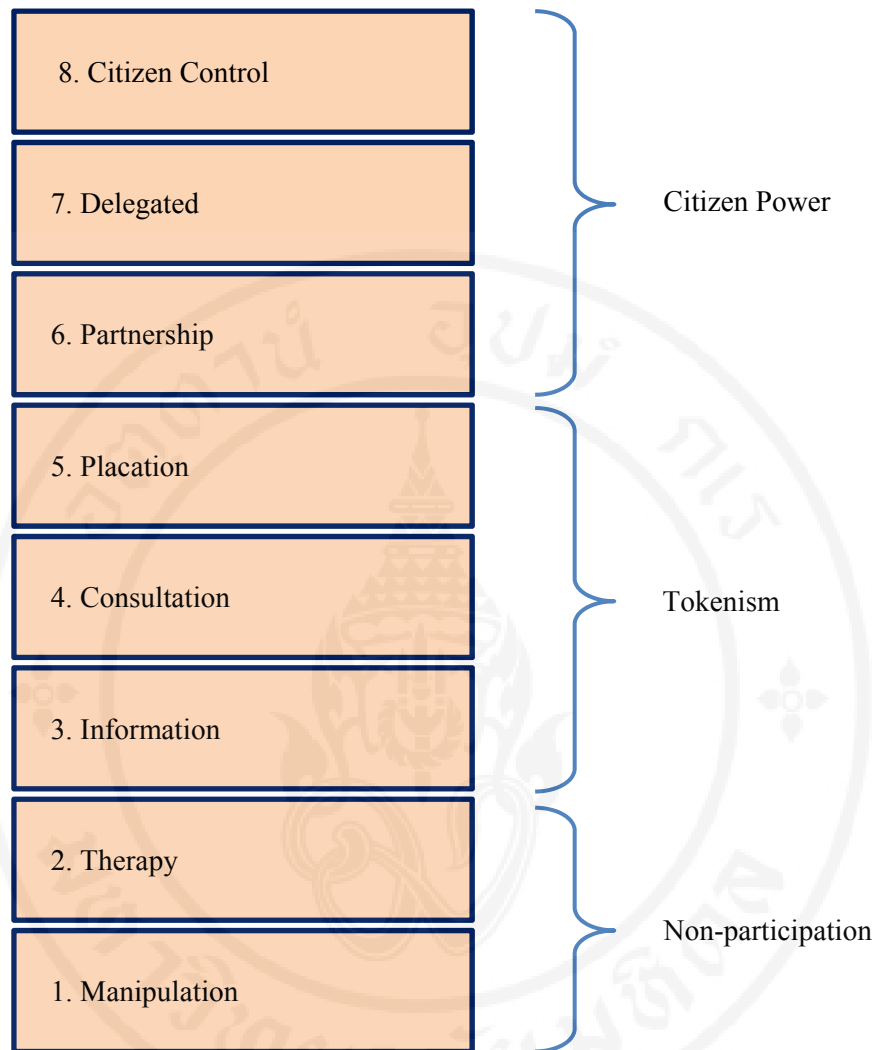
1) Participation in **Decision-making** - the priority of decision-making is to specify needs and prioritization followed by selecting policy and population involved in decision-making at preliminary stage, during planning and during operation.

2) Participation in **Implementation** - the part of the components in following the project gains the question, which will contribute, to the project and how to do it? For example, it is through resource supports, administration, coordination and seeking assistance and so on.

3) Participation in **Benefits** - besides the importance of benefits on their quantity and quality, it is necessary to consider benefits distribution within their groups and the benefits of this project including positive and negative benefits which are the benefits distributing both advantages and disadvantages for individuals in societies.

4) Participation in **Evaluation** - what needs to notice is complaisance and expectation, which can influence in individual behavior change within a group.

Arnstein (1969) divides a participation ladder into eight(8) staircases as in the figure 2.1 as follows



**Figure 2.1 Participation ladder**

Source: Arnstein (1969)

At the first and the second stairs, people cannot access the real participation in decision-making but a few individuals in power only for decision-making without talking about contents, the decision-making method or position and the authority of those in power. The second stair is constructed to replace the real participation and the real objectives. It is not allow the people to access the participation in planning or controlling the project but it will help the helmsman or man in power to study and to retain those participants.

The third, the fourth and the fifth stairs are called the ritual participation or partial participation. The third stair is listening to the information and mostly it is one-way communication. The fourth is the counseling stage and their opinions or ideas have been louder heard by the helmsman. It is to communicate the needs of people to the person of authority. At the same time, the fifth stairs is to offer some groups of people participate in policymaking but still with restricted scope because it is not for all people to involve.

The top participation is sovereignty of people, which people participate in decision-making more. People can enter the sixth stair, which is the stair of partnership, which can involve in the trade-off negotiation with the previous man in power. In the seventh stair it is the stair of exercising power through representatives. Moreover, the eight stairs, They are the control stages by people who exercise their power in decision-making through their representatives or people who exercise their power.

It could be said that public participation has many levels. Selecting the form and level of participation are important because whether the indicators, decentralization and public participation in the locality are efficient and they are the courses for the local administration to assess themselves on what level of their participation. This is to develop to their own local participation for the higher level. Comparing them to the Thai local administration, it is found that there is every level. But the most found level is having participated in the information level and consult level. It reflects public participation with the local administration is existing but its importance is at low level. However, after the enforcement of the Constitution BE 2540 (1997) to the Constitution BE 2560 (2017) create the drive for operation to contribute constructive performance. In addition, if about the local administration, the key principle is the local autonomy by offering opportunity for them to best participate in their autonomy. Further, decentralization still strengthens democracy because it offers opportunity for people to know and learn about autonomy and allows citizen participation in the responsibility and to learn about the local politics and administration through their own participation. This is to brainstorm, act, solve problems and inspect the local administration in their own community.

### **2.2.2 The Participation Models in Thailand**

The heart of local administration is allowing people to participate in its management. Its current models are multiple, i.e.

**1) Public participation enacted in the constitutional laws** - as of being promulgated on Constitution BE 2560 (2017) on April 6, 2017; this Constitution determines the way that people can participate in using direct rights, it contains:

1.1) The rights of community and individuals enacted in Article 43 that individuals and community to name-list themselves to propose the state agencies to work for the benefits of people or community or avoid to work what will damage them and the agencies need to consider those proposals by allowing public participation for deliberation.

1.2) Name-listing for participation in proposing laws and providing opinion according to Article 133; not less than 10,000 legitimate voters can enlist for proposing laws if rights and freedom of people and the duty of the state to the House of Representatives. In addition, in Article 137, the state has to enact laws to offer people to participate in expressing their opinions and being ameliorated the impacts of international treaty. By Article 259, it enacts the [procedures and plans of the national reforms, it is necessary to indicate public participation and agencies involved.

1.3) Having the rights to amend Constitution according to Article 256 that not less than 50,000 people with rights of vote can list their name for amendment.

1.4) Public participation in the duty of the state and the basic state policy in Sections 5 and 6 of the Constitution enact citizen participation in various issues. For example, Article 58(1) stipulates that the state has to conserve, to restore and promote local intellectual, arts, cultures, traditions and virtuous customs, to provide public places to organize activities and to encourage people, communities and local organizations to involve. According to Article 63, the state has impose measures to prevent and to eradicate corruption and malpractices including to provide mechanism to encourage public assemblage to involve in campaigning, resisting or indicating clues of corruption. According to Article 65, it enacts to design the national strategies, provisions of participation and conduct public hearing in every sector.

**2) The local government participation by the Constitution** according to Section 14 on local governance and from Article 249-254, they enact citizen participation of people in the local government as follows:

2.1) The acquisition of the local administrators according to Article 252, the Local Council members must come from election. Similarly, the local administrators must also come from election or the approval of the Local Council or in the case of the local administrators of the special local governance also must come from election or from the local council or other forms but people have to involve too.

2.2) Participation of impeachment of the local administrator and the local council members - According to Article 254, people hold the rights to elect the local governance, the right to file name-list petition to propose legislation or impeachment of the local council members but the Constitution does not enact the required number of the name-list and it differs by locality. As such, it demands to further have constitutional laws.

2.3) Disclosure of information—according to Article 253 in the operation of the local administration organization, the local council and the local administrators are demanded to disclose data and performance report for the people to know while having also a mechanism for the local people to participation.

**3) The Public participation in the local governance**—its principles is very important to expose the real citizen participation beginning from election of the local council members or the local administrators and participate in the administrations of knowing information, contribution of opinions regarding decision-making of any practices including people have the rights over the local administration. Meaning, people is empowered to file impeachment administrators or members of the local council, if being found creating damages. People can participate many ways in managing the local government, as follows:

3.1) Participation in planning the local development – it offers opportunity for the local people or the community enabling to play the role of decision-making or involvement in planning their subdistrict or community development. This is because it is the direction of the local development and the indicator to specify the ways to allocate their resources and budget to meet the needs of the local people. They can also propose problems of their needs and participate in

proposing projects or various activities for the development as a process model, the involvement in providing opinions on the development plan about the directions of their local development.

The important thing for the participatory process contributes evident results is to cultivate the local people the sense of ownership. This comes from offering them to brainstorm, decide, co-plan their local development and their local involvement. In addition, it is to promote activities raise efficiencies under the climate of reconciliation in the ideology of participating in their community development. When any local plans end, people enable to appraise their local operation whether any projects or any activities contribute benefits to the local.

3.2) Participatory procurement of the local government—a channel might lead to more corruption. It is indispensable for the local people who are the very owners of taxes and lands and they should involve with it for justice and fairness and to allow each procurement brings true benefits for the local. According to The Ministerial Regulations on the Procurement of the Subdistrict Administration Organization BE 2538 (1994), it stipulates the local administration organization to appoint the community representatives to participate as the procurement committee member and to involve in job inspection for regularity, transparency and fairness.

3.3) The local people hold the rights to attend the meeting of the local council and the rights to know different information, such as, the statute of the annual expense budget, the statute of the additional expense budget, the consensus of the administrative board, which affects the public advantages and disadvantages. This includes other consensuses the local should know. In addition they hold the rights to know the information of the practice procedures in the local government and other conditions to contact with the organization, i.e. paying taxes, and plan-based operations so that they can trail the performances and so on.

3.4) Participation in paying taxes of people to the local administration organization—due to the taxes is one of the revenues of the local besides subsidies allocated by the central administration to enable the local government to manage and to project its public developments. Therefore, paying taxes of the local people is another form of participation and counted as the important duty all local people so that they will have returns from their tax paying in the form of

public services. In addition, paying taxes of people creates them stronger bond to their local while seeing the values of those services.

3.5) Public participation in the form of the community organization council – besides the development of the local government, the importance is the expansion of the “community organization” which an informal assemblage of people. There is the cooperation between the natural leaders, local intellectual, formal leaders, subdistrict chief, village chief, subdistrict administration organization and local institutions in order to develop various aspects such as the community planning, the welfare provision, the allocations of the local environmental resources, the community fund raising and forming the community leader council and so on. There is a platform for exchange ideas, and brainstorming to find solutions to address various problems leading to common targeting in developing their local community. With all parties participate, it builds good relationship within the local community and enables to strengthen their working.

In brief, one of the most important principles in the local governance is the public participation principle in the local founded on the willingness and the intention to involve. Rationally, it creates the sense of being part of the community to solve problems or in decision-making. As such, the participatory process demands to be founded on equality and each individual competency, liberty and freedom of decision-making. Despite all the courses of the participatory process affecting the livelihood of the local people help decision-making in proposing policies and projects for greater prudence; they also monitor the administration of the agencies to gain transparency, accountability and responsiveness to the needs of the local people. It also promotes the birth of authentic democracy within the mechanism of the local governance.

## **2.3 The Concept of Participatory Budgeting (PB)**

### **2.3.1 The theoretical concept founded for participatory budgeting**

**2.3.1.1 The Direct Democracy** – the concept of democracy has been first formed since the Greek. However, it differs from the current one. Democracy means the rule by people or otherwise called popular sovereignty – the

sovereign power of people and people hold their rights and their liberty through the principle of divisions of power and the principle of legitimacy. The national ruler elected by people is just a representative empowered to exercise the sovereign power for people. As of today, when the population becomes larger, the traditional democracy of the direct democracy is difficult to rise particularly at the level of the national politics. It is necessary to embrace the representative democracy, which is an administration system that people elect their representative to do duties for them in crafting policies or organizing the political activities. However, the representative democracy creates some problems, which is necessary to retune to direct democracy, for example, illegitimately exercising power in decision-making of the representatives or inauthentic representation. Therefore, participatory budgeting is thus founded on the concept of direct democracy, which demands the public power to participate in decision-making to maximize the scarce resources.

The concept of direct democracy and the participatory budgeting (PB) – the gist of direct democracy is the final basic rights to decide the political or public issues by citizens. Under the principle of the rule by people or popular sovereignty, the direct democracy is then the exercise of power by people indirectly issue laws, rules and regulations including the power to judge and to testify at hearing rather than voting for representatives and empowering them to enact laws. Similarly, the participatory budgeting exposes the method of direct democracy in the budgeting process. It offers opportunity for a number of citizens to learn the works of the state agencies. These people/citizens find opportunity to examine, discuss and influence the resource allocation of the government (Wampler, 2007: 21). PB is a tool for learning on participation and reinforcing latency and the needs of people in good governance, and improving transparency. People can audit budgeting, which can reduce the works without efficiency and transparency of the government, the patronage system and corruption.

The modern democracies, the representative democracies or indirect democracies are all restricting public participation, which they have voted their representative to do duty of public policymaking for them. The center of power is in the hand of some few but not really with people. It creates gap and non-compliance with the needs of people and the representative they have elected to do their duties.

It is similar to the possibility of corruption and violation of the government power (Wood, 2004:20). It means, people have unequal opportunity that their voice will be heard by the party who involve in the public policymaking excepted their voices that they have voted for, only. It results in “democratic crisis” and the most apparent one is their election of their representatives and the political leaders are degradation. Therefore, participatory democracy must involve with exercising the unfair resource distributions leading to the impacts against the daily life of people (Forero-Pineda, 2001: 3). The involvement in democracy is focused on leverage the efficiency of decentralized the power equality and decentralized democracy of the political process at both national and local levels. Consequently, theories of democracy assert that participation involve with people in the political system and in decision-making.

**2.3.1.2 Deliberative Democracy** – deliberation emerges when people have equally shared their perspectives, ideas and their opinions, logical arguments, thinking and listening problems from other perspectives to lead to common conclusion for social (Gastil, 2000: 22; Cohen, 1989; Lukensmeyer and Birgham, 2005: 57). At the meantime, Amy Gutmann and Dennis Thompson (2004: 7) define it as a model of administration widely opened for people who owns the rights and liberty and equality, which enable them to enter the process of decision-making policies with the authorized government delegates. Both parties logically exchange opinions where all accept and common people can understand in order to lead to the best appropriate conclusion for social in the present situation but never shut down the opportunity for better improvement in future.

Therefore, the deliberative democracy in the views of the Amy Gutmann and Dennis Thompson (2004: 3-6) are divided in to four (4) attributes, i.e.

1) The deliberative democracy is an agreement process with reason giving requirement between citizens. The authorized government delegates that both parties’ reasons are not concentrating to retain their won benefits or confuting the reasons of the opposite party but under the values of acceptance and respect in the principles of the individual liberty and equality with main target to find mutual collaborations.

2) The reasons in the deliberative democracy demands to be logical when all citizens can access the way. It is the public logicity and it is public at least with two implications, i.e. (1) in the meaning that the deliberative process

within itself and it must be done in public area rather than in private area e.g. within the mind of someone. (2) Reasons used in the deliberative democracy must be accessible by all citizens or in other words must be public reasons and at least with two implications. (2.1) It is in the meaning of the deliberative process in itself must be done in public area not within private such as within the mind of someone, and (2.2) they are reasons in the deliberative process must be the matter that public is concerned about and all can understand in the gist. The meaning is the deliberative democracy cannot begin any process if public is not yet understand clearly on the content of the reasons or the social issue raised for their debate.

3) Products sought by the deliberative democracy are targeted on binding decision-making to be followed. In this sense, participants in the deliberative process are yet to involve with opinion expression or to claim their personal benefit. If debates were the important methods of the deliberative process among those participants for common conclusion while they must be influencing the decision-making of the authorized government personnel in doing or not doing something which involve with the social future and people at large.

4) The deliberative democracy is dynamic. It is a resilient process against conclusion or decision-making resulted from any deliberative processes until it is unacceptable or unchangeable. Wide opening for ongoing discussion process to hear new ideas regardless those opinions are either critiques or objection or recommendations. They are the important attributed ideas leading the deliberative process to appropriate agreement and common acceptance of all parties involved.

The deliberative democracy is a tool aimed at supporting and promoting common decision-making with more data and legitimacy and emphasizing democratic culture (Guttmann and Thompson, 1996; Button and Mattson, 1999: 637). In addition, it pays the real value of individuals to have opportunity in public life and influence public decision-making, which directly affect them. The deliberative democracy also promotes common decision-making of people in political societies with better legitimacy especially during the societies are facing problems without clear exits and difficult to find answers satisfying all parties. The deliberative democracy being the concept believing in logical debates and the reasons used are aimed at seeking fair collaboration for all parties rather than winning over the other party.

Decision-making through deliberative democracy is therefore a process to find alternatives and possibilities in well-rounded solving problems through listening to the echo of social members with prevalence and equality.

The deliberative democracy and participatory budgeting (PB) – Mouffe (1999: 748) mentions that PB is not and should not be a deliberative process but a problem of the resource distribution which is the conflict of interest groups. However, it is solved through compromises. Fung and Wright (2002: 5) assert that participatory budgeting shares deliberation founded on the logical decision-making process. PB is an attempt to draw data from people who meet problems and need common solution. Discussion is then a better exit. As investment in public activities, people will gain together. Applying deliberative democracy might contribute many benefits in many levels beginning from participants, and responsible persons for policymaking and the problems of PB in the local government.

In addition, it is seen that PB and deliberative democracy have likely very similar objectives. Both concepts intend to support citizenship, broadening hearing, discussion, and open-mindedness. Both concepts aim at increasing trust between citizens and the government in order to reduce any prejudices. Therefore, PB thus make us understand that participative and deliberative is opening wide for people to have power to decide to do but demands deliberative. Consequently, this analysis is under the participative theory and deliberative democracy, which is another way to help understand the limitation of the representative democracy. The practical example of PB helps increase the value of the above democracy.

**2.3.1.3 The concept of Active Citizenship** – the concept of PB has been widely investigated by scholars (Herian, 2011; Miller and Evers, 2002). Scholars interested require checking whether people influence PB and are satisfied with the public service delivery. The origin of the concept on active citizenship is alerted by problems are dramatically rising in USA for the past 20 years. They shake the bureaucratic system at that time which is worsened. From the announcement of Blacksburg, it proposes that the illegitimacy of public administration at that time is not the matter of inefficient administration but the relationship between people and the State. Consequently, it is, now, the sought on the theory of public administration norms in USA to check the relationship between the administrative practices with the Americans and counted being the source of the value in the democratic political system (Camilla M. Stivers, 1990).

Citizen and its birth means a citizen have many roles but it would be seen that its participation is expenses rather than benefits. However, the public administration literatures reflect the relationship between citizens and bureaucrats that it is the mechanism leading to policymaking and its application. The implication of citizens is clearly different from populations – the origin of the relationship between individual with the state, population is the bond emerged from loyalty but citizen chooses to tie oneself with the state by its belief and compliance rather than by birth and abode. The active citizenship is founded by the Aristotelian concept that humans are political animals. However, the active citizenship is criticized on being opposite to the traditional practices because it is viewed that the citizen participation endangers control and enmity to liberty and the selfishness of human nature (Camilla M. Stivers, 1990).

The active citizenship is important to PB because citizens involve with the state since birth, governance process, and policymaking. The policy application is an exchange and the need of having citizen participation and thus is counted legitimate in administration. Therefore, the meaning of active citizenship is referred to being the ruler and the ruled, conscious and logical deliberation and ability to contribute to public benefits, achieving the possibility of the acceptable practices related to being the active citizenship. This is to make individuals be conscious of their own ability through developing the practical frame called knowledge community. In this community, its members can increase their knowledge and ability to exchange for greater common understanding on the status, conditions, and the results of social performance. In addition, there is another dimension of active citizenship, which is logical decision-making, and possibility because politics is unlike sciences due to its content is instable and changed by situation, which demands logical and feasible understanding.

Active citizenship and public benefits – as of the public benefits, it is not just the bureaucrats to be able to do it alone because they hide their meaning that the action of the government as the representative of the entire members of society. Therefore, such action requires considering complete surrounded impacts rather than on specific claimant groups only. Public benefits are the government actions, which are the goodness of all bureaucrats and citizens. In addition, it is further mentioned that administrative practices for the active citizenship are the actions to

demand people to be responsible for the performance of the agencies under the legal provisions. Meaning, the public members fully involve in policymaking and the application of the policies, which is the meaningful collaboration between citizens and professional administrators. Such management does not affect any privatizations or devolution of public responsibilities.

The public administrators as the representatives of the active citizenship aim at developing the knowledge scope, situation and citizen latency. It can crystallize not only the sense of perfectness or the all with specific attributes of the administrative role but also a new model of growing understanding with latency to link the diversely referred scope among the citizens. In addition, there is latency to make it clear about the conditions and the unexpected results about the life of the US administrators. In every society where there is administration; they should be more conscious about the importance of the citizen sector because they are the valiant power to lead their organizations, agencies and the nation to the targets with pride.

The application of the active citizenship and PB to reflect the indispensability of the fervent citizens who are enthusiastic to play the roles in decision-making in order to gain their public services to meet their needs; Halverson (2003); Kweit and Kweit (1987); Zanetti (1998) admit that the public participatory on financing has been extensively debated. Public participation should not be viewed just a consensus but it is channel to furnish knowledge for people in order to maximize their ability. People being conscious of their rights, duties and needs of involvement will be the vigor enabling them to achieve PB.

### **2.3.2 Participatory Budgeting (PB)**

Why is participation important? To understand its role and its importance in budgeting; it requires to understand why is it important. Most arguments find that it is a method of improving efficiency and the responsibility of the obsolete bureaucracy, not being public delegates and poor performance. All these opinions are specifically found in the developing countries (Barber, 1986). Participation begins when citizens or delegates (not from election) interact and recommend the government in policymaking or work procedures in the postmodern era. Public participation is seen

unavoidable. Administration must be transparent and participative. Today, the liberal democratic administration, people incline to involve in decision-making through discourses (Fox and Miller, 1996).

Another reason mentioned about the movement is the change of values among the people of the post modernism and the desire to involve more in democratic system (Inglehart, 1997). The reason of values-changed is the individual movements are more expedite, the conventional family is weakening and the viewpoint of the person in power (Kweit and Kweit, 1981). The social change especially the hiking education leads to more demands for participation and data accessibility. Accessing IT will be granted with facilitated with modern technology and people will know the motive and method to end monopoly and controls from the central government.

Another reason of participation is disappointment from the disillusionment with conventional bureaucracy, which emphasizes hierarchy and chain of command. For the past many years, the Weberian hierarchical bureaucracy has been attacked from many parties because of being responsiveness. The bureaucrat organizations have proved that they cannot create relationship with people. The bureaucrat values emphasize specialization and expertise in working conflict with democratic values founded on the concept of participation. In addition, there is dissatisfaction with the growth of the government and it demands to find methods for controls. One of the supervisory models is participation with the sought of the democratic political mechanism and participation in signaling to the government, more (Peters, 1996: 47).

Participation is resumed to seek democratic ideology. Participation is the attribute of the democratic ideology and brings benefits to people and offers them opportunity to achieve democracy as desire. Supporting democracy seems increasing in the postmodern era and inclines to be more intangibly considered. Besides legal status that citizens participate in public and community health; participation creates values of each one in order to make them feel ownership and develops their latency of doing the citizenship duties. Public discussion process is not only useful to individuals but also includes social in terms of legitimacy in democracy and the deliberative culture.

### **2.3.3 Sources and significance of PB**

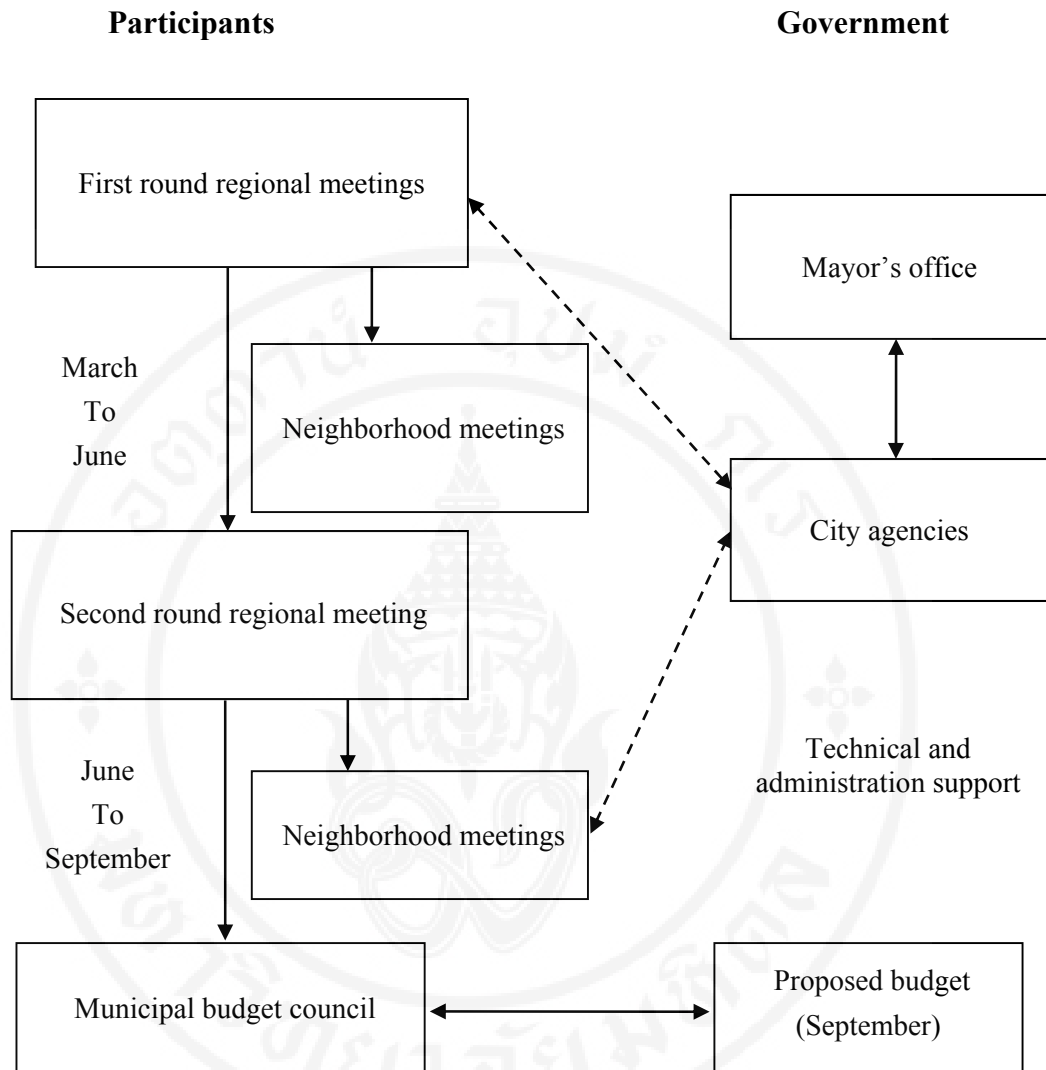
Democracy is used in many countries for administration; people (citizens) play the important roles more than other forms of administration. The keys that will survive democracy many centuries are there are three main principles of check and balance, good governance and citizen empowerment.

In most developing countries; though using democracy but they cannot leverage people satisfaction towards their public sector's administration. In the past, the administration of public sectors still inappropriately distributes the scarce resources and is irresponsive to the problems and to the needs of people. In addition, the another problem of the developing countries is the inefficiency of tax collection which make income inadequate for self-reliance. In addition, it affects the weakness in organizing and delivering public services when the public sector administration is inefficient, ineffective and poor public services. They will affect people in all sectors especially the social disadvantageous groups who have no rights to voice their claims for the services from the public sector. Therefore, PB expresses the direct democracy through budgeting, which offers opportunity for most people to learn how the government works and it is the exchange of opinions, debates and persuasion of the public resource allocation. These are the tools to investigate the bond creation and the public empowerment while more strengthening good governance. In addition, the PB system also helps promote transparency and readiness for accountability, which will reduce inefficiency and monopoly of the clientelism, patronage system and corruption. PB still helps people to voice and influences decision-making in the matters of public utility and can improve the government performance and shares to thrive the participatory democracy (Shah, 2007: 1).

PB is a budgetary system begun in Brazil in 1989 in the municipality of Porto Alegre by the Labor Party, which the left party after Brazil has been under junta for 21 years. PB is a method for the return of the government and demonstrates the efficiency in the resource redistribution and transparency. The PB proposed by the Labor Party includes four principles, i.e. (1) direct public participation in the government decision-making process and supervision; (2) halting corruption through transparency of good governance and financing system; (3) improving infrastructures and public services especially helping the deprived groups; and (4) changing new

political cultures and demanding citizens to serve democracy. For the past 20 years, PB has improved the Brazilian democratic quality, supervision and public empowerment. In addition, the tangible results of the other aspects in relations to PB in Brazil are more municipal expenses of the public health. The number of civic sector organizations (CSOs) is increased and the rate of infancy death is decreasing (Touchtone & Wampler. 2014).

From the Brazilian CSOs more working with their municipalities than other countries in South America, it is the popular and widespread budgetary administrative innovation worldwide. Porto Alegre is a high expensive standard and strong in the civic politics. At this cause, when the enforcement of Constitution in 1988 with the gist offers opportunity for people to participate in organizing the state activities (Intoner et al., 2010); and the Labor Party wins and at that time it is found that municipality is almost bankruptcy because the errors of bureaucracy. Therefore, the new municipal executive board offers direct public participation in administrating finance with PB, too (Wampler, 2007). PB in Porto Alegre specifies procedures and important attributes of PB in many ways. First, around March to June, it is the time to provide information of policy, budget and election of representatives through conducting meeting the first round of regional representatives to report situations and issues before proposing PB. The state authorities prepare the indicators of quality of life, financial data and proposing projects for approval. The last part is Q&A, analysis on the regional resource uses. As of civil meeting is to propose technical data and details, financial analysis, project defense in details, municipal prioritization and preliminary selection of the projects and regional representative meeting. The second round is conducted during June to September. It is to draft preliminary budget of the projects to be proposed; disseminating information to each region; and trailing municipal budget. As of the second civil meeting, there will be authorities to closely work with the committee for technical planning to be proposed to the municipality (Wampler, 2000) as in the figure.



**Figure 2.2 Annual Participatory Budgeting Cycle**

Source: Wampler (2000)

It is found that the Brazilian PB has community councils to debate and prioritize of investment in every year. There is periodically regional representative meeting for negotiation about the details with the municipal authorities before submitting budget to the municipal council for approval. The Brazilian PB innovation is renowned worldwide. As of today, it is seen that PB is applied in many countries around South America, Europe, Asia, North America, Africa and Middle East. Consequently, more than 1,500 cities worldwide apply PB (Baez & Hernandez, 2012), because PB shows direct democracy of budgeting proposed to public for learning how

the government works. People express opinions, debate and influence the distribution of resources. PB is a tool to build bond and to empower public, to reinforce strength and to be the state with good governance, transparency and ready for admit guilty, to reduce inefficient working, full of patronage system and corruption (Shah, 2007: 1).

In addition, the characteristics of Participatory Budgeting (PB) are to highly resilient adaptability worth for applying with the different geographical contexts. Applying PB is serving the needs of people, the government, NGOs and CSOs so that people can directly voice in budgetary distribution. The size of areas spending PB is from national level to the regional level. Organizations supporting PB begin from the Labor Party in Brazil to the NGOs at the international levels such as World Bank, Political Environment, Economy, and social affecting PB in reinforcing empowerment, decentralized decision-making and accountability. Therefore, it is found that PB is differed from the budgetary distribution standards decided by bureaucrat and politicians to conventionally organize the public resource distribution (Hollie Russon Gilman, 2016).

Hollie Russon Gilman (2016) mentions that PB can diversely be completed but relying on where and how it will be applied. However, PB is basically attributed as follows: (1) having information system: people are accessible even costs and impacts of the projects organized by the government; (2) community meeting: for the people to clarify the needs of local budget; (3) having budgetary representatives: some people register to directly debate with the state authorities and to propose budgetary draft; and (4) voting: a large group of people is empowered to choose which project can be invested.

#### **2.3.4 The meaning of PB**

PB is part of promoting direct democracy and reduces limitations or failure of the representative democracy. The government administration is today focusing on democratic administration allowing making other parties conscious that public policymaking and public administration cannot disregard civil sector for the decision-making process and should offers opportunity public participation in direct democratic decision-making , too (Shah, 2007; Moynihan, 2007; Ebdon and Franklin 2004, 2006; Fischer 2003; Miller and Evers 2002; Pratchett 1999).

Defining PB is not restricted in a model since it relies on the differences of context and environment to apply this model. Fir Share (2001) contends that PB is a process that a community working together with the state elected and non-elected authorities to develop policies and budget for the community. Claudio C. Acioly and A. Herzog et al (2002) define that PB is a prioritized process and common decision-making where the local representatives and the local government decide in distributing the state fund in their own city every year. UN-HABITAT (2004) advocates that PB is a process people decide or share decision-making on the destination of either entire or partial public resources.

On the contrary, Giovanni Allegretti (2006) asserts that the most basic PB is the return to exercise the decision-making power on budgeting for people. This budget directly affects public construction and people can discuss and prioritize them or can choose to invest in new constructions more or less affecting the municipal budget. In other words, by his other perspectives, PB contains the procedures of debates and democratic decision-making when the urban can participate without prior regulation. Budgetary decision-making is partly through face-to-face meeting and this meeting is organized in the form of workshop, scheduling and other multiple activities.

In addition, many scholars have defined PB but their noticeable common definition is “decision-making” which is by people. Like, Brian Wampler (2007: 21) defines that PB is a “decision-making” process where people exchange their opinions and negotiate the public resource distribution. PB offers opportunities for people to directly play their roles in “decision-making” on how the resource should be spent and distributed. It is thus the monetary plan helping to build bond through educating people, which allow the civic sector becomes lively. PB offers the deprived and discriminated people opportunity in the important decision-making. Wampler adds the PB definition that PB is designed to lead people to the policymaking process. It catalyzes the bureaucratic reforms and public resource distribution to the less income people, and the discriminated social and political groups so that they will have opportunities to involve in decision-making on policies. The government and people will begin their plans to support learning for public while making citizens active and more just societies through improve policies, resource distributions and reforming various bureaucrat sectors (Wampler, 2000: 1).

Later, UN-HABITAT (2004: 20) still prioritizes “decision-making” and defines PB that it is a direct process with willingness and internationally democratic where people can discuss, debate and participate in “decision-making” to prioritize the spending and monitoring the public administration and to draft public policies. PB is modeling a participatory democracy construct of the civil sector and integration between the direct democracies or semi-direct democracy with the representative democracy. The UN-HABITAT definition likely prioritizes democracies especially the direct democracy, which emphasizes direct participation of people in budgeting. On the contrary, Intoner et al. (2010) points out the differences of PB and ordinary participation that the common conventional participation encounters restrictions – public opinions are collected by the local authorities in order to weigh gains without offering opportunities for people to involve in discussion; it is the linear communication between people and the state authorities whereas PB include people assemblage or through the representative committee. It is horizontal communication, which is found in Porto Alegre. However, communication is not the only important element in PB but it must cover the mechanism or other methods such as community planning, which can be raise in the focus group for exchanges among the local people. In the definition of Sintomer et al. (2010), they do not mention about “decision-making” of people regarding budget but emphasize communication and other mechanism. It is different from other scholars mentioned ahead. Respectively, Sintomer et al. (2010) propose a PB definition for clarification and cover major dimensional involvements as follows: (1) financial and/or budget dimension – PB involves rare resources; (2) operation area involves city or areas of decentralization with elected body and administrative authorization (community level is inadequate); (3) re-applicability – just one meeting is not a good example of PB; (4) the process must have the model of public deliberation scoped in the negotiation meeting or an overt administrative meeting; and (5) having specification of readiness system to admit guilty on products.

PB is an ongoing process, widely opened and participation is divided into different process. The local people and the local government extend into both direct and indirect mechanism of citizen participation in order to enable people to indicate their needs, decision-making, trailing and appraisal of budget based on the needs of

spending, and the existing resources. In brief, this process involves debates, analysis, prioritization, mobilized resources, trailing and evaluating spending of people and investment (UN-HABITAT, 2008). The key attributes of the process are:- (1) discussion of scarce finance and budget, which are important and needed clarity of their distribution; (2) an ongoing process though meeting on mobilized resources and their distributions; (3) directly and indirectly assembling people to determine and spend annual budget; (4) prioritizing the claimants attributed to support the deprived and the needs of the socio-peripheral groups – facilitating to fairly access the resources; (5) specification of definition and the understanding about PB; (6) steps of participation is likely dependent on the scope and importance of each part and needed to use constructive information and communication for transparent decision-making and outcomes.

In brief, PB is a state budgeting extensively offering opportunity for data hearing and public opinion in various forms and offering opportunities for people to involve in decision-making since the start on how to prioritize the urgent policies and plans; to what extent resources and budget should be distributed to the plans or projects; and how to distribute taxes organized by the state included offering opportunities for people to participate in applying plans and projects for tangible outcomes and inking them to trail and evaluate these performances. As such, citizen participation in each step comes not from being directed by the state agencies or the authorities involved.

### **2.3.5 PB principles**

PB principles are found from many scholars like Abers (2000), Avritzer (2002), Baiocchi (2005), and Gret and Sintomer (2005) included experiences from many countries. It is found that a successful PB demands solid foundations as follows (Thippawan Lhorsuwannarat, 2013).

(1) Grassroot Democracy – all levels of people involve in budgeting process especially the grassroot level so that they understand in its process and share choosing and decision-making in budgetary distributions.

(2) Transparency – decision-making to choose projects and budget is an opened system and people can access in every step of the budgeting process with

transparency because all the communities participate in debates of its distributions. Its criteria are clear and explicable while welcoming taxpayers to audit or being accountable as well as helping spending efficient.

(3) Equality – all people own the equal rights in decision-making on PB and each one owns the rights for equal vote – “one voice one vote” to propose each need and decision-making to elect representatives and prioritization of spending for good governance and being democratic.

(4) Social Inclusion – all community members and all groups must involve in PB, which build social justice and to strengthen their community included to educate and reinforce their community regardless being women, elderly, the disabled, NGOs or other social groups in order to ensure the projects have been distributed with budget, which reflects the real needs of the community.

(5) Empowerment – it is giving them power and status allowing them on citizen control of budget and modeling their own budgeting. Invigoration is the critical means to promote democracy.

In addition, Brian Wampler (2012) mentions that PB can change social in many ways. Besides promoting democracy, developing social livelihood and promoting public transparency; it is also significantly offering opportunity of social and political restoration. It helps the state and the democratic process solve the problems of the basic legitimacy. The local government also cooperates with the movement of the civic sector to meeting and involve in deliberate the issues relevant to the government agenda. PB is a project involving countless participants and renowned with worldwide acceptance. Therefore, to understand its major principle is important to analyzing projects, which apply this concept. Major principles of PB are as below.

(1) Citizen participation with enthusiasm and voicing in democracy is likely encountering problems of how to mobilize citizen for inclusion or doing common activities without political interference and dominion in proposing their needs. PB proposes the model of citizen participation and discussion and the state authorities in public resource distributions. In addition, PB process also restores politics with new concepts and recommendations into the political platform and public policymaking. The most important thing is new debate process will help people who are discriminated by the conventional politics to access political power in the form of

discussion, presentation of ideas and new development issues in order for public policymaking and political agendas.

Citizen participation with enthusiasm helps renovate political changes because catalyzes people and the state authorities to debate common public issues, and to work together. Meeting together offers opportunity for participants hears the problems of players from other communities, which sometimes allow them to recognize that their existing problems are not urgent as other communities. People in PB projects likely delay their projects in short-term to support the benefits of other communities which are more urgent (Wampler, 2007; Baiocchi, 2005; Marquetti et al, 2008). In addition, it raises the skills and learning new things of the project participants regarding social justice, collaboration between people and the state authorities. It builds public space for discussion and debates in the public issues besides receiving information from political parties, lobby groups and local media.

(2) Citizens have more power through vote, which is an important principle of PB because people decide on public policies, which make them far more than consultants but decision-makers to change social. Having real decision-making power gives rise to the efficient school of democracy because people will be forced to difficult decision-making when they involve in decision-making on the policy. The state spending will be better for meeting new resource distribution because direct citizen participation better legitimize spending.

Extending vote is an important tools in retain political continuity because power will be shifted into the hands of people more than in the hand of professional politicians. People will have power of decision-making just only on public resources and the state power. Extending the power at this issue allows believing why PB attracts numbers of people because people can exercise power and monitor the state power and the state distribution of resources. Developing democracy is voting gin various projects of people run by the local government, which is different from the conventional participation where the state authorities just receive information from people and there is no authentic commitment from the government to run the project as people have selected.

(3) Redistribution of resource brings social justice. PB project has been designed to promote social justice emphasizing the use of the state resources and state

authority in new style, new place and new policies with extended voice and votes to those discriminated by social. The Brazilian PB applies the quality of life index as the criteria in its resource distribution. Any places need much infrastructure and have numbers of the deprived will be distributed them more than other places. This motivates numbers of the deprived people to participate. Therefore, the quality of life index bring social justice and important characteristics differentiating PB from other projects including people voice and votes ever socially discriminated gain opportunity to participate. It ever more reinforces social justice.

(4) Increasing transparency through oversight – PB attempts to reform the working of the public sector through public oversight. The local government likely adjusts the internal process so that the public voice and votes on public policies become real constructive. Therefore, the process of the local administration demands adjustment to meet each local condition. It is necessary to adjust the bureaucrat system so that bureaucrats and policy specialists prioritize people more and create and promote new policies drafted from the real problems of people. Bureaucrats and policy specialists must adapt their ways of working because they have to directly hear public recommendations and are directly oversighted by people in the distribution of public resources.

### **2.3.6 Foreign PB experiences**

Experiences of applying PB in nine countries in Asia and Africa, i.e. India, Indonesia, Bangladesh, Philippines, South Korea, Kenya, Mozambique and South Africa; they are briefed as below.

**1) INDIA** – the first country in Asia applies PB in 1996 in Kerala State initiated and backed by the Socialist Political Party (Sintomer et al., 2010). Before budget has been spent, there are many social movements to improve the public latency such as campaigns on learning, and planning experiments by people. Such processes are the political decision-making but its outcomes initiate mega social movements and the movements are for people to elect their representatives to conduct prioritization, implementation and trailing the local development plans (Sintomer et al., 2010).

Later in 2002–2003, other cities in India have adopted PB through private development organizations, which play the leading roles in driving PB. In addition, India has famer and worker unions in the Rajasthan State (Mazdoor Kisan Shakti

Sangathan – MKSS), where citizen participation has been encouraged through public hearing. People discuss the government spending on their community development with five steps, i.e. (1) gathering documents necessary for auditing the expenses, (2) fill up tables familiar for the local with these data with simple language, (3) the organizational staff visit homes of members and distribute documents, (4) conducting public hearing in the village and participants are the state authorities, elected local representatives, local media and people having MKSS staff to facilitate, and (5) the MKSS staff prepare formal lists by disseminated them to the senior state authorities, media and other civic group for acknowledgement.

**2) INDONESIA** – it began in 1998 when President Suharto resigned after 32 years in power. Two decentralization laws have been enacted. Since 1999-2001, PB has been applied after the International Transparency Organization trained about the Brazilian Model in 2003 supported by Indonesian Forum for Transparency in Budget (FITRA), which campaigned to perceive about Budgeting in the local communities and the local authorities. In addition, there were supports from UNDP, ADB and other international organizations targeted on anti-corruption. However, the government itself was likely irresponsible to this affair; therefore, there was no formal mechanism for directly citizen participation. Consequently, the Indonesian PB experiences are at the primary stage (Sintomer et al., 2010). Indonesia has established village councils and development forums to monitor distributions and block grants of the village. The Kecamatan Development Program (KDP) is aimed to the kecamatans ( the poorest areas) in Indonesia supported by the local participatory and democratic model. They involve 30% of the villages and 10 million villagers supported and advised by the local national levels with techniques and organizing forums (Folscher, 2007). The KDP is similar to the social fund – directly distributing around \$43,000 – \$125,000 a year to the poorest area and participating villages. Then the village council and the forum will specify how the distribution to meet their priority by widely opened for community participation and sharing ownership.

**3) BANGLADESH** – it welcomed democracy in 1971 but with its downturn economy and the weak performance of the local government; the state rejected citizen participation (Folscher, 2007). It led to the collaboration between the Bangladesh government with UNDP) and UNCDF began the local development in

Srajanj to develop the capacity of the participatory process of the local government. This project involves two methods, i.e. (1) providing block grant around \$6,000 to each union to run the project in each ward; and (2) having PB in the local budget (Folscher, 2007). PB allows opened budget agendas to improve knowledge and understanding the ward budgeting. Recommendations of the ward budget will be placed at the notice board before forum and during the meeting, participants will review budgets with investment plans collected from their participatory forum. Their representatives clarify incomes and expenses and provide opinion on documentation at the last stage. After discussions, the budget recommendation may change before all the budgets are approved by the union parishad. Later the approved budget will be announced in public for acknowledgement at the board (Folscher, 2007). However, the quality of participation meets some limitations such as woman voices are likely few and most men dominate the forum and the discussion quality is depended upon the relationship of the ward leaders and the government political parties.

**4) PHILIPPINES** – it began in 1987 after the Marcos administration collapsed. There were amendments of its Constitution with more advanced contents by prioritizing civil sector with local practices. In 1991, there was the stipulation of decentralization to meet its Constitution. Later, in July 2012, President Benigno Aquino declared the 2013 Fiscal Budget before the Congress pinpointed a clear motive about budgeting participation. It is stated that this budget is the masterpiece of the government spending and the sources of the money in its 2013 Fiscal Budget. It showed the cost of the action plans and mission throughout the fiscal year. More important, though it is prepared by his administration toward the best confidence that there was its single objective is to serve the real master who is only the Pilipino. This budget becomes the hope and the desire of the people including the contents of the declaration on the budget is the critical step to achieve to good governance. However, the target is possible when the government invigorates its people through encouraging people to control the private lives, hearing people with attentiveness and counseling with people especially with the services impacting their daily life and to be conscious about the power of people over the government. It means to return the power to people and the firmly stand with people which will enable to specify the direction of the nation. At this point, the administration has invented a budget of empowerment because such budget will empower people

through offering opportunity for them to involve in the services. It is a budget much prioritized the public ability to prioritize the subsidies for public services in creating jobs and youth education to guarantee a better health and to empower all people to participate in the economic activity involvements.

**5) SOUTH KOREA** – in 2004, South Korea invited delegates of PB from Sao Paulo to deliver speeches about PB expecting that it will be a tool to solve the scarcity of resources, the problems of decentralization and lacks of accountability and the responsiveness of the institutions selected to meet the needs of people particularly the poor. South Korea fosters a strong tradition of mass mobilization, which is the key element of developing democracy. During the administration of President Rho Moo-hyun, he emphasizes participation as a way leading to trust and confidence the national situation. In addition, in this period PB has been viral which is named the territory of the most dynamic PB in the world (Rhee, 2005) based on the bottom-up process. However, the diffusion spurred by the national government is based on adapting the Brazilian. In 2004, it was experimented in Buk-gu province, the PB diffusion in South Korea is fruitful because of its laws which allow imitation from the low level as being regulated by the ministry but the PB quality is unequal (Hwang, 2008).

In addition, technology has been used as the tool to support participation such as internet opinion surveys, online meeting, public hearing, and seminars. The international laws help to scope the PB that the local has not much ties with such budget in association with its budgetary centralization generates limitation in improving its quality. In addition, other limitations are period of discussions on budget is reduced caused by the timeframe of the national budget approval and rigid local budget (Sintomer et al., 2010).

**6) JAPAN** – it began in 1998 and after 2003, here were many processes involving people and the grassroot organizations to discuss on budgets. Its local government was widely empowered with budget by half of the public spending or around 10% of its GDP but people unlikely participate in the monetary planning (Matsubura, cited in Sintomer et al., 2011). Its first attempt on PB was with the strong involvements at the grassroot organization. After 2003, there were many processes involving people and the grassroot organizations to discuss on budget such as disclosure of the budgeting process, public consultation on budget and direct public budgeting (Matsubura, cited in Sintomer et al., 2011).

Ichikawa city spends PB at 10% of the residential income tax distributed to the non-profit projects. In 2004, the Mayor has applied the Hungarian model – the taxpayers own their rights to vote in internet and elect three non-profit organizations needed supports through considering their activity plans presented with discussion within the public council. Committees are formed to screen plans and activities and the local government will allocate money by vote. However, this process is not opened to other affairs for citizen participation in decision-making . There are interested projects initiated by the people for the disadvantaged in society such as swimming pools for the mental disordered persons (Sintomer et al., 2010). The Ichikawa model motivates some cities to also extend their voices to the non-taxpayer groups.

7) **KENYA** – under the Local Administration Act, the Kenyans cannot attend meeting of critical issue debates with the local council members. The Kenyans are permitted to attend the full parliamentary formal meeting only. They can involve in the decision-making of the local government just in the case of the Mayor requests the local people to attend the meeting caused by the petition for the people and few Mayors have done this. Transferring money to the local government motivates the local authorities to improve their services and reinforce organizing the money. Before submission of public service; people lack participation to propose their needs. However, after there are projects delivered on public services; people have opportunities to present their previous and future needs and also help the formal and informal stakeholders regardless being the religious group, the woman groups and the NGO groups to register their participation in the process. This encourages participation in the process through specifying prioritization of their needs; involving the policy implementation and checking their accountability. This allows people and participants wider involve than what have been expected and also coming from more diverse societies (Adrienne Shall, 2007: 191-216).

Though people and stakeholders participate in the budgeting still it comes from the thrive of the municipal staff. People involve just prioritizing the investment projects but have no opportunity to examine to outputs of the spending budgets. In addition, the budget document includes jargons used in the parliament and difficult to understand. Therefore, participation meets limitations and is likely interfere for the local council members. It likely appears specifically about personal benefits or

political benefits needed. Impacts of participation are people involve in the budgeting since 2003 which sprouted so many projects for the needs of people and they sensed their ownership through discourse and negotiation which improve their good relationship between the local council and people never been met before in the past. The municipal staff can personally access the stakeholders more (Adrienne Shall, 2007: 191-216).

**8) MOZAMBIQUE**–PB is not enforced in Mozambique even though the local administration organizations are free to do as they wish. It more happens with the Mayors who admire the value of citizen participation. The community participation in Mozambique will be through the committee in each area to organize meeting for discussion on the needs of their community and submit them to their municipality. When the committee agrees with the projects and budgets; they will gather all the local action plans and the local will distribute budget to the communities with scarcity. The citizen participation in the budgeting emerges at the level of Bairro – people have opportunity to prioritize their needs within their community. Readiness of the community is prepared through to design participatory model planning. The local council organizes common meeting with the regional committee to specify priority, and to organize the stakeholder meeting to specify priority at the international level. The importance of the community will be gathered in the council budget and the plans needed its approval before it is submitted to the Administrative Ministry for its approval. The budget will be implemented and further checked. Participation brings good relationship and interaction more between the local administration organizations with the people groups and the local administration organizations understand their people more.

**9) SOUTH AFRICA** –the local government in South Africa is a large administration unit under the Constitution and four related Acts. The Constitution promotes the concept of developing the local government. There will be prioritization in each municipality about the basic needs of the community and to promote social and economic development. The Constitution encourages communities and community organizations to participate in their local administration found in the Municipal Structure Act 1998 and adherence to the community participation specifying the committee must report about the community participation in the municipal public

affairs, endorsing public participation and consultation, reporting impacts about the participation and providing consultation of decision-making made by the local administration. In addition, the municipality needs developing its culture of its municipal organization formally matching with the government delegates and the participatory governance. Community participation is necessary in the process of integrated development planning, performance organization system, budgeting, and strategy in decision-making on service delivery.

Most citizen participation in South Africa is done through the committee system or the participation of the sub-councils in megacities. The committee is still the local council members with another 10 members elected by community people. The participatory committee members are volunteers without remuneration but doing duties of consultation and promotion for encouraging citizen participation in meeting, organizing public platform, conducting public hearing, and returning reports to the meeting by emphasizing the interest groups, launching PT to newspaper, community radios, and e-government. A case of municipality establishing a committee for its community participation in budgeting is the Mangaung municipality, which has the important mechanism to participate in policymaking and budgeting. The committee demands the community plan in order to understand the process and to associate among their different social groups who are isolated themselves. However, each group will identify its priority of the results of its needs. The impacts of participation allow people and their community to demand more transparency from their municipality. Numbers of people receive information what the municipality is doing and are able to regularly question about various issues in the meeting. Continuous citizen participation brings information reception and feedback from people to the municipality.

Besides the PB experiences in various countries as above; there are studies by scholars in many countries with different findings in both success and failures of PB application as the following table 2.2.

**Table 2.2 Summary of PB experience in foreign countries**

| <b>Countries</b> | <b>Political and legal context</b>   | <b>PB Method and Performance</b>  |
|------------------|--|---|
| 1. India         | Began in 1996 in Kerala State by the leader of Socialist Party   | - Having social demands and movements<br>- Organizing public hearings/social audits   |
| 2. Indonesia     | - Began in 1998 when President Suharto resigned after 32 years in power<br>- Two decentralization laws are enacted since 1999-2001   | - Applying PB and establishing village councils and organizing development forums on the village block grant in the project of Kecamatan Development Program (KDP)<br>- Providing village fund for public participation                                 |
| 3. Bangladesh    | - 1971 Bangladesh turned to democracy  | - Bangladesh cooperated with UNDP and UNCDF (United Nations Capital Development Fund) to initiate local development projects at Srajanj<br>- Women have limitations in participation  |
| 4. Philippines   | - Began in 1987 after the Marcos administration has collapsed. There are amendments of the Constitution with advance contents by prioritizing civic sector.<br>- Having local government practices in 1991 and stipulating decentralization responsive to the Constitution | - Budget of empowerment is national PB  |
| 5. South Korea   | - Began in 2004 expecting to exploit PB as a tool to solve the scarcity of its<br>- Having many laws reformed  | - PB of South Korea is the results of laws<br>- Adoption E- participatory budgeting   |
| 6. Japan         | - Began in 1998 and after 2003, there were many processes related to people and the grassroots organization in budgetary debates   | - Taxpayer own the rights to vote through internet<br>- People participate in proposing activities / projects<br>- Interested projects initiated by people for the disadvantaged groups in societies e.g. swimming pool for the mental disorder persons |

**Table 2.2 Summary of PB experience in foreign countries (cont.)**

| <b>Countries</b> | <b>Political and legal context</b>  | <b>PB Method and Performance</b>   |
|------------------|---|--|
| 7. Kenya         | - PB since 2003   | - Promoting participatory process by specifying prioritization<br>- Participating in applying policies and inspection of adherence to the policies                                       |
| 8. Mozambique    | - Rising at the level of Bairro - people been offered with opportunity to prioritize their necessity in their communities | - Local council members meeting with h constituent zones for prioritization<br>- Emerging good relation between the local organizations and people                                       |
| 9. South Africa  | - Municipal Structure Act 1998  | - Participating in policymaking and budgetary planning<br>- Allowing people and communities see the transparency of their municipalities more<br>- Numbers of people receive information |

Source: Adapted by Researcher (2017)

Experiences in participatory budgeting in both developed and developing countries are summarized in table 2.3 below:

**Table 2.3 Worldwide experiences in participatory budgeting**

| <b>Data Set</b>   | <b>Country</b> | <b>Methodology</b>  | <b>Findings</b>  |
|---|----------------|---|--|
| 1. Marquette (2003)<br>Study to establish whether a relationship exists between investments made as a result of participatory budgeting and local social indicators in areas of participants. | Brazil         | Quantitative, longitudinal case study that combined data of ten years and census data of 1991 | Poor areas were getting more budget allocations than areas occupied by more wealthy residents. This provided empirical evidence that participatory budgeting can address social injustices resulting from allocation of public resources. It also confirmed that PB has a redistributive effect on public resources. |

**Table 2.3 Worldwide experiences in participatory budgeting (cont.)**

| <b>Data Set</b>   | <b>Country</b>      | <b>Methodology</b>     | <b>Findings</b>  |
|---|---------------------|------------------------|--|
| 2.Navarro (1998)<br>Study of factors that helped Porto Allegro to succeed with PB.                  | Brazil Porto Alegre | Survey                 | a) Existence of a constitutional provision that enshrined the principle of citizen participation in government decision-making<br>(b) Strong political commitment To decentralized popular planning<br>(c) A protracted history of community Organization with established well-networked associations within the municipality As a result of citizens' Participation in the budgeting process, Low income people and neighborhoods Accessed more government spending And this led to increased efficiency And reduced corruption in the municipality. |
| 3.Nijenhuis (2002)<br>Investigation of citizens' participation in rural and urban local government. | Bolivia             | Exploratory case study | Residents in urban areas participated more in the budgeting process than those in rural areas. Attributed this to the fact that people in urban areas are more educated and exposed than those in rural areas.   |
| 4.Ebdon and Franklin (2004)<br>Study of citizens' participation in the budgeting process.           | Topeka and Wichita  | Survey                 | Citizens' participation was successful because it had been developed over time. Both technical staff and citizens were committed to see to it that it succeeded. Political and environmental issues are important considerations in designing budget input methods.  |

**Table 2.3 Worldwide experiences in participatory budgeting (cont.)**

| <b>Data Set</b>   | <b>Country</b>                                | <b>Methodology</b>     | <b>Findings</b>   |
|---|---|------------------------|---|
| 5.Krylova (2007)<br>Investigated participatory budgeting in Ukraine local government. | Ukraine                                       | Survey                 | Public hearings were an effective mechanism for citizens' participation in the budgeting process. Three factors enhance citizens' participation in the budgeting process: a) commitment of political leadership; b) existence of strong and vibrant local civil service organisations or non-government organisations that are involved in mobilising and sensitizing citizens on their role in the budget making process; and c) availability and access to information regarding the budgeting process. |
| 6.Suwanmala (2007)<br>Reviewed Thailand's experience with participatory budgeting     | Thailand                                      | Exploratory case study | The following factors were found to be responsible for poor citizen participation in the budgeting process:<br>- Weak civil society organisations<br>- Lack of awareness on the part of local officials and citizens that they had a role to play in the budgeting process<br>However, focus group consultations were a widely used mechanism, and proved successful because of the flexibility to adopt formal and informal approaches.  |
| 7.Fölscher (2007)   | Bangladesh, India, Indonesia, the Philippines | Survey                 | Where the social, cultural, and religious norms are not incompatible with notions of democracy, the designs of participatory budgeting initiatives need to take them into account if participation is to be effective. Thus a need to adapt the participation mechanism to the local environment. Participatory processes   |

**Table 2.3 Worldwide experiences in participatory budgeting (cont.)**

| Data Set  | Country              | Methodology                   | Findings  |
|---|----------------------|-------------------------------|---|
|   |                      |                               | <ul style="list-style-type: none"> <li>- can be manipulated and be captured by interest groups</li> <li>- can mask the undemocratic, exclusive or elite nature of public decision-making</li> <li>- can conceal and reinforce existing injustices</li> <li>- can be abused to facilitate the illegitimate and unjust exercise of power</li> <li>- can be used to deprive marginalized and excluded groups of having a say in public affairs.</li> </ul> |
| <p>8. Moore, 2007;<br/>Olowo, 2002</p>  | <p>South Africa</p>  | <p>Exploratory case study</p> | <p>The following factors inhibit effective participatory budgeting:</p> <ul style="list-style-type: none"> <li>- Low levels of education to comprehend the budgeting process and technicalities involved</li> <li>- Poor communication and in some cases total lack of communication between political leaders and technical staff</li> </ul>   |
| <p>9. Agbakoba and Agbonna (2004)<br/>Study on how local governments were implementing approved budgets</p> | <p>Nigeria</p>       | <p>Survey</p>                 | <p>Poor budget implementation was due to:</p> <ul style="list-style-type: none"> <li>- Corruption</li> <li>- Incompetence of technical staff,</li> <li>- High dependence on central government transfers</li> </ul>   |
| <p>10. Goldfrank (2007)</p>   | <p>Latin America</p> |                               | <p>Factors enhancing citizens' participation in the budgeting process include:</p> <ul style="list-style-type: none"> <li>- Committed political leadership</li> <li>- Vibrant CSO involved in policy debates on participatory budgeting</li> <li>- Conducive political environment</li> </ul>   |

**Table 2.3 Worldwide experiences in participatory budgeting (cont.)**

| Data Set           | Country  | Methodology            | Findings  |
|--------------------|--|------------------------|---|
|                    |  |                        | <ul style="list-style-type: none"> <li>- Availability of resources to finance those activities identified by participants as priorities</li> <li>- Legal frameworks for participatory budgeting</li> <li>- Transparency in fiscal relations between central government and local governments</li> <li>- An effective local government system.</li> </ul>  |
| 11.Fölscher (2007) | Middle East and North Africa                           | Exploratory case study | <p>The following factors were found to inhibit PB:</p> <ul style="list-style-type: none"> <li>- Absence of political will and commitment</li> <li>- Lack of legal frameworks</li> <li>- Political environment not conducive as citizens could not express themselves freely</li> <li>- Absence of information on the budgeting process and role expected to be played by stakeholders.</li> </ul> |
| 12.Shah (2007)     | Africa, East European, Asian and North American cities | Survey                 | <p>Participatory budgeting can bring about political, social, economic and institutional achievements if properly implemented. Based on these findings, the World Bank enhanced its promotion of PB as one of the means to improve service delivery, reduce poverty and enhance democracy.</p>  |

**Table 2.3 Worldwide experiences in participatory budgeting (cont.)**

| <b>Data Set</b>  | <b>Country</b> | <b>Methodology</b> | <b>Findings</b>   |
|--|----------------|--------------------|---|
| 13. Mukandala (1998)<br>Descriptive study of citizen participation and local governance. | Tanzania       | Case study         | Although Ward Development Committees are supposed to have a majority of community representatives to ensure effective participation by ordinary citizens as per legislation and system design, in practice they were dominated by influential people in the community selected by technical government officials. Level of education had an effect on citizens' participation in the budgeting process. Political leaders with little education were constrained to express the views of their constituencies during budget meetings. |
| 14. Mutizwa-Mangiza et al. (1996)  | Zimbabwe       | Descriptive study  | Transferring decision-making powers from traditional leaders to democratically elected peoples representative on Village and Ward Development Committees resulted in a conflict between the two bodies.   |

Source: Anwar Shah (2007) and SATURNINUS KASOZI-MULINDWA (2013).

### 2.3.6 Success factors of PB implementations in Asia

Applying PB in various countries meet both success and failures. As such it needs time to adapt the idea especially with the conventional national administration, which hinders the PB. Consequently, studying the PB experiences from abroad in Asia which might be similar context with Thailand; factors are summarized successful PB (Alta Folscher, 2007: 182) are first, it is the political environment/nature either formally or informally affecting the PB success – to what extend the political party which owns the previous power offers opportunity to people in their involvement. To what level the political system is a hidden patronage system because it is the critical hindrance to participation. Second, the state/local authorities

are pleased to hear the voice of people whether what they want. Third, laws / regulation/disciplines and the policy frame must offer opportunity for participation such as having Constitution enacting citizen participation in public affairs and so on. Fourth, it is clarity and the working framework of decentralization enabling to be followed, such as the roles of the state, responsibility and financial freedom. Fifth, it is the budgetary environment, which includes the link between planning and budgeting—prioritization is necessary. Finally, it is the culture and the citizen ability; no discrimination of citizen participation, and offering/facilitating opportunity for participation.

### **2.3.7 Limitations and challenges to the PB success**

The experiences of the PB experiences among the sub-Saharan Africa are briefed on the challenges that if these things happened, PB might fail its target. All these challenges are (Adrienne Shall, 2007: 216) first; they are disability and lack of understanding on the clear roles and responsibility of the players of all related to PB regardless the low educated citizens, which lack knowledge and understanding and the absence of the consciousness of PB. This is because they cannot access the information and do not understand the process of local administration organizations like the local council members/local staffs who have no knowledge of planning and the budgeting process. Second, it is having the restricted scope of participation such as having legal restriction. Third, it is the absence of accountability and evaluation to know either the PB success or failure. Fourth, it is the absence of transparency and trust. Fifth, it is the failure of communication, which is the importance of interpersonal to understand the objective and the goal in working. Finally, it is the different context between the political and social situations affecting the common understanding of PB.

In addition, Brian Wample (2000) mentions that there are many limitations of PB which will help reduce the entire impacts over social justice. Though public learning and administrative reforms with different PB performance in each municipality; but with the following limitations reveal PB has moderate ability to challenge the social and political exceptions. The promotion of the social justice of PB is counted critical procedures to involve politics into social justice for the better. However, it is not necessary meant that PB is the best medicine to work out everything.

The first limitation is PB emphasizes specific public affairs and makes people to disregard to learn about their rights, duties and disinterest in the state financial responsibility or social policy at large. They pay interest just the small size project of infrastructure. Consequently, in the participatory project, the local administration needs clarity and prioritization with the waste of time and people power too.

The second limitation is the mutual dependency of participants with the Mayor in the association meeting about the PB between the bureaucrat, local politicians and civic sector. Having the Mayor influencing in policymaking and without determination and strength on PB; it might be less successful and such political influence brings political patronage system.

The third limitation is a long-term planning brings ambiguity in the PB project. Many are interested in short-term or middle-term. Concentrating specific public affairs trouble the discussion on planning for future of the city. The long-term planning process meets limitation and complexity of the diverse problems either technically and analytically which relying on public development to slowly understand the skills of this matter and might need many years.

The fourth is the PB emphasizes problem and the local public policy but many problems people are encountering become the regional, national and international problems. For example, the case of Porto Alegre where people are worried about the political, economic and social changes at large and they are beyond the scope of PB such as the problems of unemployment, environment, opportunity of education and so on.

The fifth limitation is PB might be uses as the tool for the political parties or bureaucrats such as covering important information. Absence of following policy as specified such as the Brazilian PB at the national and the state levels, which are rejected by the social process and the NGOs because being interfered by the government.

Therefore, the state PB by practices is not easily happened because since it is technical with complexity in itself and with many types of public fund structures. They might be the important obstacles making people cannot access or cannot participate in the meaningful decision-making. The following issue is offering opportunity to participate but it may create monopoly of decision-making power by the news group of people who are usually the interest groups or the advantageous

groups over social and economy better than the disadvantageous groups. Finally, participation as such will not bring true benefits for the majority or to the disadvantageous groups. In this issue, people involve have to be cautious not to allow the PB platform only responsive to some group or become rubber stamp in order to create more legitimacy of the powerful person in decision-making .

In addition, being meaningful citizen participation might easily happen with the school of Transaction Cost Economics (TCEs) have mentioned. For example, Mansbridge (1983) views that people participation in the public affairs all have cost. If people view that the benefit returned from participation is meaningless or worthless; then it will lack awareness to participate until it become an opportunity for ht famous group and the groups close to the persons having formal power in decision-making to fully exercise their rights and voices in presenting various claims benefit their own groups. As such, these groups have low cost to reach out the persons with power of decision-making. Finally, the participatory mechanism might lead to the decentralized benefits from unfairly distributing the state resources (Weerasak Krueithep, 2010:21-22).

The following limitations of promoting citizen participation is the basic condition of their living – some groups meet limitations of economy, and livelihood or having tier family mission that they cannot fully participate with pubic activities. Finally, the data for empirical studies of King, Feltey, & Susel (1998) and Fischer (1993, 2003) point out the major obstacle of citizen participation is the state administration and the specialist personnel do not hear people. Generally, the state practitioners own the attitudes citizen participation affects working with inefficiency, delay, and red tape. On the contrary, citizens who participate feel that they are often discriminated from the decision-making process until the thrive of citizen participation fails (Weerasak Krueithep, 2010:21-22).

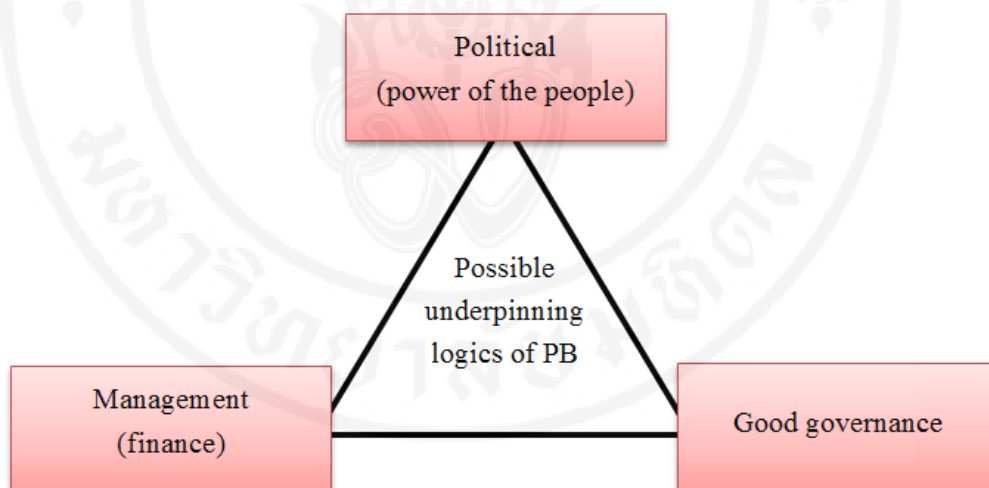
### **2.3.8 Important logics on PB from the laboratory**

From case studies on PB in various countries, there are analyses to drive PB, which includes:

- 1) Managerial/technocratic tool: reasons of PB are improving efficiency when the public resources are scarce and best appropriate of service delivery. PB is viewed responsive to the technocratic management of problem solving on administration and the clear managerial logics.

2) Good governance: the basic reason is creating the new social expectation and the relationship between people and the government in the contexts of reducing confidence of people toward political parties, politician, and public affairs. PB becomes the new channel or bridge between players who will bridge the social relationship and improve governance. It inclines to be the government process having or not having incremental decision-making power for people and it is likely involving the vertical and horizontal reinforcement of governance.

3) Politically, it is the foundation of democracy – in this case PB is viewed as a tool to facilitate the bottom-up policymaking and decision-making, new policymaking, participatory democracy in the context of representative democracy that fails. This basic logics is politically clearer and the overall objective is having the participatory democracy becoming the deeper political system.



**Figure 2.3 Possible underpinning logics of PB**

Source: Yves Cabannes and Barbara Lipietz (2015)

### 2.3.9 PB results and benefits

The concept of PB began in 1980s while the political reformers attempted to eradicate political indifference and governance corruption in tyrannical system (1964-1985). Later in 1988, the Labor Party won election for the Mayor. The government from the new election thus coalesces with its allied civic sector to change the way of work and the public resource use to step over the representative democracy.

The change began in Porto Alegre where it used the quality of life index in its resource distribution to the low income communities such as the area of much poverty, poor infrastructure but with strong citizen participation. They will be distributed with more subsidies. In addition, there is also the policy to promote and change social and politics. Brian Wampler (2012) mentions about the consequences of PB as below.

1) The Democratic Legitimacy – PB improves democracy given the representative democracy meets countless problems such as public indifference on election, limitations of the declaration on public issues and weakening representatives. PB supporters have confidence that they can increase legitimacy in democracy because of supporting the debates on public issues and empowerment to people in decision-making for using public resources. This is to promote social justice or to solve poor policy and to improve the state basic performances. PB is the start for people and the state authorities to learn on the new collaborations.

2) Social Justice – PB involves with offering opportunity to distribute resources to the new projects or the project expansions and social service to new communities. Main points supporting and promoting PB is participants are people who provide recommendations and ongoing supports to the state authorities who help them to distribute money in the new way. As such, it is seen with the government investments are in the places where they are disregarded before and the investment projects meet the needs of the disadvantageous communities. The importance is the state authorities are willing to change what the state has been responsive the needs of the deprived and disadvantaged communities.

3) Civil Society – participation helps people particularly those coming from deprived communities to defeat basic problems in their collaboration regardless poor information, weak network and the necessity of mobilization. PB assembles civil societies. Organizing forums and discussions brings more associations. It build bond between people and leaders. Conducting public hearing helps see problems of other communities and this is the solidarity.

### **PB Benefits**

PB is an innovation of local governance, which it can lead to positive change in the method or the process. PB is a new tool for the local governance because it can support the local democracy and local decentralized governance. It proposes

opportunity to bridge the government, the civil societies and private sectors as if they direct the joint-mission of the civil societies. PB results citizen participation in decision-making with efficiency, equality, safety and responsibility of the public service organizers and the responsibility of the state for their people. Such performance results better service, social policy prioritization at large and supports the decentralization policy, reduces corruption, increases transparency, accessibility, data sharing and PB general benefits (UN-HABITAT, 2008).

1) Participatory Budgeting (PB) and Public Participation (PP) – the rise of governance is a mechanism to support the representative democracy, which strengthens the local through free and fair election. At the same time, it includes application and exploits participatory decision-making, which builds consensus and acceptance especially among the poor. People especially women are powerful to participate in efficient decision-making. Supporting the poor for backups and acceptance and diverse mechanisms can be used to increase public participation in terms of the local governance besides applying mechanisms. For example, public hearing and surveys, city council meeting, organizing public stages, and urban discussions. PB is used as a new tool to achieve the same objectives in promoting public participation in the municipal decision-making and budgeting process. They more strengthen the local democracy as well as being the fight against social discrimination in the local, too. At the same time, PB can be applied to increase political power for the least powerful in economy, which will build new relationship between the local government and the disadvantaged citizens, on the other way.

2) Participatory Budgeting (PB) and Equity – PB promotes equity to access important data such as residence, with healthy and clean drinking water through prioritization from the agencies focusing on the poor such as the policy to specify special price goods for water and electricity with all members in the communities regardless sex, race and religion or physical disability. Participation is equity in decision-making of the city at large, prioritization and the resource distribution process. In addition, it helps people prioritize and allocate budget founded upon the needs of people. It means resources will be delivered to the neediest area. Therefore, PB and distribution of resources for investment rely on performance as evidence.

3) Participatory Budgeting and Effectiveness in cities demands prudence in financing of income and expenses, administration and servicing, and latency relying on comparative advantages of the government, private sector and communities to support the urban economy. The important elements to achieve the public service effectiveness and to support the local economic development are the operation through PB. Generally, it increases transparency and effectiveness of the service the local agencies and some local, it affects their income collections and reduces the illogical municipal public property damages.

4) Participatory Budgeting and Accountability – it is the responsibility of the local agencies and all the service providers for their citizens. It is the basic principle of good governance. Similarly, there is no place for corruption and corruption erodes the local government confidence. In addition, it reduces poverty in cities. Transparency and responsibility are important to the local public understanding and those who gain benefits for decision-making and the accessibility to the basic data, which will bring understanding of good governance and laws. In addition, public policy should be used with transparency and predictable. Therefore, public participation is the important element to promote transparency and the responsibility. PB thus permits people to continuously involve and offers opportunity for people to complaint on irregularity and poor services through permits auditing the municipal accounts. PB also supports bidding and procurement with transparency, trailing and evaluating projects, which will promote prolong city good governance.

5) Participatory Budgeting and Security – all own each rights, liberty and life security. Irrational insecurity grows community poverty, and cities must endeavor to avoid man-made and natural disasters with the involvement of all stakeholders in counter crimes and conflicts while being ready to ride disasters. In addition, security means freedom from execution, forced expel, and safety of positioning. Therefore, cities should collaborate with the social compromise agencies to reduce conflicts but promote inter-agency collaborations. The PB method is used as a tool for good governance – collaboration in problemsolving through consensus which promotes overt debates t with criteria of prioritization and resource distribution including to reduce violence against the disadvantaged groups who are weal in their economy and others as well as to retain culture of peace, and the governance of cultural and racial diversities.

## **PB additional benefits (UN-HABITAT, 2008)**

### **1) Benefits to Citizens**

1.1) PB improves democratic governance because people can talk and express their opinions in what involve them. PB is an efficient tool to improve and strengthen the decentralized governance and democracy. PB inclines to improve the access to public municipality and their problems in appropriate time. In addition, PB increases responsibility and transparency in public financing governance.

1.2) PB empowers citizens which include the weak and the peripheral persons will be empowered with important information. Therefore, they can meaningfully involve in the decision-making process and the budgeting process included various development projects.

1.3) PB enhances communication and information sharing. The communication channels will be the feedback channels gained from forum. The council members will receive information and recommendations from communities. In addition, there is communication sharing through dissemination, public relation, bulletins and opinion box, which demands periodically reviewing budgets. Therefore participation is not the activity but the ongoing process.

1.4) PB increases solidarity and community spirit. The PB existence is a mechanism to strengthen social capital and increase networks.

1.5) PB deepens local democracy. PB allows people not to wait for voting in the Election Day and through PB, they can involve in budgeting round while being able to trail and evaluate various development projects.

### **2) Benefits of Local Government**

2.1) PB increases public ownership. PB increases the spirit of solidarity ad ownership of the projects. People can overtly express to monitor the public sector investments and better handling resources, reducing the damages of the municipal properties, support various services with willingness such as free workforce, free materials and other forms to help projects, willingness to pay fees and paying tax without delay. Such will result optimistic toward the local government and lead to improving the form of tax collections.

2.2) PB leads to the Creation of a Common Vision. Promoting common vision creation and common understanding lead to see the challenging values of their community through creating common vision and harmonious goal with aiming at the solidarity of the council, which can concentrate on the long-term development of the local.

2.3) PB facilitates capacity building. People begin to understand how the local government works because they witness their skills and knowledge about budgeting. In addition, they know their rights and their duties.

2.4) PB enhances political legitimacy and voter support. The involvement in decision-making of people helps the municipality responsive to the need of their community. They are in the condition to understand the council's competency and limitations with regards to servicing and development, which will reduce protests and boycotts not paying taxes. The rising fairness also increases the possibility in establishing partnership and sustainable trust between the council and the stakeholders.

2.5) PB matches priorities to available resources. PB leads to strategic planning and its participatory implementation while it helps the local government prioritizes to match the available resources.

2.6) PB increases interest in monitoring, and evaluation of development projects. In the case people are not part in decision-making; they lose interest to know the outcomes. If they involve; they would become the "eyes and ears of the government" with their involvement with the process and the performance of the development projects in order to ensure that (a) adherence to the projects meeting the goal, (b) exploiting resources as being agreed upon, and (c) having quality control. Finally, it helps prevent the violation of the public sector on exploiting the resources.

2.7) PB builds coalitions. PB helps the government to build common operations among various issues within the different groups of people. At this point, it enables the council to avoid unnecessary conflicts in the forum and between the council with the stakeholders. Significantly, PB will help reduce the indifference of voters. For example, in Latin America building such coalitions lead to a new model of partnership of the public communities more than being the partnership with the public and private sectors in general. Such differences are partnership with

public community will build financial benefits for the community unspecific who they are through budgeting. The NGO network and the private sector are supported and collaborate with the local government in developing the livelihood of people and public services. It is called the smart partnerships between the municipality, private sector and civil society resulted from PB.

### **3) Benefits to Central Government**

Trailing the fund distributed to the local government is an important factor rising in the central government resulted from PB – offering opportunity to spend budget to trail whether the local government reimburses and spends by objectives for intended benefit recipients.

### **4) Benefits to Private Sector and Civil Society**

4.1) Reduction of Corruption – wide openness of PB helps reduce the gap of corruption and investors feel encouraged to involve in the local development and pay taxes without delay.

4.2) Improvement in Services Delivery – in PB the local government can plan categories, levels and quality of the services include service users. People being clients will be motivated to pay the service fees. On the contrary, it leads to create income for the local government, which helps ongoing development of the service. With such method, cities are able to retain and attract more businesses and investments. They become competitive cities in the national, regional and world-class contexts.

PB is an interested model in learning and understanding about the innovation of the civil society because it directly involve with public decision-making. Such concept is diffused worldwide. PB offers people opportunity to learn about the government practices and people also associate to examine, debate and discuss and finally to decision-making in distributing budget. PB allows people to learn about political PB, which leads to greater accountability and transparency because people are in the process of better learning and experiencing from collaboration with the state authorities (Hollie Russon Gilman, 2016).

World Bank concludes that PB particularly in the developing countries; their democracy is potential to reduce the inefficiency of the government, cronyism, patronage system and corruption. Research findings reveal that for the past 20 years

PB empowers people in their governance and increase the quality of democracy in Brazil though it cannot count full participation in PB but if tracing back to the first PB in 30 municipalities in Brazil during 1989 until 2013; 2,500 municipalities worldwide are found implementing PB (Goldfrank, 2012, Sintomer al et., 2010).

## **2.4 General Information of the Thai Local Governance and the Local Budgeting**

The local administration is a decentralization to empower people in decision-making on various affairs, which are the local public by themselves and by mission duties clearly indicated for working. There are clear areas with directly elected executives by people or by the approval of the local council. Regulating the local administration today involve two systems, i.e. (1) the general system employed in common local, which there are three models: the subdistrict administration organization, the municipality and the provincial administration organization; and (2) A special system, which specifically employed with specific area and today there are two models, i.e. Bangkok Metropolis and Muang Pattaya. This research does not pursue investigating the special system.

### **2.4.1 The Provincial Administration Organization (PAO)**

Structuring within PAO under the Provincial Administration Organization Act BE 2540 (1997) and its Amendment has divided the administration into two parts, i.e. PAO Council is the Legislative and the PAO president is the chief of administration.

1) The Legislative is PAO council comprises its directly elected members by the citizens under the law of the Provincial Council Member Election with the four-year term. The number of its members is subject to the criteria of the number of citizens in each province according the het demographic registration latest announced before election. Therefore, any provinces having not more than five hundred thousand (500,000) citizens can legally appoint 24 members. Any provinces having more than five hundred thousand (500,000) citizens and not more than one million (1,000,000) citizens can legally appoint 30 members. Any provinces having more than one million (1,000,000) citizens and not more than one million and five hundred thousand

(1,500,000) citizens can legally appoint 36 members. Any provinces having more than one million and five hundred thousand (1,500,000) citizens and not more than two million (2,000,000) citizens can legally appoint 42 members. Any provinces having more than two million (2,000,000) citizens can legally appoint 48 members. IN the first council meeting; the will be election of the chairperson and deputy chairperson among their members to run the council affair and meeting by adherence to the council rules and call for the council meeting of ordinary session and extraordinary session.

2) The administration – the PAO president previously chaired by the governor but after the Provincial Administration Organization Act BE 2540 (1997), it separates the regional authorities from the executives of the local administration. The latest Amendment enacts stipulates the PAO has a direct elected president according to the law of electing the local council members of the local executive (Article 35) by having the PAO president hold its position from the date of election with a 4-year term. However, the president will appoint a deputy president from the provincial council under the following criteria. In the case of having 48 council members, there will be four (4) deputies. In the case of 36-42 council members, there will be three (3) deputies. In the case of 24-30 council members, there will be two (2) deputies.

The power and duties of the PAO under the Provincial Administration Organization Act BE 2540 (1997), Article 45 stipulates that (1) it is to enact regulations without contradicting to laws. (2) It is to plan to develop the PAO and to coordination to prepare the provincial development plans according to the ministerial regulation. (3) It is to support the subdistrict council and other local affairs in their development. (4) It is to coordinate and cooperate in working out duties of the subdistrict council and other local affairs. (5) It is to distribute money by laws to the subdistrict council and other local affairs. (6) It is to fulfill the provincial power and duties under the Provincial Administration Organization Act BE 2498 (1955), specifically in the subdistrict council constituency. (7) It is to protect, monitor and maintain the natural resource and environment. (7 bi) It is to maintain arts, custom and tradition, local intellectual and the local virtuous cultures. (8) It is to fulfill any affairs under its power and the duties of other local affairs under supervision of the PAO and those affairs deserved other local affairs to cooperate or other PAO to work, as such, they must be subject to the ministerial rules. (9) It is to fulfill any affairs stipulated in this Act or enacted by other laws under the PAO power and duties.

In addition, the PAO may organize any affairs under the power and duties of the other local affairs or other PAO outside its constituency upon the consent of the PAO including the central or regional power and duties assigned by the PAO. As such, they must be subject to the criteria, methods and condition stipulated in the ministerial rules and the above power and duties. The administration will pursue the affairs under the approval of the Legislature through approving the provisions such as the provisions of the annual spending budget and so on.

### **2.4.2 Municipality**

It is counted the oldest Thai local administration since 1933 instituted in communities with growth and administers mainly the cities. Many countries are successful in exploiting “municipality” as an important tool to administer the country especially in the developed countries. The Thai municipality is divided into three types, i.e. metropolis municipality, city municipality and subdistrict municipality by income criteria and the number of the local population. The criteria to institute any area to be a municipality rely on three (3) elements, i.e. (1) it is number and density of the population in the locality. (2) It is the economic growth of the locality considered by income collection by law and the spending budget in running the local affairs. (3) It depends on the importance of the local politics considered from the latency of the locality to what speed it can develop its growth. With such criteria above, the law stipulates to institute a municipality in to three types, i.e.

1) The subdistrict municipality – Ministry of Interior broadly stipulates criteria to institute the subdistrict municipality as follows: it must ear real income exclude the subsidies of the previous fiscal budget started from 12,000,000 Baht and above with its 7,000 population and above and its density of 1,500 persons/square kilometer and above under the approval of the local citizens.

2) The city municipality has its criteria of its institution ad follows: the locality located the city hall is upgraded into the city municipality without considering other criteria. Other locality without a city hall and is upgraded in to city municipality needs to comprise the following criteria. It must accommodate 10,000 citizen and above and its density is not less than 3,000 citizens /a square kilometer with the Royal Decree to upgrade it as the city municipality.

3) The metropolis municipality has its following institutional criteria. It population need to have 50,000 citizens and above with density of 3,000 citizens / a square kilometer earning income adequate for its affairs by law and stipulated in the Royal Decree of upgrading to be the metropolis municipality.

As of structuring municipality, it mainly applies the parliamentary system model and its structure is divided into two (2) parts, i.e. the municipality council is the Legislature and the Municipal Commission is administration of the Municipal Act.

1) The municipal council is to monitor and inspect the administration under the principle of check and balance. The municipal council consists of directly elected members from people with 4-year term and the number of its members is relying on its type. That is the subdistrict municipality consists of 12 members. The city municipality consists of 18 members while the metropolis municipality consists of 24 members chaired by a person and a deputy chosen by its commission members with the municipal council consensus. The council chairperson owns the duties to pursue the municipal affairs to meet the rules and regulations of the council meeting and to control and command to maintain peace including being the representative of the municipal council in the external affairs.

2) The Mayor (administration) – Under the Municipality Act Be 2496 (1953) Amendment, it stipulates a municipality to have a Mayor directly elected by people under the laws of the election of the Local Council Member or the Local Administration (Article 48 bi). It also enacts the Mayor to be positioned on the date of election with a 4-year term counted on the election date.

The Mayor might appoint a deputy who is not the municipal council members as an assistant in administering the municipal affairs assigned by the Mayor under the following criteria (Article 48 Eighth). (1) A subdistrict municipality appoints not more than two deputies. (2) A city municipality appoints not more than three deputies. (3) A metropolis municipality appoints not more than four deputies. The Mayor might appoint advisors and secretaries who are not the municipal council members but not more than two persons in total for the subdistrict municipality, not more than three for the city municipality and not more than five for the metropolis municipality.

The Mayor is empowered as followed, (1) it is to design policy without contradict laws and responsible for administer the municipal affairs adherent to the

municipal laws, rules, regulations and policy. (2) It is to order, permit, and approve the municipal affairs. (3) It is to appoint and to discharge the deputy, the advisor and the secretary. (4) It is to regulate to well smoothen the municipal affairs. (5) It is to adhere to the municipal laws. (6) It is to fulfill the other duties enacted by laws and in this Act and other laws related.

### **2.4.3 The Subdistrict Administration Organization (SAO)**

SAO is a local government upgraded from the subdistrict council under the Subdistrict Council and Subdistrict Administration Organization Act BE 2537 (1994) enforced in March 2, 1995. Its current structure comes from the amendment of the Subdistrict Council and Subdistrict Administration Organization Act BE 2543 (2000) to meet the Constitution BE 2540 (1997). Its new structure by new law is similar to the municipality having both Legislative: the subdistrict administration council and Administration: the subdistrict administration commission.

1) The Legislative is the subdistrict administration council consisting of two SAO members elected from each village. In the case of any subdistrict consisting of a village, it can elect six members. Any subdistrict consisting of two villages, it can elect three members from each village. As such, it administers for 4-year term counted on the election date.

2) The Administration is the subdistrict administration commission to fulfill its duties. It is directly elected by people from the subdistrict constituencies holding its office for a 4-year term. Today, it can hold its office at much as any terms consecutively. Its president must not be younger than 30 years at the time of the Election Day and the president can appoint two deputies who are not the council members and one secretary.

Its authorities are adherent to the Subdistrict Council and Subdistrict Administration Organization Act BE 2537 (1994) empowering SAO to develop the subdistrict on economy, social and culture. Its affairs engulfs very broad scope and the Subdistrict Council and Subdistrict Administration Organization Act BE 2537 (1994) with its Amendment (No.3) BE 2542 (1999) demands its following duties. (1) It is to provide and to maintain water and land routes. (2) It is to clean roads, waterways, walkways, public places and disposal of wastes and sewage. (3) It is to prevent disease and to end

contagious diseases. (4) It is to prevent and provide public rescue. (5) It is to promote education, religion and culture. (6) It is to promote development of women, children, the elderly and the disadvantaged. (7) It is to protect, care, and maintain the natural resources and environment. (8) It is to maintain and conserve arts, customs and traditions, the local intellectual, and the virtuous local cultures. (9) It is to fulfill other duties officially assigned by distributing budget and personnel by necessity and it deserves.

#### **2.4.4 The budget process of the Thai local government**

It is a procedure to working out the ongoing budgeting beginning from budgeting, budget approval and budget administration. The most budget process is subject to the regulations of Ministry of Interior under the Method of Budgeting of the Local Administration Organization BE 2541 (1998) Amendment (No.2) BE 2543 (2000) and (No.3) BE 2543 (2000). The local budget process is similar to common practices - there are three procedures, i.e. (1) budget preparation, (2) budget approval, and (3) budget administration.

**1) Budget preparation** – it is the duty of the Administration to prepare it comprising its executive commission who are the political parties and the paramagnet official responsible for preparing budget. It begins in the budget calendar under the circulation of the Department of Local Administration Promotion for information on which budget activities should end. As such, it is for the benefits of control and supervision to fulfill the budget process by procedures and by system and meet the time before the new budget calendar.

Upon the budget calendar has been fixed and the local executive commission and the personnel involved need to review plans and previous performance in order to prepare the annual development plans, policymaking and approaches to prepare budget. This is for all personnel of every sections to prepare budget petition to meet the policy and the approaches. In preparing budget personnel involved, need to prepare figures of income and expenses. The financial chief will collect financial reports and statistics of every unit to complement preparing figures of budget in practice in order to prepare the budget petition of the Thai local administration.

**2) Budget approval** – its Legislative will approve the budget. The local council will consider the annual budget draft or the additional expense draft proposed

by the Administration through considering its impacts and its appropriateness of the expense budget in three readings. The first reading is to admit their principle by the Administration declares its necessity in figuring the budget to the Legislative or the local council so that the council examines whether to admit or to reject. The second reading is to examine budget details by consecutive Articles or Provisions. The council may amend or reduce the budget figures through debates and consider the amended wording or the amended statements. The third reading will have no discussion but to consider if the annual budget expense passes the approval and to enact it into law or not. When the Legislative approves the budget draft, it will be proposed to the Governor or the District Chief by case for signature and announces its enforcement counted on every first of every October counted the begin of the fiscal year. In the stage of the budget approval; if the council fail to meet its approval before the start of the annual fiscal year or in the case of the law of the annual expense budget fails to meet the new fiscal year; it is required to temporarily use the past annual expense budget.

**3) Budget administration** – upon its approval and promulgation the local administrators must check whether the reserve money is adequate for salary and routine expenses especially during the early fiscal year; it is necessary to reimburse the necessary item first. By the reason, the local administration has no income from collection because it may not be the time for people to pay tax and annual fees. It is imperative for the administrator to collect income early to have adequate money for pursue the important development budget since the start of the fiscal year. Major steps of budget administration contain (1) transferring of the change of budget reports and the approval of budget reimbursement for spending on action plans and jobs. (2) It is to control budget – the local administration and the budget staff are together responsible for controlling the expenses and the non budget cash to be adhered to laws, rules, regulations, order or the ministerial order. (3) It is to report and it is the major part that people can audit the local performance. Ministry of Interior thus demands the local administration to report their performance as have been specified in the budget.

## 2.5 Related Researches and Literatures

Thippawan Lhorsuwan (2013) studies “Participatory Budgeting (PB): lessons from foreign countries and the challenged sot Thailand”. She analyzes the experiences of other countries applying PB. It should have been useful to realize the lessons, problems and tendencies to be applied in Thailand.

1) Laws to Endorse PB: Though Brazil is without national laws to endorse PB; the Labor Party initiates PB in its election for municipal mayor as its driver. The ideology of the Labor Party is consistent to the principle of PB and most municipalities pursue this ideology are mayors from the Labor Party. Porto Alegre resumes PB for 16 years and institutionalizes it, which makes it difficult to be dissolved even having other political parties to be its administrators. However, under the Thai context, given no laws or regulations to endorse PB, it is the absence of enforcement status. The author finds that having clear policy, laws and regulations will demand agencies and responsible personnel in each level can easier adopt for actions. Laws play the roles of endorsement in taking action on PB and guarantee its consistency and sustainability especially when there is political change.

2) The Role of Civil Society to Drive PB – experiences in many countries reveal that PB is not the tendency to impose top-down approach (Sintomer et al., 2010). It is witnessed in India where there are DISHA and MKSS to be solid keys to drive PB in various States and like CCAGG in Philippines. Therefore, adopting PB in Thailand demands encouraging the civil society to help driving it for more tangible.

3) Collaborative Network – it is to construct network in building relationship with the agencies and different individuals related to PB. In Philippines, there are collaborative networks between the state and CCAGG and many groups of people such as housewives, volunteers, students and youth to help collect data and evidences of the state construction and submit data to specialists. These collaborative networks provide useful data for the state audit team. Many countries depend on collaboration with the international organizations such as UNDP and the International Transparency Organization to support data, knowledge and fund such as Bangladesh, and Indonesia. In addition, building collaborative network with the educational institutions would reinforce the collaborative network.

4) PB involves with the state administrative reform with the aims at helping improve quality of life of the deprived groups in societies. PB changes the relationship between the local administration and people (Sintomer et al., 2010). The roles of people change from the taxpayers into recipients of the state services and the co-decisionmakers of the budget distribution to run the projects and the auditors of the state performance. It is necessary for the state to improve mechanisms and systems while developing knowledge and skills of the public sector together with other sectors.

5) Readiness of the citizen sector - it is through providing knowledge and information involved as in India where there are social movements to create ongoing perceptions and awareness to societies. What should be learnt from India is welcoming human resources for uses such as inviting the elderly to be the guest speakers to train people and preparing budgets. Therefore, there are simple term used and near people to understand. This is how to prepare people before debates in the PB process. Creating networks with various groups such as scholars, the local intellectuals, artists and various media should change the idea and abstract knowledge to be more concrete in better disseminating information, knowledge and news to people.

6) The PB model is resilient and from the experiences in abroad, it is found that the different context in each area creates many-interested PB. Meaning, in the poor countries, the governments meet the financial limitations like many Latin America countries where their governments unlikely have budget to be distributed to their projects; they have to rely on international funds. It then creates multi-stakeholder participation model. For the cities with larger gap of wealth or where the rich and poor live together like Porto Alegre, it demands building compromise mechanism between both groups (Sintomer et al., 2010).

7) Applying technology to help communicative coordination among individuals or among agencies creates networks for speedier performance and efficiency such as using websites for PB and becomes the datacenter of knowledge, communication, coordination and issuing bulletins, vote online, and election of representatives. Strategies of applying technology to PB process are called e-participatory budgeting (ePB). Such It is growing popular as the experiences I South Korea and the sue GIS (Geographical Information Systems) in Brazil to integrate budget planning expecting to use PB to solve the problem of social and areal discriminations (Sintomer et al., 2010).

Thatchalerm Suddhiphongpracha (2016) studies “Process and Outcomes of Policymaking on Participatory Budgeting: a case of Khonkhaen City Council: Khonkhaen Municipality. He finds that the stage of Khonkhaen City Council accounted for administrative innovation reinforcing people sector attracts many sectors but from an analysis, he finds that the tendency of its budget distribution for supporting such activities is unlikely high compared to the budget distributed to the main strategic issue. He also finds that the budget distributed to organizing forums at the city council is just the expenses forums their preparation such as venue rents, food, remuneration and so on. In addition, it is also found that almost half of the people who are key informants in Khonkhaen municipality do not know what the city council forums are followed by even though they know but never attend the forums. Least samples know and attend the forum. Such data disclose that it is the error of the municipality on public relation about such municipal important affairs for people.

The researcher further finds that city council mechanism is just process for people to hear its information of its performance and its policy only and not being the medium for people to involve in crafting the municipal development plans or to involve in presenting projects and activities to seek the municipal subsidies. With the people are naïve about the roles of the city council and few participants; it displays the lack of public relation on the council forums for people. However, the municipality has assigned the community presidents to launch public relation on information. For those who have ever attended; they have information of the forums that only the insignificant or least significant issues for livelihood of people are raise in the forum; they disinterest them. Also, time of is inadequate to exchange opinions between the municipal executives and people in associated with the council forum presents data of the executive rather than offers opportunity for people to provide opinions and to hear their problems and needs. Participants disable to fully propose policy, projects and activities useful to their communities.

From such results, the researcher recommends that the Khonkhaen municipality should increase the roles of people during the city council forums and should motivate them more while increase the roles of the municipal council members to mediate the municipal executives with people with projects preparation and other problems. In addition, the state agencies are required to change policies and criteria of

awarding good governance to the local government especially the award of reinforcing citizen sector to add the criteria of PB, amount of budget distributed to projects and activities proposed by people and the expectation of citizen participation process. That is the confidence to the political process in the local governance.

Abers (1997) studies "The Distinct Attempt of Porto Alegre, Brazil Allowing People to Monitor Its Municipal Spending". Through the forums since 1989 the government led by the Labor Party to apply PB. Each year it is found that people in their communities involve in the forum and prioritization including elect their representative to participate in the forums on how to spend for improving routes, drainages and other things. In 1997, over 14,000 participants with almost 1,000 representatives work in the forum and in the council year round. Majority of participants are the poor and the labor class who have prior experiences in marshalling their communities. This investigation has been spent for almost two years and the findings reflect PB challenges the conventional politics full of dramatically patronage system and cronyism. Motivating is astonishingly extending disciplines in the diabolic cities in Porto Alegre. The problem of participation in Porto Alegre are (1) the state council cannot be enacted or participatory policy because insiders and outsiders prevalently resist empowering people, which leads to the problem of taking action. (2) Even it is wide opened and stages for people involvement but the poor and least participate because of costly expenses for them and this is the problem of equality. (3) Though there are exemptions for some groups who have ever been previously discriminated to participate but this is just a method of citizen control rather than people empowerment and this is another problem of collaboration.

Sintomer et al (2008) study "Application of Participatory Budgeting in European Countries." This is far different from Brazil its origin because in Porto Alegre, Brazil prepares PB as a new approach to clearly emerge democratic governance and social justice, when it is applied in many countries in Europe, where democracy prevails. Therefore, it is necessary to adapt the approach and the procedure to meet the areal context. Participation in Europe gains benefits in terms of managing funds at the local community level and the city level, negotiation between the public sector and private sector, and financial consultation between the public sector and neighboring communities. All these differences are influenced by political traditions,

which exists participation and democracy. Until today, the rise of PB comes from the leftist politicians and not just in the countries in the southern hemisphere (Chavez and Goldfrank, 2004). There are also many countries in Europe like France, Italy, Spain and Portugal. However, the rise of PB in Europe is yet to be achieved as the politicians and activists have expected. Nevertheless, many countries with evident legal process (Spain and Italy) learning together with the civil society and the local executives until it significantly leads to good results.

Therefore, PB in Europe acquires different results from Porto Alegre in Brazil. The important thing is new creative participation has been developed more than political and social dimensions in the European PB and it looks the most interested attributes compared to the countries in the Latin America. Generally, the processes possibly integrated with the existing conventional participation might lead to more results than not having any links. The issue is how to balance between the conventional budgeting process and PB. This is the situation of dilemma and the reasons why there are many approaches to develop democratic politics to be more democratic in Europe. It depends on situations involved and it is not a rose road leading to royal road. Other scholars contend that it is time to reject “black and white” analysis which ever be influential in the past (Chavez and Goldfrank, 2004: 6). PB might be efficient for better achievement in democracy, social justice and transparent administration. However, that is not just an achievement of the government only; it still depends on political freedom and the local government finance.

The UK development is rather interesting case – the community organization and the local government announces recently that the local agencies should design a 5-year PB plan with the consciousness of the community funds. A question is what will happen if this thing is true. PB is a tool in the new workforce forum or it will lead a basic change in the relationships between the local people and the city government including among the local agencies and the central administration. Then where is the real balance of the power in the city policy? In future, it will be wide-opened and is not relying on the political motive of the government at the national and the local levels, only.

As of the impacts on PB, they are different in each model and relying on the specific economic, social and political contexts. It is found from the research that the European PB brings more transparency. However, just only transparency is

inadequate to control the city finance. Besides transparency, it also needs another four (4) modern administration model, i.e. (1) the improvements of public service as being proposed by people, (2) the good collaborations between the state administrative agencies, (3) having better internal administration, and (4) better responsiveness. It is seen that the success of PB will link with modern administration. In addition, PB also create communication between people and the local political classes and is expected that voters will exercise their rights of vote more to support PB or in other words the increase of voting comes from the participation the local government accepts in general. PB might result good things to culture and the political ability of the forum participants an some time it lead to better coordination of the civil society especially, in the case of long period of meeting rather than organizing meeting just once a year. However, it is seen that the municipality unlikely proposes the recommendation of people as guide to conduct the final decision-making and this is the real impact to politics in Europe, which is different from Port Alegre in Brazil.

Saturninus Kasozi- Mulindwa (2013) studies, "The Process and Outcome of Participatory Budgeting in a Decentralized Government Framework: A case in Uganda" and he finds that Uganda has applied NPM (new public management) to reform its bureaucracy. It is similar with the developed and developing countries, which see that NPM will leverage the administrative efficiency, raising responsibility, transparency, involvement and justice without corruption in the bureaucrat agencies. In addition, the concept of NPM also involves decentralization of decision-making to people at the lower levels and sees that it will thrive to raise PB. Weerasak Kruethep (2010) views that PB is differed from the NPM due to both concepts significantly involve two different basic philosophies. NPM prioritizes the efficiency of practices, the worth of expenses or value of money, empowerment on freedom of expert discretion, administration with consciousness of political neutrality and seeing that people are clients waiting for services. As such, NPM unlikely prioritizes political-citizen responsiveness, seeing not people as important partners in brainstorming, co-decision-making and citizen partnership and not conscious on public policymaking as political representativeness like PB.

On the contrary, the results of the study on applying PB in Uganda reveal that it is unlikely successful because there is a matter of power relatedness which interfere PB and the Ugandan local government cannot adequately collect taxes and

more. The Ugandans lack knowledge, skills and experiences in public financial management. It is corresponded with the work of Weerasak Kruethep (2010) who finds that citizen PB is still unsatisfactory. The voice of the needs of people is dropped along the way and participants are not diverse. Therefore how can the political institution be established and how can finance be restructured for people to access more?

Sandra Drouault (2008) studies “Participatory Budgeting: a developing country process? A comparative analysis of the experiences of PB in Brazil, France and Spain.” The objectives are not only to analyze the new models of citizen participation in the policymaking on budgeting – PB not only in three countries: Brazil, France and Spain but also to study the relevancy of the empirical PB theory. As such, due to PB has been endorsed by UN as the “best practice” of the government decision-making. In addition, in the world congress, PB motivates many Latin American and European countries to rethink about citizen participation. However, there are responses to a rising question on the approach to apply PB in other countries especially in the developed countries. Therefore, the course of the study posits the research questions of, “Regardless PB is a standard process, is it successful in other contexts? Will the local adapt PB for more appropriate? The objectives of the study are (1) it is to audit PB in two cities of Brazil, of France and of Spain. (2) it is to estimate success, problems and limitation of PB in those six cities. (3) It is to compare outcomes and the PB process in these cities. (4) It is to specify major variables in the context and the process influencing the PB outcomes. (5) It is to analyze the PB principles; and (6) it is to check the analysis the deliberative theory to understand PB.

The results display that the growing dissatisfaction and faithlessness in the modern democracy affect the recovery of the deliberative democracy. For example, there are the PB experiments to be the common decision-making process through people and the local government in their new public investments in their cities; on the contrary, the Brazilian PB experiments in Brazil are not yet prevailed in Europe. Therefore, this research attempts to bridge the gap of the literature related to the nature of PB and its application in the developed countries especially in Spain and in France. This study is thus comparing the experiences of various cities in France, Spain and Brazil. It is found that the analytical comparison of the variable context is important to

its process. Therefore, PB can be adapted to meet the different context through changing variables in some processes. However, we must retain the principles, which are the five PB essences and this study is still link between PB and the deliberative theory to be the deep data for investigating other parts.

Budgeting Comes to America – this research finds that PB in USA has been recently initiated in 2009 at Zone 49 Chicago. When it is successful, other cities have PB experimented such as in Buffalo, New York where people vote to use income of fines charged from those who violate the law of environment to build something in their communities. The researcher asserts that PB in New York gain better results its conventional budgeting ever used and it is a method participants understand that they are the citizens in the constituency to elect senators, leaders of civil society and the stakeholder. However, there are critical challenges against PB that the expenses are expensive. Nevertheless, the researcher entitles the assessment criteria of “Citizenly Politics’ aiming at (1) designing participation, (2) deliberative, (3) participation, and (4) being latent institution. PB does not only furnish tangible outcomes but also provides abstract such as citizens having more knowledge, better relationship with the authorities and communities. In general, PB is a democratic innovation reinforcing citizen participation in USA.

A study of Hollie Russon Gilman on “Participatory Budgeting Process”, it is the first project in Chicago: USA in 2009. It is a deep study to apply PB policy. The assessment shows that it is so successful especially when comparing with the conventional budgeting in New York where previously it uses top-down budgeting with the new system of PB which is the bottom-up budgeting. People feel that they are the stakeholder citizens who have opportunity to posit their opinion and decision-making on public services but the challenge of participation is likely the expensive expenses.

Ana Paula Pimentel Walker (2013) studies, “Face-to-Face Citizenship: the Effects, Ethics, and Aesthetics of Participatory Budgeting in Porto Alegre, Brazil.” It reflects the laboratory of participatory democratic governance in Brazil, especially in Porto Alegre, which is the symbol of the grassroots in the globalization era because it conducts PB. For the world congress, the Porto Alegre-based PB has changed the power of distribution on income from the city municipality to people. There are more

than 3,000 municipalities worldwide have experimented PB applications. This research studies sustainable development of the political institution in the city originated PB under the situations make PB successful and to respond the above questions. Ana Paula Pimentel Walker analyzes PB of Porto Alegre for the past 20 years to check the changes of municipal performance and the political parties in power through reviewing minutes on previous PB and the budget petitions submitted to the forum, collecting narration and survey the forum participants on PB budgeting . The researcher conducts participatory observations and filed works for 18 months with the grassroots organizations participated in the PB process.

From the theoretical concept reviews on literatures and related researches, it is possible to conclude to be as guides for investigation as in the chart below. There are theoretical concept as the external elements and the basic concept taking the important part to citizen participation, which are the concepts of direct democracy, deliberative democracy and active citizen. These concepts affect the decentralization policy, participation and PB. The budget of the local administration organization and the promotion of PB have been investigated and finally it gains PB of the Thai local administration organization as in the following chart.

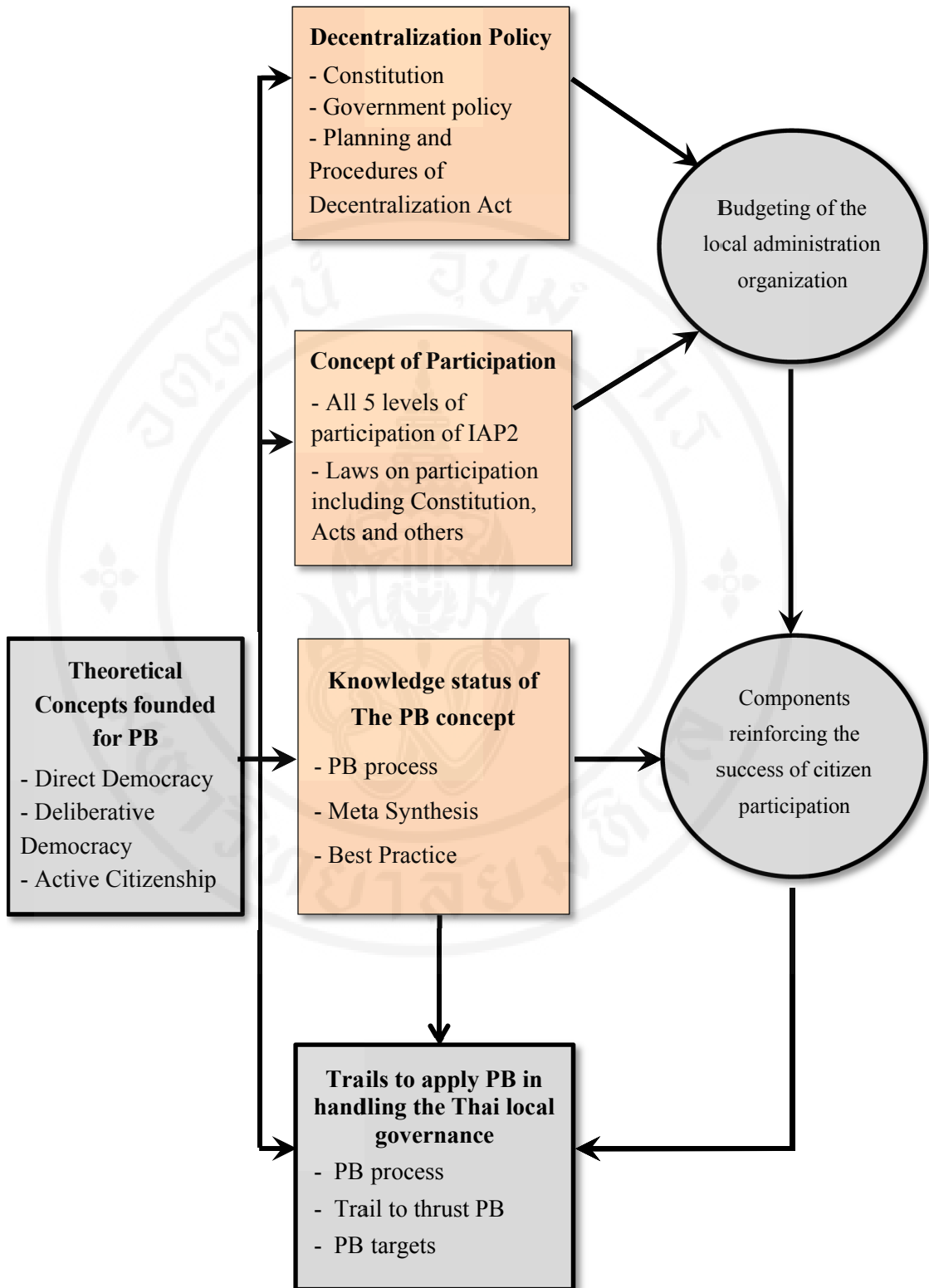


Figure 2.4 Trail of the study

## **CHAPTER III**

### **RESEARCH METHODOLOGY**

Disserting the “Participatory Budgeting Concept Applied in the Thai Local Governance”, was a qualitative research. Its data collection was through meta-synthesis, documentary and field researches with following procedures-the methodology, the research instrument, the test of instrument, the data analysis, results reliability test and summary.

#### **3.1 Methodology**

3.1.1 Meta-synthesis has been applied to respond to the first objective on the knowledge premises of the participatory budgeting, through meta-synthesis with the following procedures.

**Procedure I:** it is to specify the concept of meta-synthesis on the qualitative research related to the participatory budgeting through exploring documents, concepts, theories, textbooks, research papers, articles, theses and dissertations involving the participatory budgeting considering the research objectives, research methodology, research results and so on which enable to formulate and approach in order to apply preparing budget of the Thai local governance.

**Procedure II:** in selecting the research papers for meta-synthesis; they would be collected from domestic and foreign papers, surveying theses and dissertations on the topic of participatory budgeting, public participation in preparing budget, and deliberative democracy by probing from e-database from Mahidol University Library. In addition the researcher explored other research papers related to participatory budgeting of the reliable international organizations such as the World Bank, the Asian Development Bank (ADB) or other organizations conducting research works and evaluating this matter. There are 15 research works for this meta-synthesis as showed in table 3.1.

**Table 3.1 List of research papers/ these/ dissertations for meta-synthesis**

| No  | Author                     |      | Title  | University                          |
|-----|----------------------------|------|--|-------------------------------------|
| 1.  | Hamilton, Molly E.         | 2014 | Is Participatory Democracy the Answer? : <b>Participatory Budgeting</b> and Development in Brazilian Municipalities                            | University of California, San Diego |
| 2.  | Anna Forkovocova           | 2013 | Understanding <b>Participatory Budgeting</b> : Lesson learn from Bratislava  | Central European University         |
| 3.  | Saturninus Kasozi-Mulindwa | 2013 | The Process and outcomes of <b>Participatory Budgeting</b> in a decentralized local government framework: A case in Uganda                     | University of Birmingham            |
| 4.  | Allison Blythe Hurlbut     | 2012 | Piloting <b>Participatory Budgeting</b> : an Examination of Social Capital, Well-Being, and Public Good Provision in New York City             | Columbia University                 |
| 5.  | Moliehi Leduka             | 2009 | <b>Participatory Budgeting</b> in the south African local government context: the case of the Mantsopa Local Municipality, free state province | Stellenbosch University             |
| 6.  | Jyldyz T. Kasymova         | 2013 | Reforming local government in developing countries: Implementation of a <b>Participatory Budgeting</b> process in Kyrgyzstan                   | University of New Jersey            |
| 7.  | Sandra Drouault            | 2008 | <b>Participatory Budgeting</b> : a developing country process? A comparative analysis of the experiences of PB in Brazil, France and Spain.    | The University of Sydney            |
| 8.  | Hollie Russon Gilman       | 2012 | Transformative Deliberations: <b>Participatory Budgeting</b> in the United States  | Harvard University                  |
| 9.  | Marie Claire Vasquez Durán | 2014 | <b>Participatory Budgeting</b> in the Dominican Republic: Implications for Agency, Democracy and Development                                   | University of Maryland              |
| 10. | David Wynn Davies          | 2011 | <b>Participatory budgeting</b> : Is it 'doorstep democracy' and does it liberate collective wisdom?  | University of Chester               |

**Table 3.1 List of research papers/ these/ dissertations for meta-synthesis (cont.)**

| No  | Author                         |      | Title  | University                                |
|-----|--------------------------------|------|--|---|
| 11. | Hadyn Lindsey<br>Kihm          | 2010 | <b>Participatory Budgeting</b> in Córdoba:<br>a Policy Approach to Strengthening<br>Democracy in Latin America                                       | The University<br>of Texas at<br>Austin   |
| 12. | Brandon Kent<br>Chapin         | 2013 | From the Ashes of Bankruptcy:<br>an Assessment of the Collaborative<br>Properties of the city of Vallejo's<br><b>Participatory Budgeting</b> Project | California State<br>University            |
| 13. | Thomas William<br>Daniel Cohen | 2012 | Bringing Climate Change into<br><b>Participatory Budgeting</b> : A good idea at<br>the wrong time?   | University<br>College London              |
| 14. | Ana Paula<br>Pimentel Walker   | 2013 | Face-to-Face Citizenship: the Effects,<br>Ethics, and Aesthetics of <b>Participatory<br/>Budgeting</b> in Porto Alegre, Brazil                       | University of<br>California, San<br>Diego |
| 15. | Matthew Ryan                   | 2014 | Advancing Comparison of Democratic<br>Innovations A medium-N Fuzzy-set<br>Qualitative Comparative Analysis of into<br><b>Participatory Budgeting</b> | University of<br>Southampton              |

**Procedure III:** the synthesis of research papers by using meta-study is synthesizing the qualitative research related to preparatory budgeting based on Finfgeld approach (2003). It is a meta-study which is a model to synthesize the qualitative research comprising three procedures, i.e. meta-data analysis, meta-method and meta-theory. All information has then been synthesized in order to gain overview. This research would lead to know how methods, processes and procedures of the participatory budgeting are useful to the budgetary governance of the local government organization (LGO) and other organizations which apply it. Also, it reveals what participatory budgeting factors affect the success and failures by practices.

**Procedure IV:** it is the conclusion of the findings from synthesizing research papers which includes knowledge, methodology and theories used in researches. The common agreed and disagreed issues have been presented and recommend the model and the process of participatory budgeting to be applies in the Thai LGO.

### 3.1.2 The Documentary Research

1) Legal documents, regulation and rules were the Constitution of the Kingdom of Thailand BE 2540 (1997) and BE 2550 (2007); Determining Plans and Process of Decentralization to the Local Government Organization Act BE 2542 (1999); the Provincial Administration Act BE 2540 (1997); the Municipality Act BE 2496 (1953) and Amendment; the Tambol Council and the Tambol Administration Act BE 2537 (1994) and Amendment; Laws of Administration of the Land; Laws of other Local Government Areas; the Announcement of the Decentralization Commission; and Announcement Paper of the Local Government Organization related.

2) Non-legal documents involves research reports, book, articles, journals and website data related to the participatory budgeting of the local governance both in Thai and foreign languages in both the primary and secondary sources which bring all benefits.

3) It needs to analyze concepts, and theories related to the foundation of the concept on participatory budgeting, learning lessons from countries adopt it and have met either successes or failures in order to investigate its factors facilitating the efficient governance of the participatory budgeting. And this is to witness why Thailand should embrace this concept to be applied in the local governance.

### 3.1.3 The Field Research

1) The non-participatory observation – it is an indirect academic watching the key-informant group on their behavior during their participation in order to collect data which the researcher cannot directly collect from them.

2) The in-depth interview – this approach uses an interview format as a tool in its data collection. The informant contains open-ended questions to be conducted with 32 local key informants who are the local administrators, the local council members, the permanent secretary of the local government organization and the Director of Finance Division, the personnel of the local government organization of Mae Hong Son province, Civil-citizen sector, private groups, scholars, the personnel of the Office of the Decentralization to the Local Government Organization Committee (ODLOC), the personnel from Department of Local Government Promotion. The randomized sample has declined the non-probability selection sampling but applied a purposive sampling.

There are five local government organizations where the in-depth interviews were conducted. They were 1) the Provincial Administration Organization of Mae Hong Son Province, 2) the Muang Municipality of Khao Sam Yod, Lopburi Province, 3) the Tambol Municipality of Tambol Kho Kha, Lampang Province, 4) the Tambol Administration of Tambol Suan Mon, Khon Khaen Province, and 5) the Nakhon Municipality of Khon Khaen, Khon Khaen Province.

The selection criteria of the local government organization are based on awards, i.e. the golden award from the King Phrajadhipok Institute and/or awards of good governance of the local government organization from the Office of the Prime Minister for at least three years and they are constructively steered by citizens.

**Table 3.2 Criteria in selecting the local government organization for investigation**

| The Local Government Organizations                                     | Selection Criteria           |                                 |               |                   |
|--|------------------------------|---------------------------------|---------------|-------------------|
|  | King Prajadhipok Inst. Award | Awards of Local Good Governance | Citizen Vigor | Scholarly Studies |
| 1) the Provincial Administration Organization of Mae Hong Son Province | ✓                            | ✓                               | ✓             | ✓                 |
| 2) the Nakhon Municipality of Khon Khaen, Khon Khaen Province.         | ✓                            | ✓                               | ✓             | ✓                 |
| 3) the Muang Municipality of Khao Sam Yod, Lopburi Province,           | ✓                            | ✓                               | ✓             | ✓                 |
| 4) the Tambol Municipality of Tambol Kho Kha, Lampang Province         | ✓                            | ✓                               | ✓             | ✓                 |
| 5) the Tambol Administration of Tambol Suan Mon, Khon Khaen Province   | ✓                            | ✓                               | ✓             | ✓                 |

**Table 3.3 List of in-depth interviewees**

| Agencies                               | Interviewees  | Types     | No. | Selection Criteria/positions   |
|--|---|-----------|-----|--|
| <b>Central Administrative Agencies</b> |   |           |     |  |
| ODLOC                                  | Committee Directors, specialists on Administration of the Land, on Local Development, or Local governance | Officials | 5   | - Specify approaches and decentralization policy to LGO (local government organization)<br>- specify approaches and budgeting mechanism to LGO |

**Table 3.3 List of in-depth interviewees (cont.)**

| Agencies   | Interviewees                                 | Types  | No.       | Selection Criteria/positions  |
|--|--|--|-----------|---|
| Dept. of LGOP<br>(Local Government<br>Organization Promotion)  | Director of Budget<br>Bureau                 | Officials  | 3         | - Operative of the<br>local budgeting<br>- Being the problem<br>recognizer and solve<br>the LGO budgeting   |
| Educational institutions   | Scholars/ specialists                        | Scholars / Specialists   | 4         | - who study and<br>investigate on LGO<br>finance and budgeting<br>- who are equipped with<br>knowledge, specialization<br>and interested in the LGO<br>finance and budgeting<br>with constructive<br>performances e.g. books,<br>textbook and research<br>papers and so on. |
| <b>Local Government Agencies (LGO)</b>   |  |  |           |   |
| LGOs<br>1) The Provincial<br>Administration Organization<br>of Mae Hong Son Province<br>2) The Nakhon Municipality<br>of Khon Khaen, Khon Khaen<br>Province<br>3) The Muang Municipality<br>of Khao Sam Yod, Lopburi<br>Province,<br>4) The Tambol Municipality<br>of Tambol Kho Kha,<br>Lampang Province<br>5) The Tambol<br>Administration of Tambol<br>Suan Mon, Khon Khaen<br>Province | -Local<br>administrators<br>-Local officials | -Local politicians/ LGO<br>administrators/representatives,<br>local council members, LGO<br>permanent secretary, Director<br>of Finance Division | 20        | - Playing the role on<br>policymaking and<br>LGO budgeting<br>management<br>- Applier of LGO<br>budgeting policy<br>- applier duties by<br>process and<br>procedures of the<br>LGO budgeting  |
| <b>TOTAL</b>   |  |  | <b>32</b> |   |

3) The Focus Group – the researcher specifies 24 focus group members through purposive selection and not through non-probability selection sampling. They involve people who hold election rights and are the stakeholders in the LGO budgeting while living in the LGO locality of data collection. They are from 1) The Provincial Administration Organization of Mae Hong Son Province; 2) The Nakhon Municipality of Khon Khaen, Khon Khaen Province; 3) The Muang Municipality of Khao Sam Yod, Lopburi Province; 4) The Tambol Municipality of Tambol Kho Kha, Lampang Province; and 5) The Tambol Administration of Tambol Suan Mon, Khon Khaen Province.

## **3.2 Research Instrument**

### **3.2.1 Interview instrument**

The qualitative instrument in this research is the in-depth interview divided into Semi-Structured Interview conducted with the key-informants. They are the LGO administrators, the LGO council members, and the LGO personnel, the personnel or civil servants of other agencies involved through using opened-ended question and it is divided into five parts as below.

Part I: Personal data of the interviewees

Part II: Information of participation in the LGO budgeting

Part III: Information of the LGO readiness to apply the participatory budgeting

Part IV: Information of methodology and processes in applying the participatory budgeting

Part V: Recommendations on managing the participatory budgeting

## **3.3 Test of the Research Instruments**

The interview format used in this qualitative research has been gathered from analyzing documents and related researches. It has been submitted to her advisor and three experts to check its content validity and it was improved for further data collection.

### 3.4 Data Analysis

The researcher analyzes data and learns along with the data collection according to the principles of a qualitative research under the procedures of meta-synthesis, documentary study, and in-depth interview. The data analysis, researcher has planned to collect data by disassembling, coding, and then sorting and sifting, as following five steps:

Step 1: Familiarizing, identifying a thematic framework

Step 2: Referring the process of categorizing verbal or behavioral data to classify

Step 3: Using on category to developing and applying code

Step 4: Identifying themes and relationships

Step 5: Conclusion and summarize the data

The research can use data gained to be used as guide in analyzing through forming analytic induction as being explained by Phichit Phitaktheptsombat (2007:45) that forming induction is to form a proposal or the deliberation through logics of the researcher herself to summarize them into a premise as known or something realizing that they are true which is founded on observations or specifically by fact. It is corresponded with Suphang Janthawanich (1997:131-132) who explains that formulating the conclusion of the induction is a methodology of the qualitative research emphasizing general conclusion to display their links between more than two variables using the case or the data source of a specific number as main and generalize truth from the specific ones from the sets of data. This is to appropriate data from interviews to link with concepts, theories and related researches to respond to the targeted objectives.

The results of this qualitative research will be appropriated to study and analyze the participatory budgeting management, elements reinforcing the role of people to participate in the Thai LGO participatory budgeting, and recommend approaches to apply the participatory budgeting in the Thai LGO. Consequently, the process of this research is to attempt to respond with logical induction in order to conclude its overview and premises (Joomphol Nimphanich, 2007:395-404).

### **3.5 Results Reliability Test**

Testing the reliability of the results derived from the qualitative data analysis is much imperative. Therefore, after gaining the conclusion it needs to check their validity, accuracy and reliability through intrinsic and extrinsic checks (Chai Bhodhisita, 2011:369-372) as follows.

1) The intrinsic checks are to test the quality of the data sources—to what extent the population and the sites are appropriate with the title and the research questions, including the researcher has been in the sites long enough to ensure the data is right and reliable or not. As of data analysis besides the appropriate analysis methodology and the procedures by principles; it should respond to the question to what extent the findings and the conclusion own solid supportive evidences and attractive to agree with.

2) The extrinsic checks have been processed by the researcher with a) submit the results for peer and scholar reviews equipped with knowledge and expertise of participatory budgeting for their feedback and feedforward; b) conduct playback method to gain feedback and recommendation and to check whether the premises the research has made are valid in their views,

3) Embracing the triangulation to check the premises and their interpretations which involve checking all data sources of the same matter to find their difference and similarity of their data analyses, the method of data collection, the documentary analysis, the synthesis method, the method of in-depth interview, their focus group, their non-participatory observation including checking the similar data from the different theories.

### 3.6 Summary

The procedures of the research methodology are summarized as below.

| Research Procedures  | Instruments/Methods/Approaches  | Research Results   |
|--|---|--|
| 1) To synthesize the premises of knowledge on the participatory budgeting  | - Meta Synthesis  | - Recognize the knowledge premises of the participatory budgeting  |
| 2) To investigate elements reinforcing the success of people participation in the participatory budgeting of the Thai local governance | - Explore documents, related researches, textbooks, laws, rules and regulation related<br>- Interview the local administrators, scholars of local finance and individuals involved                                    | - Recognize elements reinforcing the success of people participation in the participatory budgeting of the Thai local governance   |
| 3) To recommend approaches appropriating the concept of the participatory budgeting to be implemented in Thai local governance.        | - Results of the Meta Synthesis<br>- Explore documents, related researches, textbooks, laws, rules and regulation related<br>- Interview the local administrators, scholars of local finance and individuals involved | - Approaches appropriating the concept of the participatory budgeting to be implemented in organizing the Thai local governance.   |
| 4) To specify the conceptual framework   | - The knowledge of participatory budgeting<br>- Results of investigating problems and barriers on participatory budgeting   | - Conceptual framework   |
| 5) To formulate the research instruments   | - Formulate instrument coherent to the conceptual framework and the research indicators   | - Lessons learnt from meta-synthesis<br>- Interview format<br>- Focus group  |
| 6) To conduct the field research and data collection   | - Interview format<br>- Focus group<br>- Data analysis conducted with the interview data and data from non-participatory observations   | - All dimensions of the LGO public participation<br>- Procedures/processes of the LGO budgeting<br>- Problems and barriers in budgeting<br>- Elements or approaches in the LGO participatory budgeting |

## **CHAPTER IV**

### **THE KNOWLEDGE PREMISES OF PARTICIPATORY BUDGETING**

Disserting the “Participatory Budgeting Concept Applied in the Thai Local Governance” is a qualitative study. This chapter will respond to the First Research Objective: to synthesize the premises of knowledge on the participatory budgeting. The researcher has explored 15 dissertations and theses from renowned educational institutions worldwide from e-database in the library of Mahidol University as shown below.

#### **4.1 The Knowledge Premises of Participatory Budgeting**

**4.1.1 Hamilton, Molly E. (2014). Is Participatory Democracy the Answer?: Participatory Budgeting (PB) and Development in Brazilian Municipalities: University of California, San Diego**

**4.1.1.1 Problems and objectives leading to the investigation –** from the tests of participatory democracy currently conducted around the world; the citizen/public participation and the NGOs seem to please with this process. 85% of respondents in Porto Alegre, Brazil admit that participatory budgeting (PB) improve their quality of their urban life. Consequently, World Banks and other organizations enthusiastically promote PB. But, it is still unclear that this method will improve the quality of life regardless it comes from popularity in seeing its constructive consequences or generally believing that it is a participation desired by public.

PB is a model of participatory democracy where public selects the way to spend the municipal money rather than to be the local council members or Mayor during 1989-2008. PB has been applied in 227 out of 562 municipalities in Brazil where there are more than 50,000 residents. PB is part of decentralization from the central administration into the municipal level established according to urbanization the democracy during the end of 19810 to early 1990 and it is embraced

to meet the needs of people within two issues, i.e. improving public services especially with the deprived people and it is to offer opportunity for people to participate in the decision-making. The first need comes from the failure of development – the government does not provide basic necessary services for people until leading to more growth. The second need seeable is the consequences on the failure of democracy which people do not feel there are proper representatives in this existing system.

Therefore, in this dissertation, the researcher aims to test the intrinsic motivation theory compared with the instrumental motivation theory with regards to PB in the Brazilian municipalities in order to recommend that instrumental interests are inadequate to be the PB consequences. In addition, applying a quantitative measure to test the impacts over PB in the forms of expenses, organizing public service, and human welfare; their differences are classified in economic dimension in order to solve the problems of error which have relationship with the independent variables of applying PB.

**4.1.1.2 Concepts and theories for the investigation** – the literature reviews in this dissertation begin with reviews the comparison between the intrinsic motivation theories or the real motivation with the instrumental motivation theories, which are the foundation of the election theories. Also, the researcher investigates the backdrops of the instrumental interests in PB, which is founded upon the literatures of decentralization and to propose the conceptual background of PB in Brazil.

**4.1.1.3 Data and research methodology** – they are integrated during the objective data survey conducted with the Brazilian municipalities from 1989-2008 and form the survey worldwide. The second part applies with quantitative research to test the instrumental impacts against PB in the budgetary disbursement plan through surveys conducted with 562 samples residing in the Brazilian municipalities with more than 50,000 populations.

**4.1.1.4 The research results** – the results have been described in Chapter III of this dissertation that the writer analyzes impacts of PB in the form of expenses and it is found that it involves with the increase in the statistical significance with the health and sanitation expenses while the decrease in the statistical significance with education and culture, and the neutrality is likely little positive in the

spending for residence and livelihood. Rationally, the health and sanitation expenses are spent in the area of the “deprived”. It could be concluded that PB is successful in the least part of the target of alleviating poverty and increasing public service. However, the consequences are evident that the increased expenses in the area do not mean the service is improved and it is uncertain that public welfare will be apparently improved though it may be the imperative conditions. However, they are inadequate.

In addition, the writer has tested the PB impacts in overall but distinguishing about education, health and income and minor positive evidences are found as expected in PB effects where welfare has been better improved during the time of the studies. However, it is not just restricted around municipalities which use PB; therefore, it cannot be interpreted that it comes from PB. The neutral and negative research results about the PB welfare performance are coincided with the municipal service organizing.

By overview, this results point out that even if PB were successful to assemble the alienated people from the previous decision-making process; it would be less successful than the instrumental benefits. This is the problem if the instrumental benefits were the primary PB target; but the research results showed that people value the intrinsic benefits of participation. This shows that it is the PB supportive reasons even the results are constructively found.

**4.1.1.5 The future researches** should be 1) similarly surveyed in other municipalities in appropriating PB in Brazil and other countries. 2) As of the recommendation to alternate the place for studies; the future ones should have additional variables and/or better appropriate operationalization and consistently trailing PB rather than dividing it just for two (2) variables.

#### **4.1.2 Anna Forkovovova. (2013). Understanding Participatory Budgeting (PB): Lesson learnt from Bratislava: Central European University**

**4.1.2.1 Problems and the research objectives** – PB is an innovation happens and tends to spread worldwide. Many international organizations, either UN or World Bank or IMF declare PB is one of their objectives. It is found today that more than 1,400 agencies worldwide apply PB. The Slovakian proposal on PB fulfills the lost gap. The researcher divides the studies into the theoretical part on

the positive innovation of democracy in order to reduce deficit which uses Fung (2005)'s based the four (4) procedures of the concept deficit of democracy, i.e., first, the information and deliberation deficit is a part of PB enabling to increase knowledge and data of people in some issues. Second, in the problem of participation in representative democracy, the candidates of the political party is the favoritism of the legitimate voters but a problem is the frequency and the nature of election and mostly, election round takes every 4-5 years, during which voters may express their needs. Third, Deficit is to proposing low level of transparency and responsibility. Fourth, the deficit of the ability to defeat all players related in decisionmaking or the necessity of the policymakers owning information from diverse players.

**4.1.2.2 Literature Reviews** – the researcher applies the Fung–based deficit democracy with its four deficits explaining with the deliberative innovation or innovative democracy and PB. It begins with the investigation PB at Porto Alegre to EU PB focusing on the Slovakian model.

**4.1.2.3 Research Methodology** – the researcher implements the PB through searching the empirical data from Bratislava the capital of Slovakia through using the secondary data and interviews.

**4.1.2.4 The Research Results** – The empirical investigation can expand the theoretical perspective about democratic deficit with four models. The researcher confirms that PB can reduce deficit. With the evaluation in Slovakia in relation with this theory, first the deficit democracy links to the knowledge of people and the emerging of the public needs. The discussion reveals that the rise of the ability in discretion known from the researches and in the case of the Slovak only. However, it cannot indicate the rise of skills of each one or the sense of having the increase of power. Second, the infertile democracies risen from election especially fewer people exercise their election rights and the shortage of the tools to access the needs of people during election. In the case of Slovak, PB proposes the participatory community for the young and the aged who are regularly meeting. However, the need context is unlikely difficult to inform about the matter with scope and impact at large in PB under the participatory culture. The third deficit is the shortage of transparency in Bratislava earns higher scores after PB has been applied though unapparent. Finally, the democratic deficit related to the consequences of the policy that sometimes might

be useless for all those involved; the Slovakian PB attempts to collect impacts of all the players and communities to promote citizen/public participation in PB.

Results from secondary data and interviews conducted with the authority and some involvers show that the case of Bratislava is identical in the Europe context and the world, which is different from other case studies in Europe and in Latin America. The PB process in Bratislava does not begin from politicians or the local players but the civil sector and it is very awesome that the civil vigor is successful in the utopia which is successful in the start of using PB. The utopian civil sector is the start of the grass-roots in the PB application in the cities of Slovak, Bratislava and Ruzomberok. The successful PB in Bratislava is handing new tools for public participations like vote online, opinion through questionnaire and deliberative until being the community members and involvement. The community becomes the fundamental unit for PB.

#### **4.1.3 Saturninu Kasozi – Mulindwa. (2013). The Process and outcomes of Participatory Budgeting (PB) in a decentralized local government framework: A case in Uganda: University of Birmingham**

**4.1.3.1 Problems of the study** – PB concept is world widely interested but recent studies have not been seriously analyzed on the qualification design which is the PB foundation. It influences the desired consequences. Designs and methods in the local context affect the outcomes, which are not theoretically explained. Uganda has reformed all its public sectors under the supranational advice and referred to as “success” of the state reforms by these agencies. Uganda has applied decentralization since 1997 with a system of local governance to display the time is ripe for latency reforms. Thus there is a question whether PB has its own intrinsic target or a way to respond to the needs and the expectation of its participants. Also, there are some empirical evidences proving PB benefits for the local participants are unapparent. It thus leads to diverse expectations among people in the community. Consequently, it demands to consider whether the outcomes of the citizen/public participation are acceptable and free from the surplus expenses in these processes.

Since 1980s, different countries in Africa have applied their national reforms with the helps form international organizations. It is certain that PB is an option in their national reforms either in the developed or developing countries.

From previous literatures, it is found that PB has been applied with municipalities and cities. It is therefore necessary to investigate its application in each place whether its success is similar or dissimilar. In this dissertation, the researcher has appropriated the NPM (new public management)-based state reform because it might leverage efficiency and effectiveness of transferring the state services and it also assert that the NPM-based national reform affects corruption and nepotism. However, it also needs to be adjusted to meet each area.

**4.1.3.2 The Research Objectives** are 1) to survey PB in the national decentralization in the developed countries focusing on process and outcomes; 2) to test factors helping promotion or demotion citizen/public participation in budgeting; 3) to test relationship of people in the process of budgeting whether the desire target and outcomes are achieved; and 4) to recommend in the policy how PB enables to support benefits to the local communities especially to the poor.

**4.1.3.3 The Research Methodology** – this is a qualitative dissertation and a design of a case study conducted in Uganda.

**4.1.3.4 The Applied Theory** – it is based on the budgetary concept and budgeting through informing types of budget such as additional budget, performance-based budget, zero-based budget and projecting budget and so on. In addition, it includes the concept of citizen/public participation and the experiences of applying PB in the developed countries.

**4.1.3.5 The Research Results** – these are the objective-based four results, i.e.

1) The Ugandan PB in the national decentralization in the developed countries focusing on process and outcomes; it is evidently found that just the technical officers in major positions who implement participate in PB and influences the resource allocation. The involvement of the political leaders is restricted just for their personal gains and allocating petty things to the common people whom they represent. It contradicts the literatures that Uganda is successful in applying PB. The findings from case studies reveal that budgeting in Uganda is just ritual and calls it “consultant” might be better than calling it “participation”. The researchers mention that it is corresponded with the works of Kisakye (1993) that the political leaders in Africa will decide for their own gains. They never select people first as claim. It thus

concludes that Budgeting in Uganda is deliberative budgeting rather than participatory budgeting (PB).

2) Designing the appropriate process and the mechanism for participation on how citizen/public participation becomes efficient. The research results are coherent with the literature that designing the appropriate process and the mechanism for citizen/public participation has been well crafted to function the democratic societies in their village meeting, and budgetary meeting mechanized with public participation. The investigation further finds that the mechanism of citizen/public participation is not adjusted to be worth to the local environment, values and social norms. The design of the process and mechanism of the needs in participating in finance is effectively functioned. There is an assumption on the design and mechanism is that the technical personnel in the developing countries are transparent and responsible. The results of the research the technical personnel are not transparent and irresponsible and negatively affecting the citizen/public participation in the budgeting process. However, the thought that the bureaucrats cannot coordinate the interests of the common people might be uncertain. For example, the technical authority of the Wamala local government commit themselves more with the common people than the political leaders who seek gains in their own economic hidden agendas, only.

3) What factors efficiently influence public participation? The study shows that factors positively influences PB in decentralization are (1) the grass-root democratic organization – the village council, (2) the readiness of the financial resources to support their participatory process and responsive to their needs and their expectations crafted by participants, (3) the readiness of time, trustworthiness and the understanding of data, (4) the quality of the participants in terms of their knowledge and their skills in organizing public affairs, (5) the subsidies being the local revenue for the entire budget, (6) the ability of the technical authority, (7) the understanding of their cultural norms and values, and (8) the results of their checkable participation.

The factors negatively affect citizen/public participation in the budgeting are (1) the inappropriate participatory mechanism being applied without properly adjusted to meet the local environments, therefore, it

demands different cohesions of its cultural norms and values, (2) monetary dependency from the central government, (3) the failures of participatory data influencing the budgetary allocation, (4) lack of transparency and responsibility unbalancing the data, (5) seeking personal gains of the political leaders and tendency to seek economic lending fees, (6) inefficiency and poor internal audit duty, and (7) poverty prone to corruption in all levels. This study reveals that the locally political leaders meet educational limitations while admiring techniques and dynamic budget.

4) Is the citizen/public participation in the budgeting successful as expected results? This research results are evident that common people do not participate in the allocation of public resources. It is corresponded with the literature reviews that the failure of the budgetary cut influence leads to public cynicism that participation is worthless and their involvement is just at the preparatory stage of the budgeting only.

**4.1.3.6 The future researches** – the cross-sectional approach should be conducted to earn the empirical evidences in developing the conceptual framework and applying the empirical evidence might bring evidences to better link with the advanced models. In the long-term researches, there should be inspection over the operation and the process after the budget has been approved. This is to increase efficiency and worthiness in systematizing the control of the state agencies implementing the citizenship and the new institutional theories. The future researches should investigate about the determination to leverage the PB efficiency in order to improve the control system of the state sector organization. For those who are able to apply this paradigm in their qualitative research, they might conduct intensive test in order to find assertive evidences in the case of their case studies with regards to the variables and their relationship enabling them to test the large-size empirical studies.

**4.1.4 Allison Blythe Hurlbut. (2012). Piloting Participatory Budgeting: an Examination of Social Capital, Well-Being, and Public Good Provision in New York City: Columbia University**

**4.1.4.1 Backgrounds and Objectives of the Study** – In 2011, it was the first time of New Yorkers to begin a process of decision-making to pay budgets for their communities. This process was called the “Participatory Budgeting

(PB)”. This was the greatest event in USA. Traditionally, the council members decided how to pay. However, New York attempted to start PB with the amount of 6 million US dollars. The people in four districts allocated the budget in their own communities.

The PB process in New York Metropolis begins from the nonprofit organizations launching pilot projects in 51 cities to be their flag ship son their communities. It is witnessed that other countries organize their PB targeted to achieve social parity through citizen/public participation and provisions of the desirable public services. The Latin American countries and European countries have different environment such as their government structures. They thus meet different success scope. The objectives of the studies are aimed to 1) to propose the start of PB in New York through checking their network data at the district level, 2) to analyze participants and major projects what they need, and 3) to check the good public service organization enabling to leverage social capital and their positive effects on health and the wellbeing in the New York urban areas.

**4.1.4.2 Theoretical Concept in the Study** – this work reviews its literature on the social capital theory to test norms, trust, social network and it believe that social capital is positive to health and the wellbeing of people. Therefore, PB enables to leverage social capital and leads to health and the well-being of people.

**4.1.4.3 The Research Design** – as the objectives above, this works has been designed as a case study and the contemporary phenomenological approach in the real context and attempted to apply to be the city plan literature. This is to investigate the social phenomenological complexities of PB in the case of New York. Then there is an attempt to link to them to the social capital theory in order to improve health and wellbeing through the provisions of the desirable public services for each one in the pilot community in New York. In addition, documentary study has been conducted and analyzing the situations risen in the form of related behaviors which cannot be handles.

**4.1.4.4 Conclusions of the Study** –There are many findings in this research, i.e.

1) The study reveals that the PB process can leverage social capital through the provisions of public goods according to its indicators those are intrinsic norms, mutual relationship norms, solidarity and public

bond. The PB process can consistently increase social capital through trust from politicians and the metropolis representatives who have been awarded with the projects. According to the literature reviews, PB can increase social capital while positively contributing good health and wellbeing, too.

2) Though social capital positively contributes good health and wellbeing with less percentage; therefore it is unclear that PB contributes positive effects to good health and wellbeing of the community because each community accommodates unlikely large number of its members. The study also finds that there are free riders who affect the solidarity. But finally, it is concluded that the urban people gain benefits of their participation but exist within the uncertain system.

3) Generally, people participating in the community council earn high level of social capital. If they commit more to politics; they would desire to live in that community longer.

4) The inequality of social capital is evident when reflect on public goods claimed by people. On the contrary, the unequal structure leads to inequity of providing public goods. Data show that participants in each area earn higher education as in politics, which is counted having high level of social capital. However, some districts are encountering difficulties to achieve their basic public goods.

#### **4.1.5 Moliehi Leduka. (2009). Participatory Budgeting (PB) in the South African local government context: the case of the Mantsopa Local Municipality, Free State province: Stellenbosch University**

**4.1.5.1 Problems and Objectives of the Study** – During the racial discrimination in South Africa, it banners non-democracy and non-citizen/public participation in the government decision-making. The local agencies before 1994 have distinguished race as the foundation in the consignment of public services. South Africa has divided in to four urban skirt communities of the White. Its local government has been divided and based on a single philosophy principle of modernization aiming at a top-down approach development. The present researches prioritize the top-down development method that it can be applied during apartheid. Therefore, PB system is out of question in the local administration and in large amount of budget allocated form the central administration. After 1994, there

was reform and transit of political organization and the local governance in South Africa leading to the birth of the local administration which applied the humanist course. However, though there were areas established for the local governance but the researchers believed that they are restriction on citizen/public participation in the budgeting process. These caused this study.

**4.1.5.2 The research objectives** are 1) to evaluate the scope of citizen/public participation in decisionmaking of the local government prioritizing its budgeting process, which is the Porto Alegre-based participatory budgeting (PB) in Brazil in order to be the framework of evaluating PB in the Mantsopa municipality and to be the lesson and to project the appropriate course for South Africa at large. As of the research sub-objective, it is to evaluate the preparation of PB in the Mantsopa municipality so as to check the scope its promotion of PB among people while comparing its PB method with the success of Porto Alegre in Brazil. This is to further appropriate the method with the Mantsopa municipality and other similar municipalities in South Africa.

**4.1.5.3 The Research Methodology** – a qualitative approach has been conducted aimed at the municipal PB by emphasizing experiences and perceptions of the application, the emotional problems of the large amount of people who are not happy at the level of decisionmaking involvement. The researchers have to be very precautious with regards to all these sensitive moods. In addition, the researchers explored also the secondary data from newspapers, articles, and various reports related to the topic of the study and reinforced with the primary data collection for the focus groups, in-depth interview, and observation on participants in various municipal processes.

**4.1.5.4 The Literature Reviews** – they are needed to be the foundation of the study. This research employed concept of the participatory budgeting (PB), good governance principle, and the Porto Alegre-based PB framework to be the scope of the study and to compare with the Mantsopa municipality which has been used in the case study.

**4.1.5.5 Conclusions of the Study** – its leading conclusions from comparing the significance difference in the Port Alegre-based PB with the participatory decision-making of the Mantsopa municipality show that participation is

more meaningful than deliberative and decision-making dominion as in literature reviews in Chapters II and III. It is witnessed from the study that the understanding of PB lead to good governance meets many restrictions in Mantsopa municipality and the municipality itself does not improve and promote citizen/public participation in the municipal decision-making process while lacking clear strategies to support citizen/public participation in the municipal budgeting. Though the change agents confirm that they attempt to promote citizen/public participation in the municipal decision-making process; people do not propose their opinion too. Majority of the white community indicates their racial problems especially between the white business communities and the political elites. It thus means, the municipal authority do not support good governance and it is found that citizen/public participation is for special objective without new innovation in the Mantsopa municipality.

Participatory budgeting (PB) in Porto Alegre has significantly been accepted as the successful experience to support the participatory decentralized development. Upon comparing the objective-based data between the PB in Porto Alegre with the Mantsopa municipality, it is found that though their backgrounds are similar between South Africa with Brazil but participation has been discriminated by the different fundamental concept. Meaning, the socially disadvantaged group is discriminated in Brazil whereas the ethnicity is discriminated in South Africa. However, Porto Alegre has organized an institution for meaningful public participation. The institution is carefully designed and the size is correctly adjusted which offer opportunity of participation for the people and the peripheral under the citizenship rights. The new participatory democracy in Porto Alegre leverages participation and networks among the civil society and participation in Porto Alegre is widely opened for the peripheral groups such as women, the addicted, the homosexual groups and the other institutions of civil society.

A lesson the Mantsopa municipality has learnt from Porto Alegre is the political vote support from people will increase the level of network and participation in decision-making, apprehension, and empowerment. Mobilization of the civil group is the best way to check participatory decision-making and it is a successful strategy in Porto Alegre, which is used in PB. However, the Mantsopa municipality is short of responsibility and transparency because it is practicing to establish the space for accessing budgetary data of the government.

**4.1.5.6 Recommendations for further studies** – it is recommended that studies should be conducted on budgets covering salary and wages. It might attract citizen/public participation in setting the salary of the local personnel, which must be based on efficient performance and servicing. It should begin with the municipal manager's salary down to the lowest fringe benefits of the municipality personnel. Another point is the Mantsopa municipality involves its people in capital budgeting which is least proportionate in its annual budget. The rest of its annual budget should consequently be audited.

**4.1.5.7 Recommendations for policy** – The research findings show that the Mantsopa municipal PB is not evident in its success. People are perceived by the local government institution and the change agents just like the receivers of the organized development agendas. This makes people unable to support efficient policymaking though laws and policies offer opportunities for citizen/public participation in the Mantsopa municipality and other municipalities in South Africa. In fact, participation and democracy are still the disappointed experiences. Consequently, to be successful in PB, the researcher recommends as follows:

- 1) Environmentalizing the government agencies appropriately structured to meet the local government organization is a positive political culture accepting the inputs provided by people, flexibility and appropriateness by the legal scope for the local budgeting by the population size and diversity. It expresses the political intent which political parties and structure of policymaking commit to the people group at the grass root. The political parties should begin and proceed according to the PB through the investigation of people in the budgeting principle in the pattern that people can prioritize their needs. The results of bond affect the local change agents. In addition the central local government by democracy is the public voice – They can freely propose their viewpoints and participate in decision-making through their own groups.

- 2) It should involve the process design related to time and redistribution of the resources and the space for people who are significant participants with the inputs of the budgeting. Time is very important. For example, their preliminary participation of the budgeting influences the efficiency of the decision-making more. Empowering people affects trust and reduces cynicism over the municipality.

3) It should involve the innovative mechanization to step to PB such as organizing meeting for people in the organizations focusing on piloting groups and the committee meeting related to specific topic on budget, which all these mechanisms are resulted likely well in Porto Alegre.

4) The keys of efficient participation are the role plays based on the problems of the popular activities indicating the rise in the number of civil association members. And in the case of Porto Alegre has been vigorously supported by the Labor Party. Therefore, the activities popularized in every level of society might be another lost key in Africa.

5) Awareness on targets and the consequences of citizen/public participation in budgeting, the government should destine the start with PB. All these targets and informing people on the problems of decision-making to train people on budgeting should be supported by the central government with regards to the budgetary proposal, trust in development and creating the ownership among people.

#### **4.1.6 Jyldyz T. Kasymova. (2013). Reforming local government in developing countries: Implementation of a Participatory Budgeting (PB) process in Kyrgyzstan: University of New Jersey**

##### **4.1.6.1 Problems and Significance of the Study – Kyrgyzstan**

is transiting from the low income per head in the Central Asian Region. Its poverty is at high rate and its economy is depended on foreign resources and creates opportunity in the forms of testing to meet with its lack of good governance. The international agencies like UN and World Bank have projected to help improve governance and the public administration beginning first with leaders. The budgeting transparency is importantly accepted begun almost from 20% from the national revenue in the form of aid from foreign countries. With the Kyrgyzstan budgetary report, it reveals that its budgetary transparency earns 8 out of 100 marks. This digit shows that shortage of transparency in the Kyrgyzstan budgeting and finance and its report also reveals that the Kyrgyzstanis are short of the knowledge about budgeting method too.

In 1998, the Kyrgyzstani Ministry of Finance began to reform its budgeting. Deliberating budget was one of the new administrative techniques applied in the local government since 1999. However, the mechanism applied by

Kyrgyzstan is the major catalyst for the donors. The budget hearing was first born in 1999 and supported and facilitated by the UNDP in Naryn. Ever since deliberating budget is restless by various collaborators. Consequently, similarly facing challenges as in many other countries. Of citizen/public participation in the budgeting but the nature of the democratic transit, it meets some challenges of unprecedented check. This research is to investigate the start and the application of PB in Kyrgyzstan and asserts that the third-person participation as helpers creating some dissimilar challenges in allaying the PB.

**4.1.6.2 The research Questions** – the researcher has developed questions based on the model of economic and political development and the evolution of applying policies in order to check its start and specification of applying the policy on PB in Kyrgyzstan. There are four questions as follows: 1) what are the institutional barriers influencing public bond in the local budget in Kyrgyzstan? 2) What are the levels of sustainability on participatory budgeting in Kyrgyzstan having been supported by its helpers? 3) How does the local government affect participatory budgeting? 4) How does the design affect citizen/public participation and the function of the local budgeting? The first three questions involve the economic, social and political environment in Kyrgyzstan and the bond of the donors affecting institutional impacts and the sustainability of the local budgeting in Kyrgyzstan.

**4.1.6.3 Related Literature Reviews** – They are the concept of PB applied worldwide, the process and procedures of PB including in Porto Alegre, researches of PB and theories of applying the policies.

**4.1.6.4 Research Methodology and Data Collections** – this is an integrated research of both qualitative approach and quantitative approach formulated from theories of applying policies through data collections from 16 local governments. Face-to-face interviews have been conducted with local administrators, expert representatives from the agencies helping people and surveying 33 local governments among the five regions in Kyrgyzstan. The interviews were applied with semi-structured form.

**4.1.6.5 Major Research Results** – this dissertation attempts to enhance our understanding the encountering challenges upon applying PB during the transition of the country. Many benefits are relying on these research results. First,

the better researches inform us about the facilitation policy through external help like Kyrgyzstan. Second, based on the interview conducted with residents in this research shows challenges and opportunities to realize that citizen/public participation is important. Generally, public perceptions are understudied with the current government administration. Third, PB is differed in many countries. And this dissertation sets the important foundation for future researches in order to analyze PB in the different countries.

With the research methodology, it is to investigate the perception on the knowledge of budget hearing through applying a qualitative approach and applying multiple criteria from the population group and donors. The current study of PB still runs short of the empirical evidence and this investigation attempts to fill the gap. Finally, its findings can be applied in the disciplines of public administration and political sciences.

**4.1.6.6 Future Researches** – they have been proposed by the author in many things, i.e. 1) the future researches should check and comparatively analyze budget hearing in all types and their efficiency in Kyrgyzstan. 2) In the methodological perspective in researches, there might be formulation of the instrument to survey wider data in the participation of deliberating budget both before and after. The deliberation might be useful especially for more widely deliberating budget by people. 3) Interviewing key informants in future researches might check and conduct in-depth interview with the administrative members and the local legislatives. 4) The national transition to the parliamentary system must analyze more needs in order to understand the model of the influence in the government performance in the participatory democracy including PB with new system. The opposition party should control the budget committee which leads to extensive parliamentary debates through the budgeting. 5) Participation should be compared with other countries upon transition and being similarly characterized with regards to their democratic governance such as public bond in budgeting in Georgia and Ukraine. 6) In other countries and in many countries, there are people who are unable to participate in budgeting because of many restrictions of time and resources. Therefore, the future researches needs interviews all these key informants or the non-participation, and ex-positioned politicians in order to gain diverse perspectives.

#### **4.1.7 Sandra Drouault. (2008). Participatory Budgeting: a developing country process? A comparative analysis of the experiences of PB in Brazil, France and Spain: the University of Sydney**

**4.1.7.1 Introduction** – in the new democratic societies, there are some phenomena such as the reduction of electoral participation, and the rise of the extreme rightist parties. It reflects cynicism and the release of oneself from the representative democracy. Many countries are encountering the wave of decentralization and the awareness of the rising miseries in their policymaking responsive to the interest groups and people at large. Respectively, citizen/public participation in policymaking demands supports from the government. However, it usually leads to tokenistic participation, and then the new citizen/public participation should be responsive to the “democratic crisis”.

**4.1.7.2 The Research Aims** – this research is aimed not only to analyze the citizen/public participation model in policymaking on participatory budgeting (PB) in these three countries but also analyze empirical impacts and the PB theory in the policymaking of the government. In addition, World Social Forum comments that PB motivates many countries in Latin America and Europe to rethink on public participation. However, the growing suspicion on PB should have been applied in other countries especially in the developed countries. Therefore, this dissertation is aimed to, 1) check PB in two cities of each country (Spain, France and Brazil), 2) estimate success and limitations of PB in 6 cities, 3) compare the findings with PB in these countries, 4) specify key variables in the context and the process influencing PB, 5) draw structure from these analysis in order to be the key method of preparing PB, and 6) check what analyses support the deliberative theory for understanding in PB.

**4.1.7.3 Research Methodology** – in this investigation, the researcher has used a comparative approach to be responsive to the research objectives and integrated researches between the primary approach and the secondary approach while integrating between the qualitative and quantitative approaches.

**4.1.7.4 Theories related to PB** – they are the democratic theory and the participation theory in order to explain what participation is and how PB is. With deliberative democratic theory, it is to explain the origin and the significance of the theories and its relationship with PB.

**4.1.7.5 Results** – Applying PB in the developed countries is rising. It is necessary to know what the usefulness of PB is. This comparative analysis is leading to deliberation whether PB in France and Spain might lose its important attributes such as deliberative efficiency in order to be adjusted into the local context. Therefore, necessary PB attributes have to be identified for success and five key attributes of governance are found from the analysis and it is referred to PB essence, too.

1) PB participants need to co-decide on the large amount of money so that participants feel their involvement in PB and worth their time. Later, it shows the municipal commitment to the project but not as the tokenistic participation. It means decentralization should be adequately advanced for the municipality to enable it run its project responsive to the needs of its people. Co-decision is necessary because PB is different from the process of other consultations and to avoid cynicism among people.

2) PB requires deliberative but high quality deliberative does not mean just equally treating participants or electoral representatives return the decisionmaking empowerment without listening to people in the meeting. However, it includes the movement of interest of each individual to the common good in order to reinforce the legal project and to ensure that all the needs of people are deliberated. In addition, having efficient deliberative reinforces power of people their voices are heard.

3) PB must have aggressive policy in order to achieve participation. PB must be responsible for its consequences. Needs of the project must come from the larger group of participatory representatives. However, never participate and likely do not know the PB existence, the municipality thus has activities to encourage citizen/public participation in some groups like the female group and the legal migrant group might meet problems to attend PB meeting. Respectively, the municipality should reduce the expenses of their participation through organizing babysitting as in Puente Genil or having translators or having budgeted to attract the middle class as in Porto Alegre. The inputs from people will facilitate their decision-making based on the resources used and the authorized person in PB policymaking.

4) PB demands transparency and its transparency must be legitimated avoidance of cynicism when the participants do not know their scope of influence as in Saint-Denis. Consequently, PB demands to collect criteria, technical data, trailing committee, and criteria of priority on the project decided by the participants.

5) PB demands restless adjustment for maintaining the above criteria regardless being the context change such as the roles of the association, the size of budget, the power in the new party, or the rising problem such as the absence of participation in the level in the specification of people. Therefore, PB must be adjusted to meet new situations, rules and regulations. PB must be amendable. It is one of the strength risen in Porto Alegre and in Belo Horizonte but differed from Cordoba. In this adjustment, the PB important foundation should not be reduced such as deliberative or more empowerment among a group of people. This will reinforce disparity while impacting rightness, results and impact finally the PB.

#### **4.1.8 Hollie Russon Gilman. (2012). Transformative Deliberations: Participatory Budgeting in the United States: Harvard University**

**4.1.8.1 Educational Overview** – PB has been viral to 1500 municipalities, worldwide since it was born in Porto Alegre in Brazil in 1989 by its Labor Party. Even though it is accepted around the world but it is not accepted in USA. Therefore, this dissertation work is a disquisition of the first PB application in Chicago: USA in 2009. The study is in-depth about applying PB in New York Metropolis. The researcher will evaluate the PB performance in USA, discussion, governance and participation.

This is an investigation of participatory democracy in a wealthy nation through investigating the greatest PB operations in USA. It is a pilot project in New York during the fiscal year of 2012-2013. PB acts like the lenses to investigate the participatory democracy. PB is one of the democratic innovations best spread during the past century and it directly involves the competency of the common people through inviting them to propose budgets. They have voted in PB enactment diversely from other forms of participatory democracy in electing personnel who are with determination to resume the project voted by people. For example, people are not just advisors or consultants on decision-making but the imputers in the budgetary

policy. They will involve during critical phases in the design of their participation until voting for the project, which laws will be enacted.

**4.1.8.2 Research Methodology** – this work demands to gain both qualitative and quantitative data. It combines survey, data analysis, in-depth interviews conducted with 150 key informants, secondary approach, and participatory observation. The field sites are 4 zones in New York with PB pilot project during the fiscal year of 2012-2013. The study involves 4 issues, i.e. 1) population, 2) social capital 3) civil capacity, and 4) socio-politics, under the success conditions within the civil sector political criteria.

**4.1.8.3 Theoretical Concepts in Investigation**—this investigation has applied the Aristotle-based Theory of Politics as the foundation in explaining politics and political structure. In addition, there is Brazil-based PB the origin which is applied in New York, too.

**4.1.8.4 The Research Results** – the author asserts that PB gain better consequences than the traditional budgeting currently applied in New York while changing participants to understand their own citizenship, election voters, Council members, leaders of civil societies and the community stakeholders. However, there is a challenge in participation – expensiveness, weakening process, endangering to expand future competency. The researcher has framed evaluation called “citizenly politics” emphasizing on 1) designing participation, 2) consultation, 3) engagement and 4) competence of institutionalization. The researcher finds that PB provides moderate materialized outcomes but more innovative projects. PB provides greater constructive results or existentialism (human core or destination), existentialist returns for the citizen groups, greater knowledge of the citizen groups, stronger relationship with the electoral authorities and more community assemblages. By overview, PB is practical and provides democratic innovation for people. It provides data for reinforcing the US citizen participation while enables for appropriate application.

Applying PB in New York reveals that the zones implementing PB rise 38% of innovative projects while the zones of not applying rise innovative project just 151%. The zones applying PB are more righteous—more fairness than the non-transparently conventional budgeting. IN general, applying PB in New York is practical and the success model for the citizen engagement, better improving the

outcomes that conventional budgeting. PB provides the knowledge of democratic innovation for reinforcing the US citizen engagement with its adjustability and appropriate practicality.

In addition, the materialized PB benefits are tangible and constructive while providing existentialist utility because PB can lead to deeper democracy, realization of the importance of participation, and legitimate relationship of assemblages. The good attribute of each one affects the intrinsic relationship of the assemblage. PB can link each one closer to together until it forms social capital while linking to the citizen participation in the larger projects under democracy. In addition, people are enthusiastic with civic virtues in the course of democracy by not only concentrating the common interest and justice but also tolerance or opened mind to the perspective of others, trustfulness, willingness of participation, debates and listening, respecting rules of law and respecting the rights of others.

**4.1.8.5 Recommendations on Policies** – it is restricted only for New York where the researcher has found the results and the limitations and proposes that 1) Number of participants should be reduced because it is just the improvement of the process for the assignees to reflect the budget proposals, organizing the knowledge of ICT and to trail the meeting results while closely coordinating with the urban representatives especially with the data sullies and briefing. 2) It is necessary to restrict competition among the urban council members and the directive committee should be the central control of participation and applying strategies to mobilize people for their vote rights in order to minimize opportunity of the council members to directly involve in their competition. However, they have to closely work with political party speakers of the majority votes and the Mayor in order to find benefit of supporting PB, the political parties given them freedom, provide PB data to outsiders in order to increase rightness and civic virtues. 3) It is necessary to provide incentives to fasten involvement of the public participation, to increase the clarity of the roles and the responsibility of the directive committee as expected, to change time of the meeting of the directive committee to meet the persons who work in the civic societal organizations and the full-time working people. And 4) t is necessary to increase the civic virtues about a traditionally budgetary model for people to acknowledge the non-transparency, the inequality, and the discrimination of the monetary management of the urban council members.

**4.1.9 Marie Claire Vasquez Durán. (2014). Participatory Budgeting in the Dominican Republic: Implications for Agency, Democracy and Development: University of Maryland**

**4.1.9.1 The Scope of the Study** – the above dissertation is to investigate citizen/public participation especially through participatory budgeting (PB) in Dominican Republic and the PB impact in the meaning of the democratic representation and development. This decade significantly welcomes the projects of participatory payment more in this globe – PB. Since 1970s at least there are activists and scholars on democracy who indicate about deliberative more. Applicatory participation is more deeply meaningful and it is the promotion to invigorate politics of the common people to implant democratic idealism in their hearts. There are three roots to perfect democracy which needs these processes, i.e. 1) to help people debate in the issues and to provide public opinions. 2) It is to demand leaders to perfectly understand public issues. And 3) it demands people to explain and to provide their opinions to divide the positive thoughts from the negative ones while maximizing the benefits of public policy.

**4.1.9.2 The Research Methodology** – this dissertation employs integrating approach by using interviews, survey, direct observation with the PB council meeting and regression analysis. Data have been collected from four Dominican municipalities – the municipalities of Santo Domingo Este, and Santiago apply PB while the municipalities of Santo Domingo Oeste, and La Vega do not.

**4.1.9.3 The Theoretical Concepts of the Study** – they include the citizen/public participation concept, the concept of deliberative democratic participation, the understanding of the PB and the PB in the Dominican Republic.

**4.1.9.4 Results** – to conclude the findings of the PB investigation in the Dominican Republic, it is necessary to depend upon the four Crocker-based criteria, i.e.

1) Does PB enable individuals and the community representatives? It does in the projects with honest selection and non-coercive facilitation – there are debates conditioned with fairness, coverage, capability and authentic change-efficiency. Participation of group duties, deliberative democracy and PB meeting can express the attributes of freedom among the representatives which is

understandable without being dominated. It is not just the authority only responsible for decision-making but common people can choose to participate with freedom to be representatives.

2) Does PB offer opportunities (capabilities) of wellbeing? Compared with the four municipal sites (2-PB-applied municipalities and 2-non-PB-applied municipalities), citizen/public participation in decision-making either urban planning or other participations lead to the changes of the authentic public needs. PB enables public wellbeing or has public wellbeing in the dimensions of less disposals, better sanitation, having local health clinics, better health, better roads and routes, better trained police, and improved security and safety. All these are the opportunities offered to public to choose projects to improve their livelihood.

3) Does PB promote equality (from the criteria of the successful representation and the success in the wellbeing)? It is certain that by public perspective in communities, it is necessary to have liberty and equality. However, in the case of PB, it does not mean economic equality or political power but equal freedom to participate in the PB process in the matters of needs proposal, evaluation, debates, compromises, decision-making, and the PB application. However, in the urban using PB, some people may experience wellbeing but not the equality of either political or economic power. Nevertheless, it is explicable that people have to involve with their community matters until they are conscious of their PB. Greater civic virtues reduce public inequality which will possibly lead to changes.

4) Is PB the progress of democracy? The existence of PB is more possible than discourse and propaganda in the political action which allows local governance becomes more democratic by people, having coverage, profoundness, equilibrium, and progress more. Participation with democratic activities will be more than consultants or just the input providers but consultation. When PB fail with the evidence that people turn to other method to be conscious of their targets without civic virtues of the success in changing the world in the way the people need. The PB process still has real value to support morality while its error does not reduce democratic governance and increase more elites. PB provides more practical sues of democracy and offers opportunities to choose what they best need hoping that they will achieve better equality and better resource decentralization.

**4.1.9.5 Recommendations on Policy** – recommendations are 1) to improve the structure of PB Assembly to cover representation more, 2) to check whether the community leaders/ the authorized persons who facilitate deliberative and avoidance of organizing and monitoring, 3) to make PB conditional with the government in order to complement decision-making, 4) to transform social vision so that PB can and be responsible for being a community platform, 5) to remodel of PB meeting for deliberative with better scope and significance, 6) to amend the list in PB which having too rigid limitations, and 7) to improve the system design with many steps for easier practices and others which enable and should be resumed for the latency of the PB system improvement.

**4.1.9.6 For the Future Studies** – to conduct future researches in future on PB; they are recommended, 1) causal relationship between citizen/public participation with representation consequences should be investigated in the more proper situation than any ones who can provide data related to the respondents even before or after being selected to join PB and it will indicate the urban which do not apply PB. 2) There should be investigations whether the liberty of wellbeing, the liberty of representation, and success of various projects are the consequences of PB and whether the broader scope of satisfaction and life satisfaction are also the consequences of PB. 3) Another types of research should be conducted on the PB impacts such as indirect impacts which will be interested for in-depth survey through interviews, and 4) the civic virtues of PB should be investigated in the urban with applying PB and the urban which do not.

**4.1.10 David Wynn Davies. (2011). Participatory budgeting: Is it ‘doorstep democracy’ and does it liberate collective wisdom?. University of Chester**

**4.1.10.1 Introduction** – This dissertation is to analyze the growing roles of PB which is the mechanism for the local community and the direct involvement in decision-making on expenses and the prioritization of public finance of the local people. This includes rationally auditing the backdrop of PB and the process of evaluating the importance of its application in the local agencies of Wales while raising the debates and the conclusions of the sites being the state agencies in decision-making on public fund on whether should it be used within the communities and the thoughts of the existing limitations and the rising benefits.

**4.1.10.2 The Research Purposes** – this is to test the PB roles in the local government contexts to achieve the following objectives, i.e. 1) to understand the contemporary thought of PB and the evaluating the impact over the mechanism in developing the state finance organization servicing their own communities; 2) to understand the analysis and the audit of the existing procedures of PB in the local agencies and especially in the Denbighshire County Council; 3) to evaluate the impacts of PB in the Denbighshire communities, and 4) to conclude and recommend appropriate approaches to the PB principles which are not just the tools in the participation of the key in an organization but also to use it as preparing the mainstream budget.

**4.1.10.3 The Research Methodology** – this research has applied more qualitative than quantitative approach as in this own course because by its nature the quantitative research is with mostly the objectives rely on taxation, and the data application. This research does not specify the numerical values to use its mathematical analysis and statistics (especially, it is estimated that it is the small size sample groups), which mostly are likely based on observation and evaluation because the necessary involvement of the researcher (just observers only). The researcher declines to accept the real research objectives which are impartial and free about this topic.

**4.1.10.4 The Theoretical Concepts in this Research** – they involve the public decision-making participation, the role of public participation, limitations of the public participation, the role of PB, the progress of PB in this world, and the barrier in preparing PB.

**4.1.10.5 The Research Results** – the results are compliant with the research questions with regards to entering democracy and supporting the accumulated intelligence of the PB concept in its application. With the experiences of the case study that Cae Howell who likely asserts that PB is a springboard to deliberative for individuals who meet failures before. Second, seeking the response whether PB supports the accumulated intelligence or not and the conclusions from the respondents especially from those case studies which express the supports of Bill Ellis-Jones (WPBU project manager). Sometimes negative attitude toward PB are found and all these are often found with those who have no experiences. Upon experiencing PB, none wants to let it go. All organizations and communities think that PB adds values to

what they have done and none think that PB is good or bad or appropriate or inappropriate or not; but the usefulness earned from PB lames them to disagree.

The purposes of this work are to check the roles of PB under the local government. It is the case study of Denbighshire and to analyze the perspectives of major decision-making of the county council, which will not just for information on the process but to provide foundation for the council in decision-making on strategic policies in order to be applied in future about PB. It is the principle of citizen/public participation and it is the tool to increase the empowerment. This work reveals its major objective as in Chapter I whether PB has been applied to allocate the major budget or not. The analysis of the questionnaire appears the short-term rules (for the next respective 12 months). However, the strong support of implementing PB in the key budget in the case of the Wales Government demands to show the local participation in prioritizing the project proposals. In fact, the central government has to create the local pilot on citizen/public participation and dynamism among communities.

In conclusion, this perspective will reflect to methods of Denbighshire among the top management to respond to their needs to formulate the questionnaire. The researcher views that PB is potential to be an institution which is positively affect the local – the county people (knowing the problems + the clarity on what they need), the authority (knowledge of some issues + knowledge of received method upon what has been done to), and finally, the elected members (knowledge of some issues + responsibility in democracy). As of the opportunities to conduct future researches, the researcher recommends that it is necessary to investigate the competency of community initiative and creativity including the designs of the council strategic targets.

#### **4.1.11 Hadyn Lindsey Kihm. (2010). Participatory Budgeting in Córdoba: a Policy Approach to Strengthening Democracy in Latin America : The University of Texas at Austin**

**4.1.11.1 Significance of the Problem** – Scholars in the educational institutions and policymakers agree that PB is the tool to more reinforce citizen/public participation and their civic virtues. PB is a mechanism for governance in public

decision-making to allocate the local budget. The impartial key of PB is to allow citizen/public participation more and with greater efficiency, knowing public needs during meeting, significantly having diverse challenges of the structure and the process subjected to the meaning of PB, its interpretation especially in the application in Port Alegre: Brazil where PB name and its interpretation are viral. However, the studies of PB experiences especially outside Brazil are just emerging because the numbers of urban applying PB are just few and the PB process has just begun for the past 20 years. Therefore, the stories related to its success either/or its failure is unlikely apparent. The studies of PB in Cordoba, Argentina exemplify to help analyze PB and its challenges, including its analysis of success either/or failure in Cordoba hopes to further be useful in applying PB in budgeting.

**4.1.11.2 The Research Methodology** – this work applies a qualitative approach to respond the question what is the appropriate equilibrium between efficient participation. Such question is still important for the PB scholars. To such reason, either the increase or the decrease of participation and its efficiency can fulfill the duty of the qualitative approach but it is useful in evaluating the PB application in the city. In addition, its data collection is through interviewing the key informants during 2008-2009.

**4.1.11.3 The Theoretical Concepts Used in the Study** – they contain the concepts of social responsibility and participation which involve the political responsibility and the concept of participatory budgeting.

**4.1.11.4 The Research Results** – the results are concluded through the comparison approach in order to find the PB process in Cordoba, Latin /America and Argentina. The PB experiences can reinforce the conclusions of researcher on the causes of the PB in Cordoba is unequally successful as in other cities. The strongest limitation is the population attributes in Cordoba, its political structure and history. The PB structure itself cannot explain the failure of PB but the factors concluded but the researcher in Chapter VI are its political distraction, the decrease of its political will which shows greater significance compared to other countries and cities. As such, the researcher itself still expects there will be methods to lead Cordoba to success in PB. Goodwill and trust of the people in its communities shall bring success in its PB.

However, indicating the independent variables and the variables explaining PB are inadequate for other cities where they wish to develop their PB. The critical lessons learnt from Cordoba related to prevent political distractions are the impacts against PB. The problematic experience in Cordoba is just an ill-fate or could they avoid and what are the lessons to learn from the PB experiences in Cordoba?

**4.1.11.5 Recommendations** – the researcher recommends about the PB structure and self-process to facilitate applying it in other places are:

1) To develop a training program for all to know the existing rules which include public figures, representatives and associations. Training is important for all involved. This training is subject directly to the government and the officials to protect the infrastructure projects to earn approvals at the level of the workshops. Errors in running the project might lead to troubles and useless for people. Training for the fiduciaries and people means they will know the steps of the process and it will be the automatic voting and it means that the projects will be approved and implemented.

2) To allocate budget by projects but focusing on projects for social rather than the infrastructures. The priority in focusing on projects for social is that the PB leader can monitor public enthusiasm and intelligence similar to spur them their sense of ownership and their consciousness. Projects for social only require fund raising where bureaucracy cannot rapidly do and it is a way to gain legitimacy. Their examples are the Training Project on Arts Technique and the Project of Household Works after Studying Classes and so on.

3) Developing the system and improving the structures are found in many cities including Port Alegre, which can help people to provide inputs of improving PB.

4) To increase more participation from the peripheral people groups. Such method has been recorded in Porto Alegre where there are special committee member ships for ladies, the native and the children.

**4.1.12 Brandon Kent Chapin. (2013). From the Ashes of Bankruptcy: an Assessment of the Collaborative Properties of the city of Vallejo's Participatory Budgeting Project: California State University**

**4.1.12.1 Introduction** – At the moment, every level of the government meets distrust from people in many cities and many countries encounter bankruptcy and authorities involve in corruptions. All these cannot blame people from contempt over their government because they have to pay taxes. Consequently, the new relationship between taxpayers and their government is necessary and the PB in Vallejo might lead to the new relationship and the attempt for PB offers opportunities for providing more meaningful inputs through the way they pay their local taxes. This process can call back their trust for their local authorities to understand their community needs. The local government is watching the process disseminating in Vallejo and might branch into their communities themselves. Vallejo might meet some limitations if it attempts new risk but the latent returns are also relying on bridging the gap between the public sectors and the large size population.

**4.1.12.2 The Theoretical Concepts for the Study** – they contain the concept of participatory negotiation, the citizen/public participation theory, and the concept of participatory budgeting.

**4.1.12.3 The Research Methodology** – the researcher has scoped the public collaboration in participation as the core root, followed by fieldwork observation and responses of the interviews in order to describe the response analysis because the answers are very critical to the success of the process in Vallejo and they will be applied in other communities.

**4.1.12.4 The Conclusions** – the PB of Vallejo proposes interesting intersections during the local government budgeting and the public participation. What are the sources of the process leading to the growth of citizen/public participation in budgeting that cover the entire country? The first finding is the uncertainty surrounding PB because the city council decision-making in selecting the best project. It is the acceptance of a project which is passed from the votes of people. But at the end, it is the distrust in decision-making about the community expenses to approve the PB and in general, some council members including the Mayor reject the nature of the process. Some key informants raise suspicions that it is difficult to allow the council members to vote the proposal because it will affect politics and create uncertainty.

The PB project consistently facilitates the proposal in future. However, the PB project still lacks knowledge and new ideas. The local authorities need to learn the PB process by themselves. Their latency brings brain drain, if the PB moves to other places. As of the problems on PB are the absences of constructive measures to appraise the performance. Interviews reveal that what makes PB successful is different and cannot entirely be tested. It is probable that this project is successful but there are no measures to appraise it. Certainly, the California University at Berkley has prepared appraisal measures and evaluations but they are still ambiguous. Besides some minor critiques, there are positive results surrounding the PB process in Vallejo. From the entire processes, they signal that citizen/public participation in the process gain happiness and bond with the project.

**4.1.13 Thomas William Daniel Cohen. (2012). Bringing Climate Change into Participatory Budgeting : A good idea at the wrong time: University College London**

**4.1.13.1 Introduction** – this works involves the development and the test of the PB model in that the people have been requested to choose from the interference from the local government; whereas, there are two matters for the people to agree with – finance and other affairs related to the greenhouse gas emission. This research comes from the weakness of the local government responsive to the climate change, which is very critically influential. Besides informing the troublesome relationship between the local government agencies and people; PB is selected to be the start because it is found enabling more diverse public participations than the orthodox form. PB allows participants to propose what they need by prioritization. Therefore, the key principle in this study is the design of the participatory emission budgeting (PEB) attributed in the estimation of the medium values caused by the greenhouse gas emissions interfered by the local government.

In the climate change leading to the global warming or the greenhouse effect, the tendency is growing. The global warming worldwide by average for 50 years likely rises the temperature for over 90%. This change might be adequate reason to convince the government to reduce the emissions in many countries like Mexico, Australia, and the United Kingdom and so on to be conscious of the

global warming and to issue measures control the emission causing greenhouse effect in the forms of laws and Acts. It is similar to UK which enacts the climate change in order to significantly reduce the greenhouse gas emissions in 2050 with the middle-term in 2020.

**4.1.13.2 The Research Purpose and the Objectives** – it is to investigate the relationship between the local government and its people. It is the question about ways people to participate in brainstorming and collaborating in order to turn the new page responsive to the climate change. In particular, it is to question about the model modified from PB whether they can help the municipalities and their people to reduce greenhouse gas emissions. The objectives posted are 1) to develop a model of PEB, 2) to test the PEB with people, 3) to evaluate (process and outcomes), and 4) to survey the stakeholders in the local government in order to learn about their perspectives on PEB.

**4.1.13.3 The Research Methodology** – the method of decision-making is based on literature review covering the responsiveness of the local government towards the climate change, the citizen/public participation in decision-making, and the volumes of the greenhouse effect. The development process is gained from the semi-structured interview and the focus group with people and specialists and it is subject to qualitative analysis. There is also quantitative analysis employing questionnaire conducted with people, specialists and stakeholders in the local government.

**4.1.13.4 The Literature Reviews** – they are in Part 1 from 3 parts which involves backgrounds of the study, the related literature reviews consisting of the local governance and the survey of the climate change, citizen/public participation and PB, the application of the concept related to climate change with PB.

**4.1.13.5 The Conclusions of the Study** – the results are responsive to whether there is technical possibility in differentiating PB to be meaningful as well as the climate change. The answer is “YES” and test the probability to create activities responsive to PB where participants have choices and been invited to choose by referring to the impacts of finance and greenhouse emissions. It asserts that the development methods and the impacts of the climate change are meaningful in offering the alternatives so that participants are critically restricted by coercing to include the greenhouse effect. However, to estimate the

greenhouse gas emissions are so challenging because it cannot be clear see. This challenging issue is unavoidable and there is also problematic on estimating the interest of people to be used with analyzing the general policies.

To pursue the PEB project, it is the success of participants in decision-making. They discuss in many issues and deliberation as in the literature reviews in part of the backgrounds of the study. There is the model cohering to participants having to respect and listen to the opinion of others and the decision-making is the consequence of consensus which encourages discussions as the foundation of public participation. However, it may not be concordant to the perspectives of critiques that the consensus background of citizen/public participation rather comes from the dominance and preference including the results of questioning the comments of the PEB participants and the experiences of being a part of the project. In conclusion, most participants have positive perspective toward participating in activities with interest and fun. In their perspectives, PEB is an initiative which is integrated. They have the tendency to be pleased on having the opportunity in decision-making with the resource redistribution.

**4.1.13.7 The Future Researches** – they could be conducted by comparing the PEB projects among the local governments, the probability to differently work in each set of the project, nature of each project and their limitations. It is similar to the details of population and societies of the participants. Surveying additional details can help the scope of any changes in the attitudes toward the local agencies among the PEB participants. In addition, there are designs yet to be tested including the type of the existing projects, the changes of the financial impacts towards the expenses/the long-term benefits, and the impacts over the other players' experiences beyond just being the council members only. This will be the perspective differentiated to the responsiveness related to the different PEB projects.

**4.1.14 Ana Paula Pimentel Walker. (2013). Face-to-Face Citizenship: the Effects, Ethics, and Aesthetics of Participatory Budgeting in Porto Alegre, Brazil: University of California, San Diego**

**4.1.14.1 Introduction** – this investigation reflects the laboratory of the governance of the participatory democracy in Brazil especially in the city of Porto Alegre which symbolizes the grass roots in the globalization. By reason, having

the PB and form the global society congress; the PB of Porto Alegre has changed the power of allocating revenue in the urban municipalities into the people. There are more than 3,000 municipalities worldwide which experiment to apply their PB. This works investigate the sustainable development of the political institution in the city originates the PB and under what circumstances allowing PB successful. Responsiveness to such question, Ana Paula Pimentel Walker has analyzed the PB of witnessed in the meeting in Porto Alegre during the past 20 years. This is to watch the changes and the work of the municipality and the political party through visiting their records of minutes in the previous budgeting and to check the petition of budget to the meeting. It is to collect the survey and immersive including collecting information and survey from the meeting participants of PB. The researcher spends times with the participatory observation and visits the field sites for 18 months along with the grass root organization who participate in the PB process.

**4.1.14.2 The Research Methodology** – To respond to the above question, the researcher analyze the expense budgeting of Porto Alegre from the past 20 years in order to judge the change of its application in the municipal service in relation to the change of the existing-empowered political party. It is through explore the previous researches with the same target in PB, to investigate the deliberative word-by-word, to study the narrations, and to survey the PB participants. It takes 18 months to observe the budgetary meeting, and often conducting field works with the grass-root organizations involving with PB process.

**4.1.14.3 The Documentary Exploration** – the researcher does not apparently indicate as the theoretical concept/literature reviews but it is to review literature to provide data on the investigated title. It involves the budget of the political parties to analyze the rise and the social ill through PB, the assemblage of the collaboration of the public and private sectors in PB, the proposal of ideology, values, and the identity of the PB consultation.

**4.1.14.4 The Research Results** – this work is to check the changes of PB in Porto Alegre from the mechanism of avoidance, management and dethronement. There are some disappointment symptoms toward turning cities into the neo-liberalist ones during the time of restructuring in Brazil for the vision to seek gains from city development. There are also differences in the nature of basic change and the consequences in terms of justice in its redistribution, participatory ideologies,

social values, personhood and identity. In addition, it is also found the softening and the degrading of PB along with the analysis on changes, which on the other hand come from the residents in villas of Porto Alegre.

With the first PB conducted in Porto Alegre, it is the redistribution of the resources from the rich to the poor in the neighboring communities. It has been expanded into the slums, while sanitation improvement and health clinic have been dilated to the urban skirts to compile with the needs of being elected by the poor. Therefore, PB is the appropriate procedural direction in terms of the urban constituency justice but the constituency justice is not just disclosing the truth of urban capitalism but also the inclusion of the patronization on the non-existing subsidies in order to help resist the cultivation of the new area based on race, gender, and geography. In short, the target of the redistributive justice is to battle with causes of the urban constituency inequality.

This dissertation, the author just attempts to avoid analyzing the change in PB based on political economy in Brazil. The researcher checks the changes of the policies on the Brazilian residences in terms of negotiation on planning and international development, debate on public residences and the redevelopment of those in public settlements. The policy on residence and the public fund raising for the urban poor people becomes the attributive changes in Brazil subject to the international tendencies, which are: first, it is the policy to wipe out slums and building residence for people, which fail and there is a new policy of upgrading the immigrants in the public areas. Providing residence through PB is the matter of public policy. It is certain that the literature of PB is focused on the impact in the decision-making process in democracy. However, looking further into the efficiency of participation; the delivery of the municipal service is not specific just in the matter of residence but transportations and education. Therefore, PB is the integration of city planning which is similarly to the policymaking as in the delivery of the municipal service.

**4.1.15 Matthew Ryan. (2014). Advancing Comparison of Democratic Innovations A medium-N Fuzzy-set Qualitative Comparative Analysis of into Participatory Budgeting: University of Southampton**

**4.1.15.1 Introduction** – from the question of when and how common people significantly co-decide in monitoring their gains. This study is to better systematically clarify the drive of success or failure in the PB project. This is the key of PB and recognized by scholars, activists, the intergovernmental organizations (IGOs), the non-governmental organizations (NGOs) and other monitoring agencies including the international agencies. It is certain that PB almost becomes the viral democratic innovation during the past two decades. The success of PB helps democracy to commit to the new participation, to improve political latency and skills through participation, redistributing public money to the most needs, resisting patronage system, and improving and promoting the efficiency of governance. Given PB risk or failure comes from non-commitment to each other, strong patronage system, the malice of the elite class and growing political resistance through collapsing any expectations the common people can support to raise the added values of common decision-making.

PB can indicate citizen/public participation in decision-making on minimum budget in the state agencies as announced. However, PB will indicate the higher needs because it is to indicate the apparent differences of the democratic innovation from the traditional budgeting. The process following this helps citizen/public participation among those who are not elected. The concept and/or the allocation on the public financial resources of people and ....1) the financial dimension and /or budget needed consultation; the PB proposal with the scarcity of the resources; 2) the municipal level should involve or (decentralization) the constituency and being empowered over the administration (the neighboring areas are inadequate); 3) there must be repeating process (meeting or referendum on financial problem is not the example of PB) ; 4) this process needs some models of deliberative or public including in the scope of the meeting ( administrative meeting or opportunities of the transitional representatives for common people unable to participate with PB); and 5) some responsibility related to outputs necessary for uses.

**4.1.15.2 The Research Objectives** – the researcher requires knowing the key conditions that common people can monitor decision-making in the PB project, and to test the values of the new instrumental sets in the comparative sciences in order to be used in responding to questions of when and how common

people can have common decision-making on significant monitoring their benefits. The goal of this dissertation is to demand more systematic clarification in either thriving success or failure in PB.

**4.1.15.3 The Research Methodology** – a qualitative comparative analysis (QCA) has been used in attempting to increase knowledge and in the cross-case comparative logic system. The QCA is a strategy to fulfill the existing social science research even though there are some critical challenges and limitations in this work. The QCA will display the efficiency of the tool for the rise and the checking system of the evidence leading to developing the social phenomenological knowledge in the linked direction. The QCA is another choice efficient for researchers of leveraging the needs of saving and complexity for explaining the social phenomena.

**4.1.15.4 The Documentary Research** – documents have been explored to support the topics of a case study in a comparative analysis on the system, and a qualitative comparative analysis (QCA), in order to compare PB in Brazil and the concept of PB.

**4.1.15.5 Conclusions** – in this dissertation, the researcher aims at PB known as democratic innovation and attempts to trail the development in order to compare the PB functions as an innovation virally studied. And it is the knowledge being developed. Applying this motivation for the study is to help thinking and designing projects under the situations of public participation. This is to attract them to significantly involve in governance and monitoring decision-making. The study shows that the scope of democratic innovation especially the PB fully grows. Important procedures are used in the direction of having more comparative system. The researcher needs to know a new way to compare what the political scientists can understand the public policy innovation in the era of speedy dissemination, adaptation and research constructed on the foundation of small case studies.

In the aftermath, it is a presentation and recalling issues related to the high level of qualitative comparative analysis (QCA) which helps estimate values and latency of the existing knowledge acquisitions through the formal system rationalization, values of solid researches. The general results of the research are they help them access diverse players such as civic activists, political leaders and even scholars. This is to help their operational planning reliable and to be the evidence of

the lessons. The results are at the moderate level. However, it is believed that to use perfect tool likely demands to use that others are interested in the knowledge for PB.

The critical findings are, first it shows that QCA is likely efficient to gather and to be evidence having system to revise the previous researches. QCA can be used to erase the repetitive components with regards to the claims of rights or to identify the cause which eases understanding. Second, it is contradicted to the previous literature reviews that PB has no conditions causing to explain the success of public control. However, if being compared to the cases specifically collected or selecting specific results of the positive outcomes; the catalysts or the appliers of PB should reflect about their new innovated system and the jobs they know in the system. Third, QCA being applicable to identify the best applicant for future is the additional thing in the case of in-depth studies. QCA is a useful tool for further developing education program and the scope of concept. Finally, it is quotable that QCA can be exploited with a large size group under the research strategy in finding the values of relationship.

## **4.2 PB Knowledge Status Gained from Synthesizing Researches**

### **4.2.1 The Syntheses of the Research Methodology**

Most methodologies are integrated approaches between qualitative and quantitative methods along with diversity of minor approaches like focus group, in-depth interviews, observation, face-to-face interview, panel discussions, site observation, response of the interview, response analyses through using semi-structure interview forms. In addition, there is an integrated approach between the primary data and secondary data, comparison of case studies, documentary researches and qualitative analysis.

### **4.2.2 The Syntheses of the Related Theoretical Concepts**

The key theoretical concept in the study is PB (participatory budgeting), which is principally used in the explanation of its context in the country/ city where the investigation has been conducted and as part of the PB origin like Porto Alegre,

Brazil. Other concepts used as the foundation for the study are relying on the explanation of its aspect, context and objectives. For example, if one wants to study whether and how PB helps create social capital; the concept of social capital would be taken as the related theoretical concept. Therefore, from reviewing the past researches, there are following concepts of 1) the intrinsic motivations or the authentic motivations, and the instrumental motivations. 2) The concepts of democracy are such as the theories of democracy and participation, the democratic imbalance, deliberative democracy, deliberative innovation, and democratic innovation and so on. 3) The concepts of budgetary system are such as the incremental budgeting, the performance-based budgeting, the zero-based budgeting, and the project-planned budgeting and so on. 4) It is the theory of social capital. 5) It is the theory of good governance. And 6) the theoretical concepts of citizen/public participation are such as citizen/public participation in decisionmaking, roles of public participation, and limitations of public participation.

#### **4.2.3 The Data Syntheses**

All the synthesized 15 research results above have been divided into three major issues: success/positivity, failure and recommendation from the studies. They are concluded that the success or positivity is acquired from synthesizing 1) PB is successful in terms of people valuing the real benefits of participation. 2) PB can help reduce democratic imbalance. 3) PB can increase social capital through providing public goods and more commitment of people in politics attracts them to stay in the community longer. 4) PB offers better outputs than the current traditional budgeting in New York – applying PB rises 38% innovative projects while not applying PB rises just 15% only. In addition, projects applying PB lead to better accuracy. Assessment in each zone is fairer than the conventional budgeting and without transparency. 5) PB bring wellbeing or livelihood to public in the dimensions of less disposals, better sanitation, having local health clinics, better health, better roads and routes. PB promotes equality which is not economic and political power but it means they are equally free to participate in PB with regards to proposing their needs, evaluation, debates, compromise and decision-making. 6) PB promotes the progression of democracy in participating in democratic activities. People are more than being just

consultants or the input-man but deliberation and the findings assert that PB is the springboard to deliberative provided to individuals who are previously not successful. With PB experiences, none wants to let it go. Every organization or community think that PB adds values to what they have done. None thinks whether PB will be good or inappropriate but benefit it gives, it is indisputable. 7) PB-based projection is the execution that participants are successful in decision-making, coherent pattern of the participants respecting and listening to opinions of others, and the decision-making is the consensus which supports discussions and the foundation of public participation. Most participants own positive thinking on participating in activities with interest and enjoyment. They tend to be pleased to have the opportunity of decision-making in the allocation of the resources.

The issues of failure from applying PB are found in Uganda. Its PB application involves just technicians in the key positions. The mechanism of citizen/public participation is not adjusted properly to meet the local environment, values and social norms. Common people are not involved in the allocation of public resources. Their PB is just restricted in the stage of preparing budget. In Mantsopa municipality, it is found that the understanding of PB is restricted around leading to good governance. The municipality does not improve and promote citizen/public participation in the municipal decision-making, lacks of clear strategies to support citizen/public participation in PB. In Cordoba, its success is behind other cities. Its most restriction is its demography, political structure and history, and PB structure itself. Its failure comes from political distraction and the lowering of political motive which are greater than other countries and cities. The problem of PB is it lacks the measures of constructive performance appraisals.

Recommendations and opinions gained from the research syntheses are factors positively influencing in the budgeting processes, which are democratic governance at the grass root, the readiness of financial resources, the readiness of time and so on. The challenges and opportunities are the perception that people are important in their involvement. PB is diverse in many countries. These researches play the important base for future investigation in order to analyze PB in different countries. The findings in these researches can be applied in the disciplines of public administration and political sciences. Good practices and gist of PB are it is necessary

for co-decision-making in the large amount of budget that participants feel their involvements. It is necessary to have deliberative, aggressive policies in order to increase participation. PB needs to be responsible for its outputs, having transparency but its transparency must be legitimate and PB needs ongoing adjustment in order to retain the above criteria.

#### **4.2.4 Policy Recommendations and Future Studies Gained from These Syntheses**

Due to PB experiences from various cities and the recommendations from the researchers; they provide good perspectives with diverse PB applications. They are focused on the policy recommendations applicable to the Thai local governance. Moliehi Leduka (2009) recommends that environments should be properly arranged, the process designs facilitating the participation, creation of innovative mechanism, consciousness of target and the end-results of citizen/public participation in the budgeting process. Sandra Drouault (2008) interestingly recommends that applying PB demand co-decision-making in the large amount of budget so that participants feel their involvement in PB. Therefore, it needs deliberative and aggressive policies in order to increase involvement in PB because there is responsibility for their results. PB demands transparency and the transparency must be legitimate. Consequently, PB requires ongoing adaptation to retain its above criteria.

In addition, Marie Claire Vasquez Durán (2014) recommends on policies of 1) improving the assembly structure of PB because it will cover more representation; 2) checking whether the community leaders/ the authorized persons facilitate deliberative without manipulation and coercion; 3) binding PB with the government for complementing decision-making; 4) transforming social visions so that PB can and should be the platform for communities; and 5) remodeling PB meeting for deliberative with greater scope and importance.

The recommendations given by the researchers are in the same direction with regards to training and program development for training so that all will be better familiar to the existing rules and regulations, PB process and to enable persons involved precisely conduct appraisals. Hollie Russon Gilman (2012) further recommends project-based budgeting but it needs to focus on projects for social rather

than infrastructure, to develop system and to improve city structures in order to increase the peripheral participants (Hadyn Lindsey Kihm: 2010). Delivering the municipal public service should not be specific for residence there are also transports, and education. Consequently, PB is to integrate with city planning which similarly needs policymaking as delivering the municipal public services (Ana Paula Pimentel Walker: 2013).

#### **4.2.5 PB Process Enabling the Applications in the Thai Local Governance**

There are four major procedures in preparing PB, i.e. 1) idea brainstorm from people in the community with meeting (or online meeting) to discuss and propose their problems or needs, then select representatives to propose their projects approved by people in the communities. 2) Developing proposals might be to seek for knowledge and to improve proposals form specialists or for feasibilities studies, to find legitimacy, appropriateness and priority through the OB representatives. 3) Voting is the community/villages/sub-districts members have selected the urgent projects and appropriate budgets for the projects. 4) Applying the selected projects (Fund Winning Projects) will be inspected and trailed by civil sectors.

However, upon application and coherence to the results from synthesizing the above researches, they can be summarized the PB process into 7 procedures as below table 4.1.

**Table 4.1 Seven (7) procedures of the PB process**

| <b>Meeting</b>                          | <b>Meeting Objectives</b>   | <b>Participants</b>  |
|---|---|--|
| 1.General Local Meeting                 | Providing data<br>- present previous year projects<br>- present current budget<br>- explain PB process  | people, civic sector<br>NGOs, local authorities  |
| 2. Meeting in each village or community | - deliberative, express opinion, propose projects<br>- select representatives for supervisory committee | Village /community residents   |
| 3. PB Council Meeting                   | - prioritize project and budget<br>- vote for perfect projects  | - Residents of local administration organization<br>- the state authorities<br>- select PB representatives |

**Table 4.1 Seven (7) procedures of the PB process (cont.)**

| <b>Meeting</b>                          | <b>Meeting Objectives</b>  | <b>Participants</b>   |
|---|--|---|
| 4. Mayor's Offices Meeting              | - Structure budget through the advice of the PB council and non-PB council | - Executive/Deputy Chief<br>- Teamwork/Advisory team  |
| 5. Local Council Meeting                | To be deliberate budget and PB project<br>- debate and conclude budget     | - local council members<br>- Chief Executive<br>- PB representatives and interested common people |
| 6. Project Construction and Supervision | Progress of the project<br>- responsibility<br>- pursue the project        | - local council members<br>- Chief Executive<br>- PB representatives and interested common people |
| 7. Project Trailing and Evaluating      | Acknowledge success/ problems and limitations/ transparency                | - local council members<br>- Chief Executive<br>- PB representatives and interested common people |

The above table indicates that all the four procedures of PB have been adjusted to be coherent and applicable to the Thai local governance by adding into seven (7) steps for more evident implementation. Each step contains details of its meeting objectives and who can participate. As such, it can be adapted to meet the contexts and citizen/public participation existing in each locality.

Studying the 15 researches, synopsis could be research methodology, the research theoretical concepts, success, failure, recommendation and future studies as in below table.

**Table 4.2 Summary of synthesize the premises of knowledge on the participatory budgeting**

| Data Sets  | Research Methodology   | Theoretical Concepts   | Results: success/failure  | Recommendations/ future studies  |
|--|--|--|---|--|
| <p><b>1. Hamilton, Molly E. (2014)</b> - Is Participatory Democracy the Answer? : Participatory Budgeting and Development in Brazilian Municipalities</p>                | <ul style="list-style-type: none"> <li>- subjective survey data</li> <li>- quantitative study</li> </ul>             | <ul style="list-style-type: none"> <li>- intrinsic motivations/ pragmatic motivation</li> <li>- instrumental motivations)</li> <li>- Participatory Budgeting (PB)</li> </ul>   | <ul style="list-style-type: none"> <li>- PB is less successful with instrumental benefits e.g. public service improvement</li> <li>- people value intrinsic benefits of their participation e.g. knowledge, pride of PB</li> </ul>  | <ul style="list-style-type: none"> <li>- should survey local municipalities of similarity on applying PB</li> <li>- Future studies should additionally study other factors and/or incrementally define appropriate operations.</li> </ul>  |
| <p><b>2. Anna Forkovocova (2013)</b> - Understanding Participatory Budgeting: Lesson learn from Bratislava</p>   | <p>Secondary Material studies and Interviews</p>   | <ul style="list-style-type: none"> <li>- democratic imbalance</li> <li>- deliberative innovation</li> <li>- democratic innovation</li> <li>- participatory budgeting :PB</li> </ul>  | <ul style="list-style-type: none"> <li>- PB can help reduce democratic imbalance in all it 4 models – knowledge of people, imperfect election democracy, lack of transparency and outputs of the policy uncovering all individual groups</li> <li>- methods of PB to meet success in Bratislava – having new tools for public participation, e.g. online voting</li> </ul>  | <p>No data</p>   |
| <p><b>3. Saturninus Kasozi-Mulindwa (2013)</b> - The Process and outcomes of Participatory Budgeting in a decentralized local government framework: A case in Uganda</p> | <ul style="list-style-type: none"> <li>- qualitative interpretive approach</li> <li>- a case study design</li> </ul> | <ul style="list-style-type: none"> <li>- Incremental Budgeting</li> <li>- Performance Budgeting</li> <li>- Zero base budgeting : ZBB</li> <li>- Planning Programming Budgeting System : PPBS)</li> <li>- The Concept of Citizen Participation)</li> <li>- The Concept of Participatory Budgeting)</li> </ul> | <ol style="list-style-type: none"> <li>1) PB just has technical officers in key positions as participants</li> <li>2) Mechanism of citizen/public participation has been adapted to meet the local environments, values and social norms.</li> <li>3) The following factors positively influence PB are grassroot democratic governance, readiness of financial resources, readiness of time, etc.,</li> <li>4) Common people have not involved in allocating the public resources; their involvement in PB is just its preparatory stage.</li> </ol> | <ul style="list-style-type: none"> <li>- Next studies should apply cross-sectional approach to gain empirical evidence for developing the conceptual framework.</li> <li>- The future studies should investigate the matters of crafting efficiency of PB to improve the state supervisory system</li> </ul> |

Table 4.2 Summary of synthesize the premises of knowledge on the participatory budgeting (cont.)

| Data Sets   | Research Methodology  | Theoretical Concepts  | Results: success/failure   | Recommendations/ future studies   |
|---|---|---|--|---|
| <p><b>4. Allison Blythe Hurlbut (2012)</b> - Piloting Participatory Budgeting: an Examination of Social Capital, Well-Being, and Public Good Provision in New York City</p>     | <ul style="list-style-type: none"> <li>- case study method</li> <li>- document study</li> <li>- Situational analysis with involved behaviors that cannot be handled</li> </ul>  | <ul style="list-style-type: none"> <li>- Theories of social capital through norms, trust or social networks</li> </ul>  | <ul style="list-style-type: none"> <li>- PB process can increase social capital through having public goods</li> <li>- Urban people gain benefits from participation but under uncertain system</li> <li>- More tie of people to politics attracts them to reside longer in the community</li> <li>- inequality structure leads to inequality of social capital and organizing to have public goods</li> </ul>                                     | <ul style="list-style-type: none"> <li>- Studies should expand citizen/public participation in each process in order to determine approaches where processes are more assembled in future.</li> <li>- Future studies should involve the non-participants since they are not investigated.</li> </ul>  |
| <p><b>5. Molehi Leduka (2009)</b> - Participatory Budgeting in the south African local government context: the case of the Mantsopa Local Municipality, free state province</p> | <ul style="list-style-type: none"> <li>- qualitative approach</li> <li>- secondary data study</li> <li>- Data collection through focus group and in-depth interviews and observations with PB meeting participants</li> </ul> | <ul style="list-style-type: none"> <li>- Concepts of Participatory Budgeting Process</li> <li>- Principles of good governance</li> </ul>  | <ul style="list-style-type: none"> <li>- participation is more meaningful than counseling and dominating decisionmaking</li> <li>- understanding PB is the concept leading to good governance in Mantsopa</li> <li>- Municipalities are not improved and promoted on citizen/public participation in their decisionmaking process</li> <li>- Shortage of evident strategies to support citizen/public participation in the municipal PB</li> </ul> | <ul style="list-style-type: none"> <li>- Recommendations are budgets covering salary and wages should be investigated.</li> <li>- Policy recommendations are creating appropriate environments, appropriate design facilitating participation, mechanization of innovation, consciousness of targets and results of citizen/public participation in PB</li> </ul> |
| <p><b>6. Jyldyz T. Kasymova (2013)</b> - Reforming local government in developing countries: Implementation of a Participatory Budgeting process in Kyrgyzstan</p>              | <ul style="list-style-type: none"> <li>- mixed methods approach with qualitative and quantitative analysis</li> <li>- face-to-face interviews</li> <li>- In-depth interviews through semi-structured interviews</li> </ul>    | <ul style="list-style-type: none"> <li>- Concepts of Implementation of participatory budgeting around the world</li> <li>- Process and procedures of preparing PB in Porto Alegre</li> <li>- Implementation theory</li> </ul> | <ul style="list-style-type: none"> <li>- Challenges and opportunities perceiving that people are important in participation</li> <li>- PB has its different forms in many countries and this research is the critical foundation for future studies in order to analyze PB in different countries</li> <li>- Its findings can be applied in public administration and political sciences.</li> </ul>   | <ul style="list-style-type: none"> <li>- Future studies might inspect and comparatively analyze budget hearings in every type and its efficiency</li> <li>- Tools might be constructed to before and after survey larger data of PB hearing</li> <li>- PB should be compared with other countries with transition and with similarity</li> </ul>                  |

**Table 4.2 Summary of synthesize the premises of knowledge on the participatory budgeting (cont.)**

| Data Sets  | Research Methodology   | Theoretical Concepts  | Results: success/failure  | Recommendations/ future studies  |
|--|--|---|---|--|
| <p><b>7. Sandra Drouault (2008)</b><br/>Participatory Budgeting: a developing country process? A comparative analysis of the experiences of PB in Brazil, France and Spain</p> | <ul style="list-style-type: none"> <li>- comparative approach integrating between primary materials and secondary materials including between qualitative and quantitative data</li> </ul>   | <ul style="list-style-type: none"> <li>- Democratic and Participative theory</li> <li>- Deliberative Democracy theory)</li> </ul>   | <ul style="list-style-type: none"> <li>- Analysis provides 5 variables of good practices and they are referred to PB essence, i.e. 1) PB demands co-decide with large amount of budget to allow participants feel involvement, 2) PB demands deliberative, 3) PB demands aggressive policies for participation and PB must be responsible for its outputs, 4) PB must be transparent and its transparency must be legitimate, and 5) PB demands ongoing adjustment to retain the above criteria</li> </ul>  | <ul style="list-style-type: none"> <li>- Future studies require to know backgrounds of the PB participants in the investigated countries</li> <li>- More than comparative studies - need to evaluate the importance of the influence of PB and its results.</li> </ul>   |
| <p><b>8. Hollie Russon Gilman (2012) - Transformative Deliberations: Participatory Budgeting in the United States</b></p>  | <ul style="list-style-type: none"> <li>- mixed methods approach to gain quantitative and qualitative results</li> <li>- surveys</li> <li>- data analysis</li> <li>- in-depth interviews</li> <li>- secondary resources</li> <li>- participant observation</li> </ul> | <ul style="list-style-type: none"> <li>- Concept of citizen politics having Aristotle's theory as the base to explain politics and political structure</li> <li>- Concept of participatory budgeting</li> </ul> | <ul style="list-style-type: none"> <li>- Results assert that PB offers better results than the existing conventional budgeting in New York</li> <li>- Challenges of participation are high expenses, weak process, and dangers of future competency leverage</li> <li>- Results of applying PB in New York are constructive and existentialist, e.g. incremental knowledge of citizen</li> <li>- Applying PB grow innovation for 38% whereas non applying grows just 15%</li> <li>-Projects applying PB will have more legitimacy and evaluation of needs in each zone is fairer than the conventional budgeting which is not transparent.</li> </ul> | <ul style="list-style-type: none"> <li>-Organize ICT training for those involved to enable them accurately conduct performance appraisal</li> <li>- Studies should focus on long-term of PB impacts in USA including more components, participatory structures which reduce formality in the local governance through accessing data with more exposures for the Americans in the 21<sup>st</sup> Century and might be able to use ICT for two-way communication more</li> </ul> |

**Table 4.2 Summary of synthesize the premises of knowledge on the participatory budgeting (cont.)**

| Data Sets  | Research Methodology  | Theoretical Concepts   | Results: success/failure  | Recommendations/ future studies   |
|--|---|--|---|---|
| <p><b>9. Marie Claire Vasquez Durán (2014)</b> - Participatory Budgeting in the Dominican Republic: Implications for Agency, Democracy and Development</p> | <p>- mixed-methods approach through interview, survey, direct observations with PB meeting<br/>- การวิจัยแบบผสมผสาน (regression analysis)</p> | <p>- Concept of Citizen Participation)<br/>- Concept of Participatory and Deliberative Democracy<br/>- Understanding Participatory Budgeting<br/>- Participatory Budgeting in the Dominican Republic</p> | <p>- PB enables community representatives participate in the selected project with honesty and do not facilitate in the manner of coercion<br/>- PB enables people wellbeing in the dimensions of less disposals, better sanitation, having health clinics, debates, compromise and decisionmaking<br/>- PB promotes democratic progress through participating democratic activities rather than being consultant or imputers but deliberative.</p> | <p>- Policy recommendations from the study are 1) improve the structure of PB assembly to cover more representatives; 2) check whether community leaders or empowered persons either facilitate consultation or avoid supervision and enforcement; 3) Tie PB with government to complement decisionmaking; 4) transform social vision to enable PB to be the platform for communities; 5) remodel PB meeting for deliberative with more scope and importance<br/>- Future studies should investigate how to leverage competency of community creativity and to craft destination of the local council strategies.</p> |
| <p><b>10. David Wynn Davies (2011)</b> - Participatory budgeting: Is it 'doorstep democracy' and does it liberate collective wisdom?</p>                   | <p>- more qualitative approach than a quantitative one</p>  | <p>- Concept of citizen participation in decision making<br/>- The role of public participation<br/>- Barriers to public engagement</p>  | <p>- Results asserts that PB is a step to deliberative with individuals ever failed before<br/>- Experiences of applying PB; none wants to let it go. All organization or communities think that PB adds values to what they have done. None think whether PB is either good or inappropriate but benefits earned from PB are indisputable.</p>   |   |
| <p><b>11. Hadyn Lindsey Kihm (2010)</b> - Participatory Budgeting in Córdoba: a Policy Approach to Strengthening Democracy in Latin America</p>            | <p>- qualitative approach<br/>- key informant interviews</p>  | <p>- Concept of social accountability<br/>- Participation and Social Accountability<br/>- Concept of political accountability<br/>- Concept of participatory budgeting: PB</p>                           | <p>- PB in Córdoba, Latin America fails behind other cities its leading limitations are its political structure and its PB history.<br/>- PB failures come from political distractions and political will are growing importance compare to other countries and cities.</p>   | <p>- Develop training program for all to realize rules and regulations<br/>- Allocate budget by projects but focus on social projects rather than infrastructures<br/>- Develop systems and restructure cities.<br/>- Increase participation of the peripheral people</p>   |

**Table 4.2 Summary of synthesize the premises of knowledge on the participatory budgeting (cont.)**

| Data Sets   | Research Methodology   | Theoretical Concepts  | Results: success/failure  | Recommendations/ future studies  |
|---|--|---|---|--|
| <p><b>12. Brandon Kent Chapin (2013)</b> - From the Ashes of Bankruptcy: an Assessment of the Collaborative Properties of the city of Vallejo's Participatory Budgeting Project</p> | <ul style="list-style-type: none"> <li>- Field observations</li> <li>- Response interview</li> <li>- Response Analysis</li> </ul>  | <ul style="list-style-type: none"> <li>- Concept of Collaborative Dialogue</li> <li>- Citizen/public participation Theory</li> <li>- Concept of Participatory Budgeting: PB</li> </ul>                                | <ul style="list-style-type: none"> <li>- Uncertainties surrounding PB come from decisionmaking of the city council in selecting the best project</li> <li>- PB projects facilitate ongoing problem proposals in future.</li> <li>- PB problems are shortages of measures to test constructive performance appraisals.</li> </ul>  | <ul style="list-style-type: none"> <li>- Limitations of the study are time and place where researcher cannot interview public members or representatives on budget</li> </ul>  |
| <p><b>13. Thomas William Daniel Cohen (2012)</b> - Bringing Climate Change into Participatory Budgeting: A good idea at the wrong time?</p>   | <ul style="list-style-type: none"> <li>- semi-structured interviews</li> <li>- small-group discussions</li> <li>- qualitative analysis</li> <li>- quantitative analysis through questionnaires</li> </ul>            | <ul style="list-style-type: none"> <li>- Local governance and surveys of climate change</li> <li>- Citizen/public participation and the case of PB</li> <li>- Applying the concept of climate change to PB</li> </ul> | <ul style="list-style-type: none"> <li>- Pursuing PB is the work that participants are successful in decisionmaking</li> <li>- responsive response of participants who respect and hear opinions of others, and decisionmaking coming from consensus which support deliberation as the foundation of the citizen participation</li> <li>- Most participants positively think over participating in activities with interest and enjoyment. They tend to be pleased of having opportunity to involve in decisionmaking on allocation of the local resources</li> </ul> | <ul style="list-style-type: none"> <li>- Future researches are possible in comparing the PEB structure among the local government organizations on the possibility of different operation in each set of the projects, their natures of the projects and their limitations</li> </ul>                          |
| <p><b>14. Ana Paula Pimentel Walker (2013)</b> - Face-to-Face Citizenship: the Effects, Ethics, and Aesthetics of Participatory Budgeting in Porto Alegre, Brazil</p>               | <ul style="list-style-type: none"> <li>- Explore deliberative meeting in word-by-word</li> <li>- Observe budgetary meeting participants</li> <li>- Fieldwork with grassroots organizations involved in PB</li> </ul> | <ul style="list-style-type: none"> <li>- Partisan Budgets</li> <li>- Collaborating the cooperation of the public and private sectors in PB</li> </ul>   | <ul style="list-style-type: none"> <li>- Efficiency of PB emerges among the poor residing in the urban for more than two decades</li> <li>- Targets of justice in redistribution is the fight against the causes of urban sites inequality</li> </ul>   | <ul style="list-style-type: none"> <li>- Delivery of the municipal public service should not be specific to residence, there are transports, and education; consequently, PB is to integrate the city planning which is the policymaking analogous to the delivery of the municipal public service.</li> </ul> |

**Table 4.2 Summary of synthesize the premises of knowledge on the participatory budgeting (cont.)**

| Data Sets   | Research Methodology                            | Theoretical Concepts  | Results: success/failure  | Recommendations/ future studies |
|---|---|---|---|---------------------------------|
| <p><b>15. Matthew Ryan (2014) - Advancing Comparison of Democratic Innovations A medium-N Fuzzy-set Qualitative Comparative Analysis of Participatory Budgeting</b></p> | <p>- Qualitative Comparative Analysis: QCA)</p> | <p>- Case study for comparative analysis<br/>                     - Qualitative Comparative Analysis: QCA</p> | <p>- Scope of democratic innovation especially PB with full grow –its major procedures are used in the direction of more comparative system<br/>                     - QCA is a tool likely efficient for collecting and becoming systematic evidence to review previous researches.<br/>                     - QCA is a tool most useful to develop education and synopsizing concepts and finally, it can be referred to QCA enables to be useful with the large size samples under the research strategies of finding relationship</p> | <p>No data</p>                  |

## **CHAPTER V**

### **ELEMENTS REINFORCING SUCCESS OF PEOPLE PARTICIPATION**

In a study of “Participatory Budgeting Concept Applied in the Thai Local Governance” and its fifth Chapter will respond to Objective 2: to investigate elements reinforcing the success of people participation in the participatory budgeting of the Thai local government organization. This chapter presents the results of fieldwork conducting in-depth interview, focus group and non-participatory observations. The findings will be used in formulating a model of PB appropriate to the Thai local governance.

The synthetic results of the previous chapters reveal that the PB knowledge can be applied in the Thai local governance and it is PB. In this chapter, the researcher will apply PB to meet the context of each local government and to meet the traditional participation through embracing the existing project in each local into PB with 7 steps, i.e. 1) organizing grand forum in the local, 2) organizing forum in each village and community, 3) organizing PB Council, 4) organizing board meeting, 5) organizing local council meeting, 6) constructing and supervising projects, and 7) meeting, trailing and evaluating project performances. As such, it is to link PB knowledge and the local participatory process with similar relevancy.

This fieldwork will respond to Objective 2: to investigate elements reinforcing the success of people participation in the participatory budgeting of the Thai local government organization. The fieldworks are conducted with the awarded ODLOC (Office of the Decentralization of the Local Government Organization Committee) by the leading organizations of the country which support and promote decentralization and the local governance like King Prajadhipok's Institute and ODLOC, and good governance awarded by Office of the Permanent Secretary, Prime Minister Office.

## **5.1 The Provincial Administration Organization (PAO) of Mae Hong Son**

### **5.1.1 General Information of Mae Hong Son PAO**

The Mae Hong Son PAO rose with the Provincial Government Organization Act BE 2540 (1997) as a jurist body with the entire Mae Hong Son province under responsible area. It is located in the northwestern of Thailand and 924 kilometers distant from Bangkok. It engulfs around 7,925,812.5 rais (around 4,953.63 sq.km). Its geographic conditions are mostly high intricate mountains with rich natural forest at 88.2% which restricts plains for cultivations to just 211,413 rais (around 132.13 sq.km.) or 2.6% only. Its climate is humid when summer, it is heated and when winter it is very chilled while rainy season is full of showers. In addition, fogs cover the Mae Hong Son province the whole year.

Mae Hong Son province divides its administration into 7 districts with 50 local government organizations and a provincial government organization, one municipality, six subdistrict municipalities and 42 subdistrict government organizations. Its population is 273,764 citizens divided into 139,769 males and 133,995 females (data dated December.31, 2015). Its population is divided into two ethnicities, i.e. 1) the Tai Yai or Khon Tai who live in the plains. 2) The Mae Hong Son ethnicity who mostly live and work in the high areas which their number is relative to the Tai Yai. The hill-tribes live in every district among 576 villages. Its economic status has its growth No. 75th. of Thailand with its GDP per capita around 54,615 Bath/head/year. Mae Hong Son is accounted for the forefront poor province of the country. Its population profession is agriculture or 49.40%. Its social condition and poverty come from its geographical area with valleys and less plains, which finds fewer spaces to cultivate farming and/or building industrial factories. Valley makes transportation inconvenient between villages, subdistricts, and districts, and poor accessing deserved public services because the scarcity of infrastructures, electricity and water supplies. Its population involves ethnic groups with diverse races and they communicate with their own tribal languages. To access their basic education is so restricted. The data on expense budget of Mae Hong Son of the PAO (Provincial Administration Organization) reveal that there are just 255,000,000 Baht only (Fiscal Budget Year 2017). It does not prevail for public services to cover 7 districts. Most expenses are for general administration for 69,288,270 Baht (Davison of Plan and Budget: Mae Hong Son PAO, 2017).

### 5.1.2 People Participation in the Mae Hong Son PAO

With above information of Mae Hong Son province, it reveals that it is a province with so many problems either quality of life or infrastructure or non-modern livelihood or diversified ethnic groups (accommodate many hill tribes) compared with restricted 200 million Baht budget. It is impossible to solve all these problems with restricted budgets but the needs of the Mae Hong Sonners are unrestricted particularly the basic public services on electricity, water supplies and transportations. They challenge the PAO and therefore to be responsive directly to the needs of people is to welcome people to propose their problems and needs in order to fairly and equally distribute budgets.

*“...Wilt myriad of problems but restricted budget; therefore t needs to seek ways directly responsive to the needs of people through choosing best fit the necessity of the area. The issue is who knows well that where urgent problem must be first treated if not the local people. Rationally, The PAO cannot know what people need and what re their prioritized urgencies...”*

The Mae Hong Son PAO executives interviewed on 10 Jan. 2017

*“...Our PAO has restricted budget of just 200 million Baht. Therefore, we have to make villagers vote to select their needs and prioritize projects...”*

The Mae Hong Son PAO executives interviewed on 10 Jan. 2017

Therefore, the Mae Hong Son PAO offers opportunity for people to propose their needs in each district. In each area, the basic proposals of projects must come from people – having forums and discussions first in their village and send their representatives to brief to its PAO. They are emphasized that it must be the proposal from people only not titans or local politicians. All are equal to propose projects by one man one vote. In the past, there were many projects proposed and all could not be completed. Projects have been selected through representatives such as the community leaders, presidents of SAO, PAO members, local leaders, subdistrict chiefs, and village chiefs. They all hold a meeting to prioritize projects. Diverse leaders will conduct check and balance automatically and no political agendas are masked; it is necessary to have local representatives co-working.

*“...The principles of PAO works are” decentralization of fairness to all subdistricts, prioritization of all tribes all religions without discrimination.” Therefore, all projects proposed are from people through inviting people from all villages to participate forums with 700 people a district in order to brief their project before PAO. This is to gain diversified ideas for all representative groups such as housewife groups, women groups and the elderly groups and to present proposals collected from their members in each community and in each locality to their representatives that they will participate in meetings to decide about projects and their prioritization.*

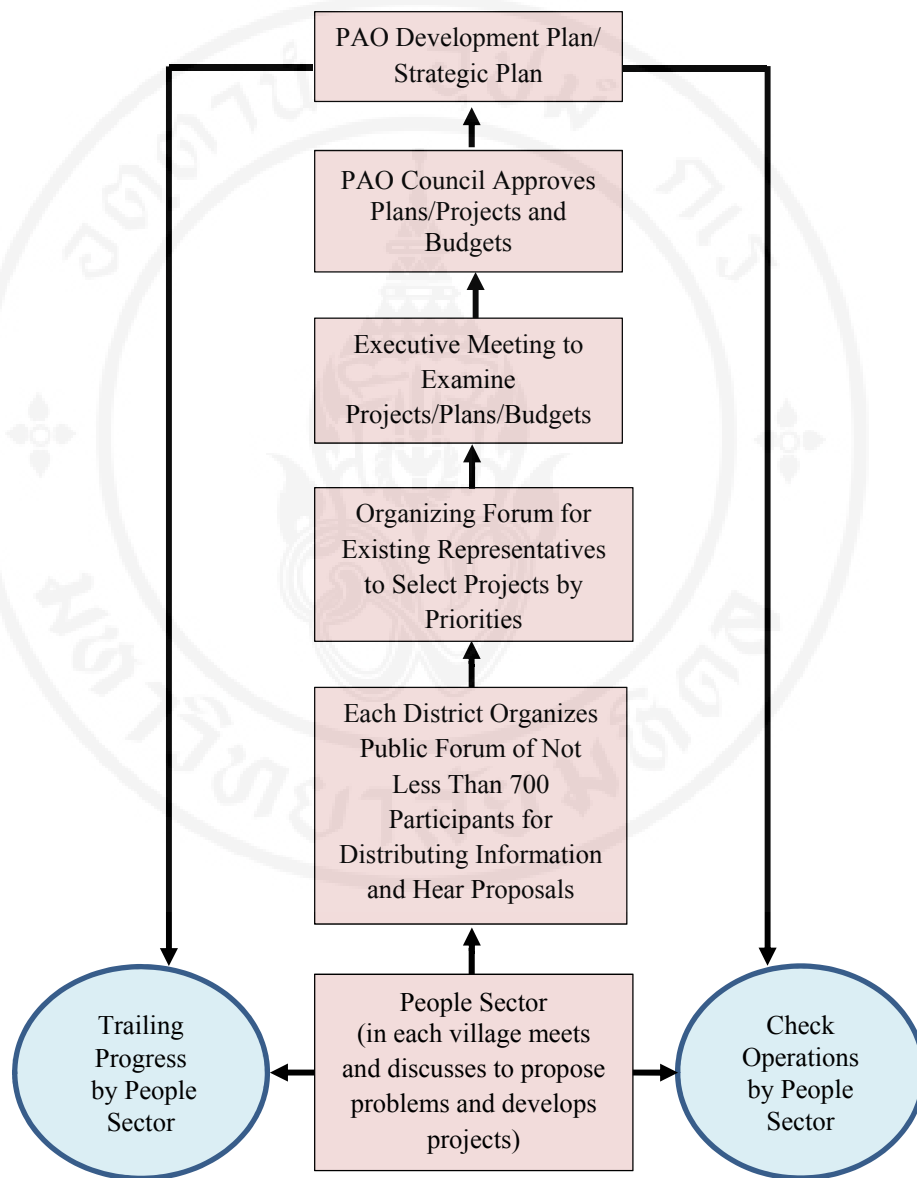
The Mae Hong Son PAO executives interviewed on 11 Jan. 2017

Besides people participation coming from restricted budget, poverty and other oppressions; legalization from the central administration, vision, and opportunity from the local leaders seeing the importance of people; they also affect their involvements. It is witnessed with their strategization of Mae Hong Son PAO (Year 2017-2019) on strategies of local development governance with the courses of development to promote involvements participation and the civil society process to support their participation in the local governance and all sectors to rise networks and collaboration so as to the local development would follow the motive and the true needs of people. The people participation process of the Mae Hong Sonners is not end here but just the project proposals only. However, they still have to participate in inspection of the project performance, too. The inspection process begins from the project proposals and it needs to indentify whose projects. Where are projects implemented? And how much budget will be spent? This is a policy inspection followed by implementation and is enabled to inspect through civil networks. The state procurements are checked that people have to check and signing acceptance approval (at less two persons a project). In addition, there are promotions for each project for people to know and to inform which village is awarded with what project and budget in order to attract negotiation and accountability rather than congesting budgets to some places.

*“....To check those decide projects and do not impose projects to specifically their own home but stabling the information dissemination system. It allows people to know what have PAO spent budgets from the collected tax from people. Disclosure of information through public relation creates confidence, trust and acceptance form people toward PAO. Then when they have problems, they will think of PAO because it can help them...”*

The Mae Hong Son PAO executives interviewed on 11 Jan. 2017

With data gained form in-depth interview, focus groups, observation and informal association with the Mae Hong Son PAO personnel, people, grand elders, and local intellectuals; they can be concluded that the Mae Hong Son PAO people participation process as the chart below.



**Figure 5.1 PAO people participation: Mae Hong Son**

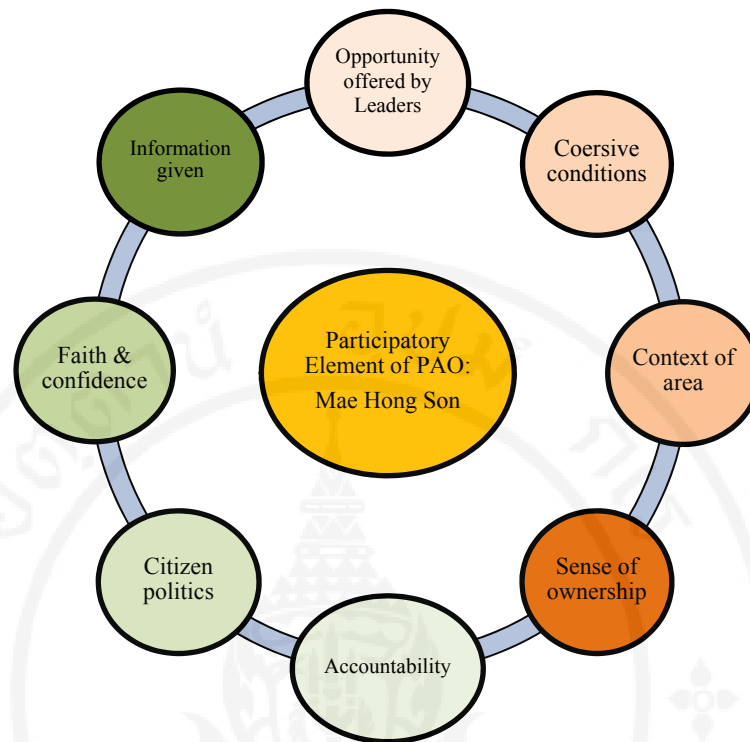
Source: Researcher (2017)

PAO: Provincial Local Organization

### **5.1.3 Elements encouraging people participation in the Mae Hong Son PAO**

With data interviewed with the Mae Hong Son PAO executives, focus groups and non-participatory observation; the researcher finds that by the above data, it becomes the opportunity together – more problems exist and more wild make more misery to people. There will be more participation if the state agencies pay interest and attentions to their proposals; PAO then reports projects back to people to realize these are their proposal projects. This is to let them know the PAO pays attention to their proposals and not only political affairs. It will motivate them to propose projects and sense of ownership in those projects, too. Therefore, the important elements reinforcing people to participate in the Mae Hong Son PAO are 1) opportunity by the local leaders and by related laws, 2) coerced by poverty, poor quality of life, no opportunity in education and no opportunity in employment, 3) area context especially its wild geography with most areas are highly mountainous, difficult for transport and difficult to access the basic public utilities, and 4) sense of belonging on public benefits offering opportunity to propose projects, problems and opinions. 5) Accountability, it begins from the start until the end of the project and checkers as the taxpayers, 6) providing public relation, information and the access of people in the LGO (local government organization), 7) citizen politics who are representatives and are civic network, and 8) trust, confidence and faith toward participation which leads to acceptance in the PAO roles and finally contributing participation.

From public relations and from fair-play information disclosures of PAO; it senses them Mae Hong Son is truly their own province. The important elements reinforcing people participate with the Mae Hong Son PAO are illustrated in the figure 5.2 below.



**Figure 5.2 Elements reinforcing people participation the Mae Hong Son PAO**

Source: Researcher (2017)

#### **5.1.4 Fortitude of people sector and channel of participation**

Conclusions gained from in-depth interviews, focus group and non-participatory observation, it is found that the fortitude of Mae Hong Son PAO civic sector significantly comes from its community-village leaders because they are conditioned as representative and translators in the local communication with the state agencies in the PAO areas. There are “citizen network” by the assemblage of the Mae Hong Sonners for meeting, complaining, representing citizen active for complaints and proposing their viewpoints such as women groups, housewife groups, public mind groups, the elderly groups and the disable groups and so on.

As of the channel for participation, the important communication is radio broadcasting, which has just only the MCOT Public Company Limited station. There are associations under the mobile project of “PAO Meets People”. There are communications through community representative such as grand elderly, subdistrict chiefs, PAO members, and organizing forums. As of providing information which is the preliminary people participation; they can access in many ways regardless the

PAO websites (<http://www.mhs-pao.com/mhspao/>) and PAO Facebook (<https://www.facebook.com/mhs.pao/>).

### **5.1.5 Application of PB (participatory budgeting): a case in the project of villages conserving forests**

People participation in public hearing survey with the project of villages conserving forests, Ban Mae Umong, Group 5, Sobpong Subdistrict, Pang Ma Pha District: Mae Hong Son province.

The researcher raises a case study on the project of villages conserving forests as a model in applying PB in this project because it can enhance quality of life for people and can reduce their economic discrimination which is another major goal of PB. It details are the Mae Hong Son PAO with the River Paai Wildlife Sanctuary select Ban Mae Umong and a prototype under the project of “villages conserving forests” where forest and lands are appropriately managed for balancing sustainable conservations and utilizations. The Mae Hong Son PAO calls 90 persons for workshops to pursue the project with the PAO and personnel, the personnel from River Paai Wildlife Sanctuary, the SAO executives and its personnel, villagers and the Ban Mae Umong committee members. This is to create understanding and brainstorming for all sectors to recognize and to understand the same direction both in concepts and practices.

The project of villages conserving forests is an integration and collaboration of the related government agencies (the Mae Hong Son PAO and the River Paai Wildlife Sanctuary) by offering opportunity for villagers who are the stakeholders to participate in hearing the explanations from the public sector and it is an opened public forum that villagers can express their opinions, propose their problems and their needs, here. Selecting the village prototype demands readiness from many parties like the village chiefs, and villagers (tribes) who lead their conservative ways of life. To shift of their ideas and ways of life are not easy, therefore, if the leaders from the public sector agencies see the importance of civic participation, attentiveness and hearing their problems and associating with them; it would be the satisfactory exits for all parties.

Operating the project of villages conserving forests expects to contribute benefits to villagers about tourists visiting the local communities such as visiting waterfalls, trekking, and studies of natures, will bring income to villagers from selling goods and services of food, shelters and more transports. In addition, the Mae Hong Son PAO prepares a pilot project in this locality by preparing common land for appropriate plantations (similar to corporative system) through requesting the villagers to send a representative from each household for collaboration. Products for distributions will be supported and marketed by the Mae Hong Son PAO. Goods from the project are under identical packaging while promoting the project at the same time. If it were successful, the project would be expanded to other villages that villagers will earn more, better quality of life, and more people know products from the project. Any LAOs interested can implement and top up these local innovations, too.

Consequently, activities creating the project of villages conserving forests when being applied to meet the concept of PB, it could be disclosed as in table 5.1.

**Table 5.1 Participation process relevant to PB in the project of villages conserving forests of the Mae Hong Son PAO**

| <b>Meeting and Meeting Objectives</b>   | <b>Participation process relevant to PB in the project of villages conserving forests of the Mae Hong Son PAO</b>   | <b>Level of Participation (IAP2)</b> |
|---|---|--------------------------------------|
| 1. General Local Meeting<br><b>Meeting Objectives</b><br>Providing data<br>- present previous year projects<br>- present current budget<br>- explain PB process                 | 1. Organizing the stakeholder forum to propose projects, problems hearing, provide opinion and information given by the Mae Hong Son PAO and related agencies (the River Paai Wildlife Sanctuary)   | Inform                               |
| 2. Meeting in each village or community<br><b>Meeting Objectives</b><br>- Deliberative, express opinion, propose projects<br>- select representatives for supervisory committee | 2. Organizing forums in each neighboring village for discussion on problems, needs of villagers in the project of villages conserving forests especially, lands, appropriate plantations and finding representatives to coordinate with the Mae Hong Son PAO. | Consult                              |

**Table 5.1 Participation process relevant to PB in the project of villages conserving forests of the Mae Hong Son PAO (cont.)**

| <b>Meeting and Meeting Objectives</b>   | <b>Participation process relevant to PB in the project of villages conserving forests of the Mae Hong Son PAO</b>   | <b>Level of Participation (IAP2)</b> |
|---|---|--------------------------------------|
| 3. PB Council Meeting<br><b>Meeting Objectives</b><br>- prioritize project and budget<br>- vote for perfect projects                        | 3. The existing representatives meeting e.g. community leaders, village ex-chief (grand elderly). Local council members, subdistrict chiefs, and village chiefs (grand elderly) for electing projects, project prioritization, and in order to meet the concept of PB, it should allow people to specify budget to be spent in the project. | Collaboration                        |
| 4. Mayor's Offices Meeting<br><b>Meeting Objectives</b><br>- Structure budget through the advice of the PB council and non-PB council       | 4. The Executive Meeting for proposing the project of villages conserving forests being approved submitted to the local council for budgeting.  | Involve                              |
| 5. Local Council Meeting<br><b>Meeting Objectives</b><br>To be deliberate budget and PB project<br>- debate and conclude budget             | 5. The Local Council Meeting for deliberatively approving budget proposed for the project of villages conserving forests by the executive board   | Involve                              |
| 6. Project Construction and Supervision<br><b>Meeting Objectives</b><br>Progress of the project<br>- responsibility<br>- pursue the project | 6. Announcement/public relation for information in order to check the project, sites and the approved budget  | Involve                              |
| 7. Project Trailing and Evaluating<br><b>Meeting Objectives</b><br>Acknowledge success/problems and limitations/transparency                | 7. Having the Mae Hong Sonners networks or nearby neighboring villages for acceptance approval according to the project of villages conserving forests (at least two members)   | Involve                              |

Source: Researcher (2017)

With the above table, it proposes the possibility and the application on the concept of PB in the Mae Hong Son PAO by exemplifying the project of villages conserving forests as a case study. This is to make it clear and constructive if PB were applied in this project is possible but just missing a process indicating the third stage of PB. Rationally, just not having the PB Council and people do not vote for budgets spent in the project. The PB application can help solve the problems of villagers on their economic discrimination which directly meets a PB goal through having a process and application method for PB as in the table above.

### **5.1.6 Limitations of participation in the Mae Hong Son PAO**

They are the area context with highly mountainous geography while heated during summer, chilled during winter distant from modernity and people live in wild areas with inconvenient transport and infrastructures like good roads, water supplies, and electricity is yet to reach these remote areas. In addition, the areas home diverse ethnicities and each tribe lives in valleys with their different identity, tradition, cultures, creed and values. Another problem is communication and each tribe owns their own language and they are diverse. The majority is not educated in basic education and cannot communicate Thai language. The Communication from PAO to the remote area people is difficult and with fewer channels such as having radio broadcasting station, and having mobile PAO such as PAO meets people. It cannot be so often because it demand preparation of personnel, sites and budget and so on.

### **5.1.7 Summary**

Under the policy of decentralization, it is so long for 20 years and affects the important roles of the LAO (the local government organization) with the mission of providing public services for people and with budget a rigid resource for its administration. It challenges both politics and administration of the LAO leaders and to legitimize best benefits for the providers and the end users. It is to offer opportunity for people to participate in applying the organizational policy.

Applying PB in the Thai LAO is another way to promote/support the roles of people participation through offering opportunity for people to propose projects which come from the needs of local people who have ascribed that they are useful for

the common people and they are presented to the power holders to allocate budgets. For example, it is the case of the Mae Hong Son PAO, which reflects that offering opportunity people to participate affects the PAO performance. It creates the sense of ownership and cherishes public belongings with confidence, faith and trust in administrating the state agencies. In addition, offering opportunity from leaders, oppression from poverty, accountability, public relation with information given and citizen politics are many other elements attracting people to involve in imposing the PAO policy which make people conscious of their rights, duties and collaboration with the public sectors if being requested.

## **5.2 Khon Khaen Metropolis Municipality (KKMM)**

### **5.2.1 General contextual conditions of KKMM**

Khon Khaen municipality is located in Muang District, Khon Khaen Province engulfing 46 square kilometers and 445 kilometers afar from Bangkok. It has been upgraded from City Municipality into Metropolis municipality under the Royal Decree enforced on 25<sup>th</sup> September 1995. KKMM accommodates its 118, 359 population recorded in April 2016 (55,418 males and 62,941 females). Its social and community conditions embrace 95 communities and divided into 5 zones attributed in 1) congested areas or slums, 2) urban communities, 3) semi-urban communities, 4) real estate communities and 5) government agency villages.

There are 104 organizations in KKMM (Town Hall Meeting) engulfing (1) 25 racial organizations, (2) 19 career organizations, (3) 3 regional organizations, (4) 7 international organizations, (5) 5 educational organizations, (6) 13 public organizations, (7) 17 hotels, (8) 7 Department stores, and (9) 8 economic organizations.

Its strategic positioning is determination to planning local development in order to achieve the vision of KKMM. Its local development is managed under the civic faith and the confidence of the local power. Therefore, its strategic positioning is “Smart City” to meet the era. All people sectors participate in development – Smart City is not smart in the city only but it is the city attempts to make itself smart with two (2) smart cores, i.e. 1) civic participation city development through brainstorming,

co-planning, co-decisionmaking and citizen participation; 2) Smart Citizens – it means the ability of participation in self-mange of the civic sector. It will not be just only the service receivers but can co-creating innovation to develop city and communities.

### 5.2.2 The KKMM People Participation

As above context, it is seen Muang Khon Khaen is the center of the northeastern region in education, public health, land and air transports. Its city growth brings both modernity and myriad of problems with impacts to its citizens, such as, problems of traffic jams, city congestions, quality of life and environment and so on. In addition, Muang Khon Khaen plays another important role in linking the relationship with the neighboring countries in AEC group such as the center of meeting, enterprising, investments, languages and cultures and so on. Therefore, with the challenges, the local leaders have to drive the city to keep pace with the current of changes along with solving problems of the local people. The KKMM board foresees the importance to develop the city coupled with offering opportunity for civic sector to participate in identify the possibility of Muang Khon Khaen because it accounts people is the city owner. This concept leads to the “Town Hall Meeting” around 1997. This is the start of the public policymaking process according to public new management (PNM) which prioritizes the needs and participation of people.

KKMM people participation begins from recognizing information from the municipality first what public activities it has or what policies are and then offers opportunity for citizen to **brainstorming**, opining together, propose problems and needs – what happen in the city and affect them any aspects. All these are always required for acknowledgement. What projects the municipality makes; they must be announced for people to acknowledge, calling for meeting which the municipality own equipments, i.e. village forum, town Hall Meeting, community plan forum, and local civic forum in order to create a full cycle participatory process , i.e. brainstorming, collaboration and common benefits received.

*“...The participatory level begins from perception. We offer opportunity for them to perceive, brainstorm and co-opine with co-conducting public hearing, collaboration, co-account, co-receive benefits. Just problem begins when brainstorming starts. We offer opportunity for people to work out a model in developing their own community. We offer them opportunity to organize workshops coached by the municipality and allowing people brainstorming to gain concepts of city/community development – it is their own wants...”*

KKMM executives interviewed on 15<sup>th</sup> December 2016

*“...The president nominates the groups to this work as “Dow Ruek Group” (Star Group) – it is their forums for planning through brainstorming and collaborating by the community people. The municipality as a state agency intervenes as a participatory process and encouraging them to opine and propose their needs. The municipality is just a coach...”*

KKMM executives interviewed on 15<sup>th</sup> December 2016

**Collaboration** – upon opportunities are offered to people to know information and co-propose problems, needs and pinions in the municipal hall meeting. Collaboration in the next step is to co-work. With the central administration decentralizes to the local municipality; it then distributes the works to people either healthcare or public health or education or public utilities or infrastructures, which people can work, they will. In the dimension of virtue, it is to promote local loyalty, the local bond, cracking conflicts and brawls, which are naturally found everywhere where money is distributed. Therefore, people have to learn about co-existence.

*“...Collaboration has its thinking principle of “Faith in Civic Sector”. It means, we believe that they are able and not unable. Therefore, whatever be, it is to best avoid representation. Meaning, What people can equally or better do but not related to security; the municipality will delegate them to do. When this thought is imprinted, the process is apparent as “a mini-municipality in max- municipality”. This is the decentralization...”*

KKMM executives interviewed on 15<sup>th</sup> December 2016

The exemplar case of collaboration is the construction of Holy Shrine of City Pillar in Khon Khaen, which previously is budgeted for 10 million Baht, but the PAO can subsidize just 3 million Baht. The president thinks that the City Pillar is not often constructed. He invited brainstorming because the Shrine is revered and worshiped by the Khon Khaeners. If people participate, it brings ownership. He then offers people opportunity for brainstorming through Town Hall Meeting and to be as a place for discussions, deliberations, and debates whiter should it be constructed; and if constructed what is the model; are there any obstacles? When the model is designed,

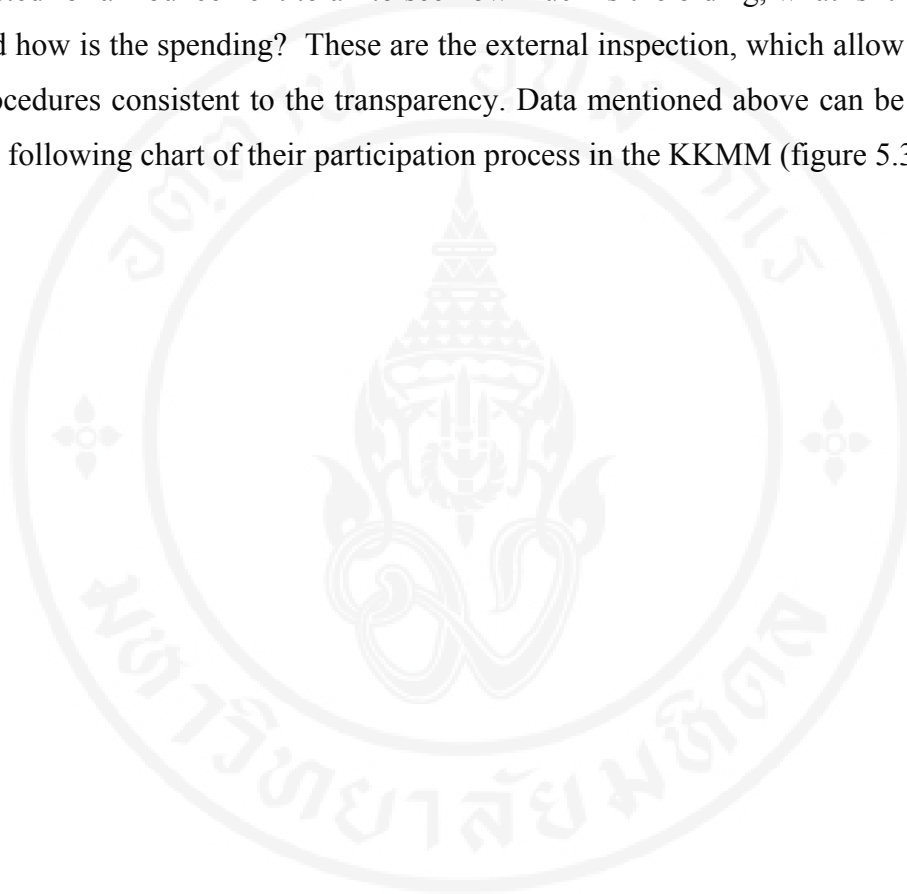
the meeting will comment; and finally, the model is awarded by the decisionmaking of the urban people who remodel it. After gaining the model, there is fund raising and the fund begins at 13 million Baht and the rest have been contributed by merchants, landlords, and Khon Khaeners. The donation reaches 50 million Baht. This is the collaboration upon the municipality leave people brainstorming. When there is collaboration, they cherish and protect it and none can touch and destroy it.

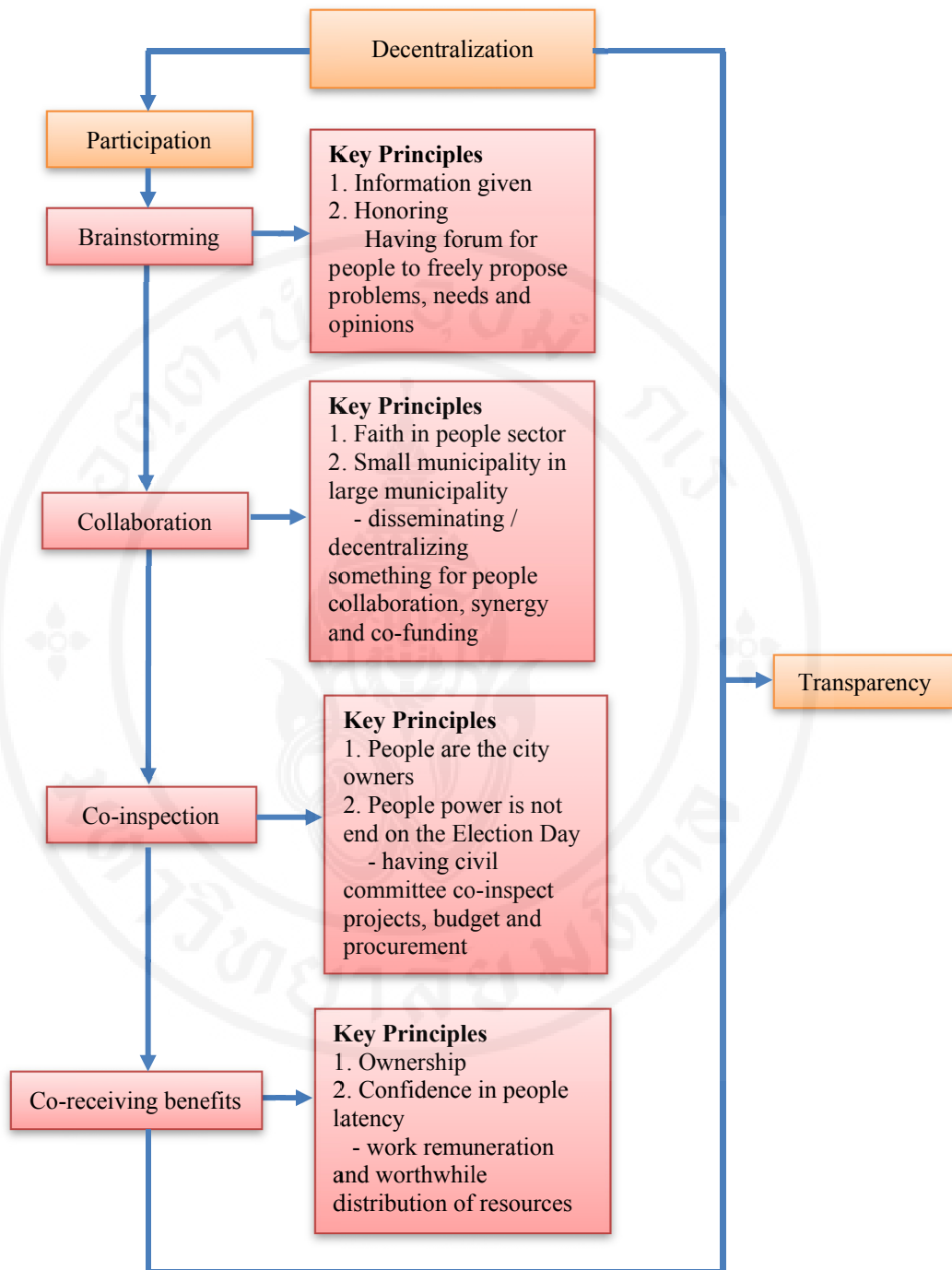
**Co-inspect** – the inspection process will be evident is when the system comprises a civic committee to participate inspecting every municipal project on budget approval, and meeting plan approval. The budget must be through people and people can always involve. The budgeting documents are public and all can be disclosed, which is widely opened in the system while outside the system, there will be the existing the instruments owned by the municipality either complaints or through websites. The KKMM itself is continuously developing in receiving complaints, and advices, which people can complain. The municipality has its own inspection and trailing the complaints notified by people.

**Co-receiving benefits** – with the concept of mini-municipality in the max-municipality is a project empowered to people to participate during they contribute benefits by having synergy and working for the municipality. The municipality itself has its own committee to evaluate remuneration, which is earned by as if the municipality works by itself. There is calculation of the expenses so that the municipality will not be disadvantageous. Therefore, wages and contract expenses will be estimated in figures to evidently confirm all the expenses. Then, all working for the municipality will be receive benefits from their wages and the labor cost calculated by the municipality because all are working with transparency, openness and accountability beginning from signing contract on how much the community president signs with probity and subject to rules and regulations.

Brainstorming, collaboration, co-inspection and co-receiving benefits are one in the three major principles that municipality in the era of development are required for 1) participation, 2) transparency, and 3) empowerment. The KKMM has imposed participation, empowerment and with openness especially the decisionmaking process are not congested with its president alone but delegated to the deputy presidents, chiefs of divisions, directors of each agency, and the municipal permanent

secretary. At the meantime, there is transparency in all communications with clarity. All these shall respond all the problems. For example, the matter of the remaining budget (budget balance) is left more than ten millions. All the budget balance will be appeared in the Town Hall Meeting. Meaning, if something will be done, it will be posted for announcement to all to see how much is the bidding, what is it backgrounds, and how is the spending? These are the external inspection, which allow all to see the procedures consistent to the transparency. Data mentioned above can be witnessed in the following chart of their participation process in the KKMM (figure 5.3).





**Figure 5.3 People participation in KKMM**

Source: Researcher (2017)

### 5.2.3 Elements reinforcing people participation in KKM

The key elements reinforcing the success of the KKMM people participation contain many factors. (1) It is the Mayor's leadership, perspectives and vision over brotherhood people, supports and offering opportunity for their participation in public policymaking and public affairs as in the response from interview saying that "the mechanism of the public sector such as to what extent various rules and regulations facilitate their participation?"

*"...In fact, they order us to participate but the authentic participation demands "core" understanding, no any written orders that in the meeting, it requires "honoring" people; never behaving oneself bigger than people. The Mayor always thinks that talking with people is "talking with the city owners" because people power does not end on the election day. Therefore, what will be done and any decisionmaking on the city; the municipality must return to ask the city people first. And, what will be asked is to seek opinion from brotherhood people who are the city owners because they still have power and using Order Warrant alone is not enough..."*

KKMM executives interviewed on 15<sup>th</sup> December 2016

2) To manage an organization consistent with participation is accounted to best enable the administrative structure of an organization reinforce people participation because the KKMM has its Promotion Department on participation and empowerment under direct supervision of the Office of the Municipal Permanent Secretary responsible for the researches on promoting people and community participation, analysis the missions empowered civic sector or community to participate in the municipal governance and finally, learning and developing the promotion of people participation.

3) Fortitude of people and being the active citizen are reflected by the solid Town Hall Meeting for 20 years and with evidently constructive performance from little to large matters such as wastes management, market management, public park, solving traffic problems, and developing LRT system; all are the products of the Town Hall Meeting which better change the way of the new generation thinking cultivated form the parental generation who want to see the change in Muang Khon Khaen for the better.

4) The sense of belonging – it begins from city owners who know well what other say and it is good for their own homes. In addition, the sense of belonging is still coming from participatory process since brainstorming, collaboration, co-inspection and co-receiving benefits.

5) Information – given: honoring people can reinforce the success of people participation because with their perception of information, it leads them to discussions and debates until they reach conclusion and decision-making in public policymaking and servicing.

6) There is decentralization and delegation of some works to people. The operation of mini-municipality within max-municipality is the distributions of work, money, opportunity and power to people to be part of activities done by the municipality including synergy and co-fund raising such as the case of constructing the Holy Shrine of City Pillar and so on.

7) Accountability of people – there will be committee form civic people to participate in auditing every municipal project either budget approval, and meeting plan approval. Budgets must pass through people and people can always participate while budget documents are the public files and can be disclosed.

8) Having forums and diverse channels for participation and for accessing information like village forums, Town Hall Meetings, community planning forums, and local civic forums for the purpose of having full participatory cycle process and those are brainstorming, collaboration, co-inspection and co-receiving benefits.

#### **5.2.4 Fortitude of civic sector and participatory channels**

Conclusions from interviews, focus group and non-participatory observation reveal that the evident fortitude of the Khon Khaeners is the Town Hall Meeting with its start first of talking about the city. Just only around 10 persons associate and talk about how to work out those and these matters. The Mayor uses informal talks because the municipality has employed many formal discussions but failed. The power of informality is talk without any rules but honoring and hearing each other. Everyone has opportunity to talk, to opine and to speak on what one wants to speak. Though there are conflicts or opposite opinion but all hear each other.

The group leaders or the key person of the Town Hall Meeting is the ex-Mayor who starts the conservative city change process. He adapts the concept of private business management and the NGO concept in terms of fortitude and accounts the Town Hall Meeting is very strong and able to push projects and policies for tangible performances in many projects such as the Bang Lamphoo Market, public

park organization, constructing the Shine of City Pillar, and the LRT development without being the state burdens and so on. In addition, inviting new progressive generation groups who want to see the Khon Khaen changed to involve.

*“...The Town Hall Meeting is very strong and it is the city intervention. That is the beginning of the Town Hall Meeting comes from the ex-Mayor works amid the idea conflicts of the two groups. The ex-Mayor becomes the mediator between the two groups to turn to each other for talks based on the benefits of Muang Khon Khaen...”*

KKMM executives interviewed on 15<sup>th</sup> December 2016

The Town Hall Meeting is the determination of the political groups based on transparency and satisfaction of the civic sector. It brings trust to the city people. Many projects talk through it, which are the talks between the current Mayor with the ex-Mayor. When the city men have opportunities to talk, to opine and to propose their problems; they sense their belonging either public parks, city gates and markets. People view that the city are theirs. Cooperation of the people with the municipality in working brings trust as if to see their performance and ensure of good management. The city men assemblage begins to shift from the parental generation to their children, who try to find new ways to better manage public services than before according to the city growth. However, to rely on the state budget, it is struck with its red-tape. So, they cooperate to find ways to handle the city transports. Railway systems are investigated and how city people to cooperate or not. The possibility of the project is investigated by scholars to help. The results are positive. It means that it is the possible way when there is talks and gains agreement. The project then becomes the “Khon Khaen Model”. This project comes from the fortitude of the civic sector and it is the job going through the scope the state agency form the central administration without government subsidies. They rely on collaboration, synergy and unanimity of the local and the Mayor does not wait for the budget from the central administration but assigns private sector to collaborate with the municipality.

The Town Hall City of the political groups who rely on a process/a concept called “Triangle Moves Mountains” of Prawes Wasi, M.D. with three components, i.e. 1) creating knowledge, 2) social movement and 3) political power. They are the major principles for working. Therefore, the principles of thought in such working are necessary

for adherence and practices. Running any policies of the municipality must be significantly complied with the needs and the approval of the people.

The channel for the people participation is the municipality owns a website to provide information for people. Facebook posts pictures of activities and the municipal working and the municipal online. In addition, people can propose their problems/ complaints through their community representatives, too. The municipality also owns channels to receive information, and complaints directly through telephones, the division chiefs and the directors of various offices.

### **5.2.5 Application of PB (participatory budgeting): a case of restoring the KKMM Holy Shrine of City Pillar**

Applying PB in KKMM, the researcher exemplifies the participation of constructing of Holy Shrine of City Pillar because it is relevant with a major goal of PB- active citizen. The project to restore the KK Holy Shrine of City Pillar is a project that the brotherhood people of the Khon Khaeners do not only participate in brainstorming but also co-funding to address the new city pillar establishments which step over the inadequate budget or some projects audited and rebated the Office of Auditor General.

People participation process in the KK Holy Shrine of City Pillar begins from discussions of the city people on restoring the shrine, which the Mayor views that it should allow people participation because the shrine is not often constructed. The first fund is subsidized with 3 million /Baht by the PAO while the KKPAO is budgeted for ten million Baht. the people participation process begins with the discussions in the Town Hall Meeting , village and community forums whether should her be the shrine, and how its design should be. When they agree; there is common improvement through seven discussions and debates. Finally, there is settlement and common donation from the Khon Khaeners to restore the shrine of the city pillar for almost 50 million Baht. Therefore, applying PB in the project of the KK Holy Shrine of City Pillar is adhered to the following table, i.e.

**Table 5.2 Participation process relevant to PB in the projects of the KKMM**

| <b>Meeting and Meeting Objectives</b>   | <b>Participation process relevant to PB in the projects of the KKMM</b>   | <b>Level of Participation (IAP2)</b> |
|---|---|--------------------------------------|
| 1. General Local Meeting<br><b>Meeting Objectives</b><br>Providing data<br>- present previous year projects<br>- present current budget<br>- explain PB process                 | 1. Various forums are village forums, Town Hall Meeting, community plan forums and local civic forum to provide information, to opine, to propose problems and needs, associating, to exchange knowledge with each other in the project of restoring the KKMM Holy Shrine of City Pillar. | Inform                               |
| 2. Meeting in each village or community<br><b>Meeting Objectives</b><br>- Deliberative, express opinion, propose projects<br>- select representatives for supervisory committee | 2. Having deliberative talks in all 4 zones, 95 communities to opine and to propose the project of restoring the KKMM Holy Shrine of City Pillar.   | Consult                              |
| 3. PB Council Meeting<br><b>Meeting Objectives</b><br>- prioritize project and budget<br>- vote for perfect projects  | 3. Meeting like the “Town Hall Meeting to identify the project model/policy and to adhere to the project and to meet the PB principles while people should vote to choose the complete projects and budgets used in the projects  | Collaboration                        |
| 4. Mayor’s Offices Meeting<br><b>Meeting Objectives</b><br>- Structure budget through the advice of the PB council and non-PB council   | 4. Meeting of the municipal board to provide budget according to the project of restoring the KKMM Holy Shrine of City Pillar.  | Involve                              |
| 5. Local Council Meeting<br><b>Meeting Objectives</b><br>To be deliberate budget and PB project<br>- debate and conclude budget   | 5. Meeting of the municipal council to examine budgets and offer opportunity for discussion in every issue for a month.   | Involve                              |

**Table 5.2 Participation process relevant to PB in the projects of the KKMM (cont.)**

| <b>Meeting and Meeting Objectives</b>   | <b>Participation process relevant to PB in the projects of the KKMM</b>   | <b>Level of Participation (IAP2)</b> |
|---|---|--------------------------------------|
| 6. Project Construction and Supervision<br><b>Meeting Objectives</b><br>Progress of the project<br>- responsibility<br>- pursue the project | 6. Adherence to the project of restoring the KKMM Holy Shrine of City Pillar, which is budgeted under the audit of people.                                    | Involve                              |
| 7. Project Trailing and Evaluating<br><b>Meeting Objectives</b><br>Acknowledge success/<br>problems and limitations/<br>transparency        | 7. Trailing and co-receiving benefits from the project of restoring the KKMM Holy Shrine of City Pillar both in the form of pride and the sense of belonging. | Involve                              |

Source: Researcher (2017)

From the table 5.2 above, applying PB is to allow people to vote for appropriate project or the budgeted project, which people decide until the projects are complete but people must involve in auditing and evaluating the performance with fair transparency so that it is the evaluation for the worthiness of using the resources. The critical PB goal is to reinforce people in their decision-making on the KKMM projects, creating the Khon Khaeners to be citizenship and active citizen that will lead to their affection, cherishment and belonging in the projects they have involved such as the project to restore the Holy Shrine of City Pillar as above mentioned.

### **5.2.6 Limitations of KKMM participation**

The conclusions gained from the focus groups and non-participatory observations reveal that the limitations of their participation are the troubles in working because there are many parties to opine and it is impossible that they will be in the same direction. Another problem is the expenses are higher than closed opportunity for people to participate because it demands to prepare venue, personnel, and various managements. The problems of longer hours to be spent until the

conclusion of each affair and more resources are used such as personnel, and teamwork. But the most things to use is patience on explanation for understanding, patience to listen to various different opinions with restraint one's mind to be normal, emotionless but to understand and affection to people first regardless who they are. They own the rights to speak what they want. The municipality has to protect their benefits even disagrees. For example, the case of constructing the KKMM Holy Shrine of City Pillar, it spends 7 times in discussions to conclude. Therefore, the president must own the very leadership in order to understand the situation and has to use reasons more than emotion to solve the critical problems and contradictory opinions of many parties.

Another problem of involvement is the majority voices and the municipality has to take care the minority voices. Consequently, when there is conflict there are no resolutions because it will judge who is wrong and who is right. The rules of the Town Hall Meeting is there is no votes to win but in the direction of compromise and conciliating to move into the same direction. There must be compromise. However, if there are still contradictions or grievances; they will be analyzed and seeking solutions. When they are solved, they must end at that point.

Data from focus groups and informal association for talks with people in the Khon Khaen municipal constituencies have been found with limitations, which imperfect participation comes from the unavailing municipal public relation, the limitations of accessing information by people. This is because some cannot use internet. Participation makes people waste their career time and some affairs are not relevant to their own daily living.

*“...Each day we are busy with our earning for living. Sometimes we do not take any interests with who are doing what. When we vote for them to be our representatives, we leave them to do. If they poorly perform; next term we will not vote for them to do the duties....”*

Data from the focus groups of the municipal Khon Khaeners, 20<sup>th</sup> December 2016

### **5.2.7 Summary**

Khon Khaen province is the center of the northeastern region in either education or public health or land air routes and many others. It is the economic hub of this region. Consequently, it affects the rapid city growth and expansion and also entails many problems which are the tests and the challenges for the new professional

executives in every level. Participation and transparency are other major principles of administrating the public sector agencies similar to the KKMM, which is decentralized by the central administration requiring changing the principle of organizational administration to meet social of the twenty first century.

KKMM is renowned with its “Town Hall Meeting”, which brings it a proud award and the learning hub on method and model of citizen participation. Its Town Hall Meeting plays the roles to intervene with policymaking and public servicing for over 20 years. It counts as the key instrument of the municipality the participatory process, brainstorming, collaboration, co-inspection and co-receiving benefits founded on triangulation according to the concept of “*Triangle Moves Mountain*” posited by Dr. Prawes Wasi who demands collaboration of the public sector, scholars and citizen sector. In addition, the local government in post decentralization requires good governance-based administration of participation, transparency, rule of law and accountability from the civic sector. This will offer opportunity to learn about democracy and autonomy of people for the tower of empowerment and social capital that the local people will develop their potential and learn and be conscious of their creatively citizenship roles.

Therefore, the support from the public sector in forms of rules, criteria and award are another ways to be the mechanisms in supporting and encouraging the participation of the public sector and people. The PB concept is another interesting tool to be applied with the local governance. It is demanded to keep pace with changes and to meet the governance, which more focuses on civic sector and other NGOs. like KKMM, it is founded on the principle of work critically through citizen participation and based on principle of thought that there must be faith in people because they own their city. Respectively, the power of people is not ended on the Election Day. Brainstorming, collaboration, co-inspection and co-receiving benefits will lead to transparency and accountability; if people are conscious of their rights, and duties. Active citizen strongly marshals to drive democracy at the grass roots and further reinforce democracy at the national level.

## **5.3 The Khao Sam Yod City Municipality (KSYCM)**

### **5.3.1 General contextual conditions of KSYCM**

Previously, it was the subdistrict administration organization established under the Subdistrict Council and the Subdistrict Administration Organization Act BE 2537 (1994). Later it was upgraded into city municipality in August 23, 2007 with the areas of 32.50 square kilometers dividing its administration into 7 villages and 34 communities. It accommodates 30,263 population divided into 16,765 males and 13,498 females with 11,586 households (data in March 2, 2017). Most professions are government service followed by farmers earning 117,628 Baht/head/year.

KSYCM own the total expense budget of 110,000,000 Baht (Fiscal Budget Year 2017). Its vision is “All dimensions of quality of life will be better and the excellence in basic education in the next four years” , which demands to design its five missions to achieve the vision, i.e. (1) speed to develop quality of life to pass the basic criteria and retain its standards, (2) create career and income for people with prevalent sufficiency, (3) build Khao Sam Yod to be the city of good physical, mental and social health, (4) develop all the system of basic education to insight standardized formal and non-formal learning, and (5) develop modern and standard politics and management at the national level. Its development strategies are divided into five(5) elements with 36 development courses. The Fifth Strategy encourages participation and the modern management strategy with national standards under Courses 1 and 2 to reinforce communities and to promote people participation in its management.

With its semi-urban geography, each community is characterized its livelihood or way of life relatively different because one of its zone is a military unit, which creates a government service community. On the contrary, some communities are farmer groups, and the junkman or employment career group. With such diversity, it troubles the management in terms of the targeted group and the military unit area. However, the KSYCM can turn crises into opportunity through adopting the existing social capital: the government service group who are equipped with knowledge and ability to become the mechanism in driving jobs through the civic participatory process.

### 5.3.2 The KSYCM people participation

With the fieldwork for data collection through in-depth interview conducted with the KSYCM executives and non-participatory observation, the researcher finds the factors reinforce the success of people in participating in LAO budgeting. The supports of people participation in KSYCM is subject to the Constitutional Provisions BE 2540 (1997) and BE 2550 (2007), which stipulate (1) encouraging people participating in policymaking, economic and social planning at the national and local levels. (2) It is to encourage and support people participating in political decision-making, economic and social planning including organizing public service. (3) It is to encourage and support people participating checking power plays of the state in all level in the form of diverse professional organization or by career discipline or by other models. (4) It is to reinforce people in politics and to enact laws of instituting funds for civic political development in order to help organize the community public service including supporting the works of people group assembled as network in all models enabled to opine and to propose the local community needs. (5) It is to encourage and to educate people about political development and democratic governance under monarchy including supporting people to exercise their rights in election with honesty and fairness.

Therefore, with such approaches the KSYCM owns methods to encourage participation through monthly civic meeting attended by community leaders, group leaders, government unit chiefs, executives and the local council members in order to enquire, account, recommend, and clarify various projects between the government units and people representatives.

*“...The municipal participatory process in planning community begins from the municipality educates and disseminates information to brotherhood people in all 34 communities. Each community comprises various individual group assemblage such as the Civil Protection Volunteers group, the Public Health Volunteers group, children council and the disabled group including having meeting to hear problems, to discuss, and to co-opine in every 20<sup>th</sup> of each month. This is to brainstorm, to collaborate, and to co-inspect the project and activities. After breeding issues and plans, then all 34 plans are raise in the meeting to be voted for priority...”*

The KSYCM executives: interviewed on 24<sup>th</sup> March 2017

The KSYCM establishes community committees through distributing duties and responsibilities in divisions such as community chairperson, the divisions of social welfare, education, religion and culture, public health and environment by people in the community selecting them by themselves with municipal advisors to each division who are common people equipped with knowledge and experiences of education, health sanitation, environment, social welfare, and civil works. People are appointed to be the committee members with the municipality such as open bidding, receiving bidding, check and receive packages. In planning their local development, people will have their representatives in the committee. The 3-6 committee members select their representatives among themselves. Then the three committee members supporting the local development plans select a representative among themselves, and the two trailing for evaluation committee members for the local development select a representative among themselves.

*“...The process of selecting projects comprises a committee called “Board.” They are the representatives of the people who elect among themselves for 5 members from each zone to brief problems for developing them into projects for further distributing budgets. So, in each activity in the project will have budget approved according to the proposals of the communities. Plans prepared by all communities will further become the strategic plans of the municipality. In addition, there is a “Board” for trailing and evaluating the performance of the budgetary management, too...”*

The KSYCM executives: interviewed on 24<sup>th</sup> March 2017

In addition, the KSYCM offers people opportunities to trail and check the municipal performance with the CAR score (Community Assessment Report). The CAR score is an activity to promote civic network to check the municipal performance on which municipal projects and activities have been resumed by having color as their symbols. These are the blue symbolized the executed projects and the red symbolized not executed projects. People can trail the progress by each project in order to clarify them to people including preparing PR board to expose the information of the activity execution as in the local development plans. All these things reflect transparent administration and can be integrated in collaborating between public sector and civic sector. It enables people to access information and to ease supervisions over the municipal performances. It not only adheres to the people participatory principles in democracy but also building good relationship between people and the municipality in their local development together with fortitude and sustainable livability.

### 5.3.3 Elements reinforcing people participation in KSYCM

With many awards from various agencies conferred to the SKYCM; it is evident that it has district performances of participation and working transparency. It enables accountability and attracts people to become a part in the administration because the municipality can well respond the problems and the needs of people and be dependable during the time when people meet problems.

*“...Another critical case attracting people’s interest and difficult to understand in participating with the municipal public activity – having evident performance , tangible, responding questions, and responsive to the needs of people, associable of talks, to opine and to prose problems/needs of people...”*

The KSYCM executives: interviewed on 24<sup>th</sup> March 2017

In addition, the SKYCM also owns administrative principle consistent to good governance which become its important factor to reinforce the success of people in their participation in the municipal activities, which are:-

1) Abiding by laws, rules, regulations and statutes – it accounts governance by laws and not by freewill or personal power. It needs to be conscious of fairness and justice including conciseness and speed. The KSYCM enact the municipal laws being their annual expense budget and the municipal laws for working by authority approved by the municipal council which administrates the rule of law.

2) Having accountability in administration – it is free from dishonesty, and corruption while people can easily and conveniently access information with apparent accountability. The KSYCM can permit people to access information through meeting participation in community planning, local development planning and requesting for information, acknowledging messages.

3) Prioritizing participation is to offer opportunities for the personnel involve with participation to involve in the management on decision-making in various affairs such as being the committee members, sub-committee members or teamwork through providing opinions, advice and consultation on planning and joint-operation. The KSYCM appoints people equipped with knowledge, ability, experiences or called brain banks to be the advisory committee for education, environment conservation, public health, social welfare, security guards for life and property safety, civil works the procurement committee and the local development planning committee.

4) Responsibility—it is the consciousness of rights and duty, social responsibility, attentiveness to management, enthusiasm in problem-solving and respect of contradict opinion, courage to admit advantages and disadvantages from one's acts. The KSYCM has managed to solve problems and its local development, support and help by the needs of people particularly the groups of children, youth, people, women, and the elderly who are deprived and the disable with speed and legitimacy. In the municipal council meeting, rational opinions are presented including the civic meetings and the 34 community committee meetings with accepting different opinions and reasonable under democracy.

5) Cost effectiveness of economy – it is the management and maximizing limited resources for the common benefits through campaigning on frugality among personnel, using materials with cost effectiveness and conserving natural resources for their sustainable richness. The KSYCM owns little budget but the number and their needs are likely surplus. Thus, the municipality organizes urgent and necessary projects and activities to directly serve their needs through the deprive groups and seeking supports from the groups with better quality of life in their communities such as the project of waste separation in order to add value to the disposals and the project of bio-fertilizer.

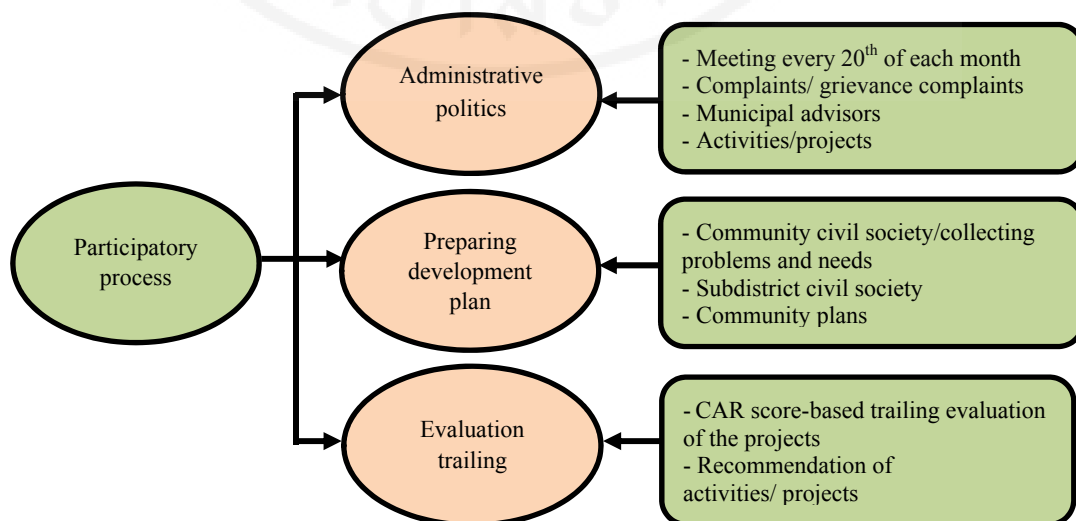
Therefore, when problems have been positively responded; public voices are heard by municipality. Participation is therefore growing, respectively. It is corresponded with the municipal success secret; 1) having social capital and that is the civic brain bank collaborating as its teamwork, 2) having systematic administration with clear plan direction by using data as the tool, 3) founding development by creating understanding, sense of affection and local belonging, 4) gaining cooperation from civic sector, public sector and private sector, 5) having strong community and goal similar to the municipal direction, 6) having organizational values in aggressive working for public excellent service, 7) studying and applicably comparing with other agencies in order to develop its organization. Consequently, possibly mechanizing participation need no detailed laws but just broad set of regulations because participation will be adhered to the principles of talks, and public problems or miseries as keys.

### 5.3.4 Civic fortitude and participatory channels

Summary gained from interviews, focus group, and participatory observation reveals that the civil fortitude is the municipality support public assemblages such as the elderly, the career, the disable, the public health volunteers, the village scouts, the civil defense volunteers, the family center, and the children and youth council and so on.

The participatory channels are disseminating information and communication through diverse channels. They involve 1) the municipal website which common people can study data and provide recommendations including requests related to the troubles and various misunderstandings, 2) the municipality disseminates information for people to acknowledge such as municipal journal, pamphlets, municipal contact manual, 27 tower broadcasting/ voice online, opinion boxes, civil/community forums, posting announcement, municipal websites: [www.khaosamyod.net](http://www.khaosamyod.net), and Facebook, 6 community learning centers and 34 community permanent reading kiosks.

In addition, the municipality provides its mobile municipal unit for clarification, inquiries, hearing public recommendation in diverse communities, provisions of public hearing box, provisions of emergency numbers for notification, receiving public petition, attending to hear civil municipal council meetings and it is another channel to recognize information and accountability of the municipality.



**Figure 5.4** People participatory process in Muang Sam Yod Municipality

Source: Researcher (2017)

From the chart, the KSYCM civil participation begins from hearing either their petitions or recommendations by the Mayor's advisory team with the administrative team and political team in every 20<sup>th</sup> of each month in order to further formulate projects and activities. Consequently, planning the local development is to collect problems and public needs in all levels of subdistrict and villages. The participatory process is not ended at co-planning only but ongoing to the selection of the projects under urgent necessity with accountability for their progress named CAR score (Community Assessment Report). In addition, people railing the project performances can also recommend adherence of the project if mistakes exist.

### **5.3.5 Application of PB (participatory budgeting): a case study of educational network to international standards**

PB being applied with the educational network to international standards is corresponded with the goal of the concept – creating network and social capital. Rationally, it is the administrative policy: sustainable development, which begins with human resource development to provide its educational development dimension to people and youth in KSYCM. The distinction of this innovation is organizing a successful education from the collaboration between the municipality, communities, Wat Phra Bat Nan Phu, military units, two universities from China, Rajbhat University and other local governments in Thai and from abroad and other schools. It counts to be the real community school.

Its preparations for readiness involve educational excursion and signing MOU with Shaanxi University of Technology in People Republic of China for opinion exchanges, pedagogical experiences and methods to be adapted for teaching Chinese. There is also MOU on exchange internship students to teach Chinese language and culture in the KSYCM schools. There is a student exchange program with Japan to increase pedagogical knowledge and skills of English and Japanese acquiring direct exposures to language uses and learning about the cultures of the native, training and excursion of knowledge and understanding about Asian countries. This is to increase knowledge and experiences on local government and developing arts, cultures, customs and the local intellectual, including OTOP in Laos, Vietnam and the Kingdom of Cambodia. They will be applied in preparing its development strategies of 2015-

2019 as well as preparing projects to include in a three-year plans (2015-2017) to be ready for ASEAN Community entry.

The process, procedures and various activities in the educational network projects to enter international standards can adopt PB concept because it brings clarity and constructive consequences for application with goals truly solvable for the local. Methods are as in table 5.3. below.

**Table 5.3 Application of PB with educational network to international standards**

| <b>Meeting and Meeting Objectives</b>   | <b>Application of PB with educational network to international standards</b>  | <b>Level of Participation (IAP2)</b> |
|---|---|--------------------------------------|
| 1. General Local Meeting<br><b>Meeting Objectives</b><br>Providing data<br>- present previous year projects<br>- present current budget<br>- explain PB process                 | 1. Meeting together to provide information of the educational network projects to international standards and proposing operational budget for people to recognize at large and explain the PB process          | Inform                               |
| 2. Meeting in each village or community<br><b>Meeting Objectives</b><br>- Deliberative, express opinion, propose projects<br>- select representatives for supervisory committee | 2. Meeting in each 34 communities for association, talks, discussions and co-projecting the educational network projects to international standards<br>- electing supervisory representatives called as "Board" | Consult                              |
| 3. PB Council Meeting<br><b>Meeting Objectives</b><br>- prioritize project and budget<br>- vote for perfect projects  | 3. Organizing PB Council Meeting for:<br>- prioritizing the educational network projects to international standards and their budgets<br>- Voting for the complete projects and budget                          | Collaboration                        |
| 4. Mayor's Offices Meeting<br><b>Meeting Objectives</b><br>- Structure budget through the advice of the PB council and non-PB council   | 4. "Board" meeting to propose the educational network projects to international standards in order to enact their ordinance (municipal laws)  | Involve                              |

**Table 5.3 Application of PB with educational network to international standards (cont.)**

| <b>Meeting and Meeting Objectives</b>   | <b>Application of PB with educational network to international standards</b>   | <b>Level of Participation (IAP2)</b> |
|---|--|--------------------------------------|
| 5. Local Council Meeting<br><b>Meeting Objectives</b><br>To be deliberate budget and PB project<br>- debate and conclude budget             | 5. Organizing the local council to deliberate budget approval according to the educational network projects to international standards as being proposed and being selected by the “Board” that they are urgently necessary. | Involve                              |
| 6. Project Construction and Supervision<br><b>Meeting Objectives</b><br>Progress of the project<br>- responsibility<br>- pursue the project | 6. Having inspection committee to evaluate the project progress under the educational network to international standards by using CAR score system   | Involve                              |
| 7. Project Trailing and Evaluating<br><b>Meeting Objectives</b><br>Acknowledge success/problems and limitations/transparency                | 7. Having the “Board” to trail and audit budgets and performance of the educational network to international standards   | Involve                              |

Source: Researcher (2017)

With the table 5.3 above, it shows the processes and activities corresponded with the PB concept. The case applied is the educational network project to the international standards with goals corresponded with crating network and social capital under the PB concept. As such, the reason chosen by the researcher is the KSYCM is distinct about organizing education and the vision with determination and creativity for its educational excellence. It has ever been regularly awarded on distinguished schools. Therefore, applying PB concept in studying the educational network project to the international standards requires providing data of organizing education for its stakeholders for acknowledgement for all teachers, parents, students and the local government, which support this project. This is to clarify about its project activities, budget used to operate the project and for people in their

decisionmaking to vote for major activities and their budgets used. There is a PB committee to function until the project ends along with inspection and to evaluate the project progress. Its trailing and evaluating the local development plans are also subject to the applied CAR Score (Community Assessment Report).

### **5.3.6 Limitations of KSYCM participation**

The researcher enters the site for data collection through observations and informal discussions with the residents of KSYCM and finds that most are government service personnel and retired government service personnel. Some are not the local while their second career is farming and mostly preoccupied with their framings. To take interest in participating with the municipal activities is unlikely.

*“...The problems of participation at first is few are interested in it and unlikely understand why needed participation. Most see that when representatives are elected to this governance; we leave it to them. Such problem can be solved with talks, calcification, and providing data for them while encourage them to participate more...”*

The KSYCM executives, interviewed on 24<sup>th</sup> March 2017

Therefore, to solve the problems of participation is through talks and clarification with people thus to constructively and tangibly show them benefits and values acquired from their participation while their existing problems are seriously addressed by the municipality. For example, there is serious treatment on repetitive flood through the participation of various parties in planning, coordination and operating; the repetitive floods are well solved.

### **5.3.7 Summary**

With the need of political reform, it affects the local political changes, which is counted the foundation of the national democracy development and becoming the source of studying and learning the process of autonomy among people at the grassroots so well. Had the local been fortified, it affected social capital and community networks. Consequently, the key to democracy development exists in decentralization to create roles and latency in decision-making into the public sector agencies at the sub-levels. Creating accountability and confidence is the strong bunker

for the public sector administration. Having transparency is counted another factor enabling to reinforce of the administration. However, transparency can emerge is when there are checking in every sector. That is having participation is the critical step leading to transparency and accountability.

The KSYCM is a local government awarded by many organizations from either King Prajadhipok's Institute or the Office of the Prime Minister particularly the awards, which emphasize transparency and civil participation, which assert the ability of the professional administration at a certain level. The municipality holds its governance that can reinforce the civil success in their participation mainly adherence to good governance by attaching to laws and the participatory principles that the executive offers opportunity involve in designating the municipal governance with transparency and accountability which are the key factors attracting civil participation. Also, the important thing is the municipality is responsive to problem-solving and civil petitions are the important means to evidently drive the civil roles.

Therefore, the motivation bringing civil participation in terms of tangible and constructive benefits is such as better public service, improvements of routes, solving floods, wellbeing of people, having professional to work with, having security of life and property. In addition, there are intangible benefits with high subjectivity. For examples, having strong social capital, pride to be part of the projects, given acknowledgement, exchanging talks, contributing opinion, hearing problems, patience to hear other opinions, sense of belonging and awareness of human values, applying PB concept, are an innovative governance in democracy. It objectively and subjectively benefits people in their communities. What matters is what goals are applied for.

## **5.4 The Khor Kha Subdistrict Municipality (KKSM)**

### **5.4.1 General Contexts of KKSM**

It is upgraded from sanitation into KKSM on 25<sup>th</sup> May 1998, located in Khor Kha District covering some areas of three subdistrict, i.e. Sala subdistrict, Thapha subdistrict and Khor Kha subdistrict. Its geography and its communities are dense just around market communities and both banks of River Wang. In addition,

these areas are residential and little plantations. Homes built are dense around market communities and industry. KKSM divides its administration into 7 villages accommodating 2,119 households with 5,030 populations who are 1,940 males and 2,297 females. Their careers are mostly traders, and labors but few are famers.

The concept of KKSM Mayor is to fortify communities requires all owning the sense of common belonging. Its problems are public health and all must brainstorm to solve them in groups, volunteering and public mind. They are instituted into 38 sources of learning and in various groups to narrate stories and exchanging knowledge such as networks of protecting children and women, stream detective safeguarding rivers, and learning center for disposal at upstream and lower stream. Therefore, the index of the community fortitude is the happiness of all in society, and learning by all and acceptance of changes going to happen.

The KKSM policy involve five (5) sides, i.e. 1) economy, social, education, quality of life development, customs and cultures. 2) It is the management and personnel development and **critically it is the promotion of civil participation in its local development** for management development and solving its community problems with **the participatory process of people in its community accounted for being the real local owners**. 3) It is its development of environment, public health, health and sanitation emphasizing livable city on environment. 4) It is its infrastructure, public utilities and infrastructure development, and 5) it is the development of peace and order, security of people life and their property.

With the above policies, the KKSM prioritizes to promote the process of participation on politics and governance for all levels of people the gear to democratic society adhering to the principles of good governance in administration. As such, the KKSM is focusing on services critically based on civil maximum satisfaction by offering opportunity for them to participate in brainstorming, collaboration, co-planning, co-decision-making, co-operation and co-inspection over the municipal performance. It entails the performance with transparency and corruption free. In addition, it creates the genuine sense of belonging among the local people because they are aware of the importance of participation, which fortify their communities, and create the sustainable citizen politics.

### 5.4.2 The KKSM people participation

It is formerly sanitation with people attached to conventional models and thus they unlikely participate in local activities. They do not have yet public mind and the concept on the sense of local belonging. After enter the office, the Mayor visualizes how to turn Khor Kha becoming the “citizen politics”. It is possible when there is “participation”. Therefore, there must be common goal-setting through brainstorming on how are the Khor Kha people? Then, the final goal is all want to see Khor Kha attractively livable in economy, social, politics and environment under participation. To make Khor Kha livable, all must help under the process called “creating the public mind” within everyone in the company through the process of civil participation beginning from providing information.

*“...Creating the public mind among people in community with civil participation. It begins with providing information and allowing people to access information because upon people acknowledging information from the municipality; they will feel needed to work and emerging the process of brainstorming, collaboration and synergy...”*

*“...At the same time, the municipality still gives space of thought for community people enabling to expose their thoughts, freely because in the past people can really think but there are no forums to express them. Therefore, the local must have forums for their communities to expose their opinions, freely. This forums are the ones that the municipality to hear their problems so as to adopt them into constructive practices and it is the development which meets the needs of the community people...”*

The KKSM executives, interviewed on 14<sup>th</sup> February 2017

Changing the city together is what Khor Kha has used since 2001. Previously, it was featured in their livelihood – “different livelihood and urbanized society”. People do not involve in their public activities and the society without “public mind”. For example, in the waste are disposal; all see that we pay for the disposal to the municipality and leave it to work without any participation. Therefore, the “Khor Kha Model” has arisen, where it is working with public mind containing 4 mechanisms, i.e. 1) creating learning together, 2) crating participation, 3) strengthening self/community, and 4) imparting to the next generation with two concepts. That is given community to have common acknowledge about public problems and to emphasize addressing the matters alike being in the same family because societies having election likely conflict within themselves. Therefore, it is how to make societies as a large solidified family solidarity. Being in the same family, it is to reduce conflicts in society and it needs a forum to opine–Khuong Pha-nga Forum and civic Forum. They provide the municipality with public problems and what the municipality gains is the community plans.

*“.... We have another two Forums for public hearing. The first one is a civic Forum called “Khuong Pha-nga” or The Yard of Wisdom to collect good opinions of people by using volunteers to attend training to be the community researchers enabling them to use SWOT analysis, distinguishing creative and non-creative ideas. The KKSM has working rules that every project allocated in the municipal laws or the ordinances must come from Civic Forum only...”*

The KKSM executives, interviewed on 14<sup>th</sup> February 2017

The KKSM organizes PB because people know their problems best. Therefore, problem-solving requires brainstorming because the KKSM own over 50 million Baht budget and it must use this existing resource with best cost effectiveness. The method is to explore what is the first community demand which comes from the votes and acceptance of all their community people. Projects voted by villagers will be allocated in the municipal law or ordinance. What people want their community to be; they must propose projects through their community plans in each forum. For example, in the forum, problems will be enquired and attendants will discuss and exchange ideas. After this, problems are listed and prioritized into short-term, middle-term and long-term. If they were short-term problems; they would be solved at that moment so that villagers would witness their municipal works. If projects demand large amount of budget; they need votes. Project proposers have to appear for presentation by themselves why these projects have been proposed. After proposal, there will be votes for which project would be the first one of the village. The project must not be for any personal benefits but really for the community in common and the project has been listed in the municipal ordinance. The project must come from civil participation which adheres to the principles of good governance, given transparency and accountability. People will trust and participate finally.

*“...people participation brings “set of belonging” and that is the sense of common ownership because all witness that problems arisen in their community are public problems demanded common treatment. For example, if they see waste disposal is the common problem, they will organize common disposal. It begins from sorting out from the upstream. The waste is reduced from 10 tons to 2.7 tons. Therefore, every problem can be eased if all participate, if the grassroots force or community were thrived including joining sense of public or public mind...”*

The KKSM executives, interviewed on 14<sup>th</sup> February 2017

The KKSM budgetary process begins from preparing the community plans acquired from two forums: the Khuong Pha-nga Forum and the Civic Forum. These are where projects are voted by community people without quota form politicians. The community projects bring pride and safeguard what public has treasured with the sense of public mind. Development is then possible but what is more difficult than development is “Sustainability”. Consequently, building the sense of belonging/ownership among the community people through votes in various projects will bring people to safeguard what they have built and thought together. When their community plans are prepared; people will be informed what projects each village has. People can participate as the procurement committee members in each project on, opened bid, and tender submission. The key to attract people participation is giving them information as much as possible.

#### **5.4.3 Elements reinforcing people participation in KKSM**

By the awards of KKSM form various organizations as mentioned above and from the data the researcher visits the sites to interview the KKSM executives, informal talks with people and observation. She finds that there are many elements reinforcing people participation in KKSM but the important start is the leadership of the Mayor though being a woman but can work out politics not less than men. She also offers opportunity to participate in the local governance process.

*“...The leader must be the good role model, leading in drive, willing to work and sense of working but not emotion to work and the leader must be patient to any problems, hindrances and resistance arisen and the leader needs self-restraints and Bhramavihran Four (The Four Sublime State of the Mind: goodwill, compassion, altruism and equanimity)....”*

The KKSM executives, interviewed on 14<sup>th</sup> February 2017

Then, when a leader is a good role model and leads driving an organization; the given trust from people and the leader’s ability acceptance lead to confidence and faith in the governance. What people think; what people need; and problems troubling people have been met; they bring needs to participate. So, elements reinforcing people participation in KKSM are as follows:

1) *The Leadership of the Mayor* – it is the key to reinforce people participation in the KKSM because it is like the center of force to move thoughts and procedures, offering opportunities and prioritizing people, which are the elements reinforcing to attract people participation.

2) *Providing Civil Forums* – they allow people to propose their needs, petitions and proposing problems through “Kuong Pha-nga Forum” and Civic Forum because in the past people have met difficulties to propose them to the municipality but they did not have forums to freely propose their opinions.

3) *Providing Information* – having diverse channels for people to access information is to allow them to acquire knowledge what the municipality is doing, knowing how much budget they have and knowing their rights and duties to be responsive to their own needs. Conducting knowledge to bravery to participate since participation allows their problems to be directly and on-time solved.

4) *Building trust among people* – trust comes for transparency in the municipal working where people can recognize and account. The most critical foundation is the people participation, which brings acceptance and trust to the municipal working, finally.

5) *Responsiveness to people's problems and needs* – every administration especially the local governance can usually not step over the traps of inadequate income. When there is restriction of budgeting to serve the needs of people; it is finally the critical principle of administration because people know what their needs are.

6) *Accountability* – there must be committees in administrate a municipality, e.g. procurement, price check and work receiving inspection through selecting 15 representatives from each seven villages. That will be 105 representatives to alternately work in the committees throughout the year. Additionally, there are also the municipal planning committee, the municipal development committee, and the performance accountability committee. Therefore, the accountability is the Mayor who is the key element reinforcing people participation in KKSM.

7) *The sense of belonging/ownership* – the sense of public (mind) of people leads to participation and to the sense of belonging/ownership in the projects they are brainstorming, collaborating, co-decision-making and accountability in section. Ownership/belongingness brings affection and treasures all these things.

8) *Gaining benefits* – participation leads to tangible public benefits such as improvement of public service, reduction of wastes, environmental problem-solving, having good public services, safety of life and property. In addition, there are intangible benefits such as sense of being important person and values of humanness.

9) *There are 38 learning centers in the KKSM* – these are the sources of career promotion, creating wellbeing for people and the sources of the municipal information dissemination. The learning centers are the important tools to holistically develop quality of life for its sustainability and the local fortitude through learning together.

The elements above are the important elements reinforcing the people participation in the KKSM contexts with few villages and population. It allows to access the municipal information and people can also prevailly access them too.

#### **5.4.4 Civic fortitude and participatory channels**

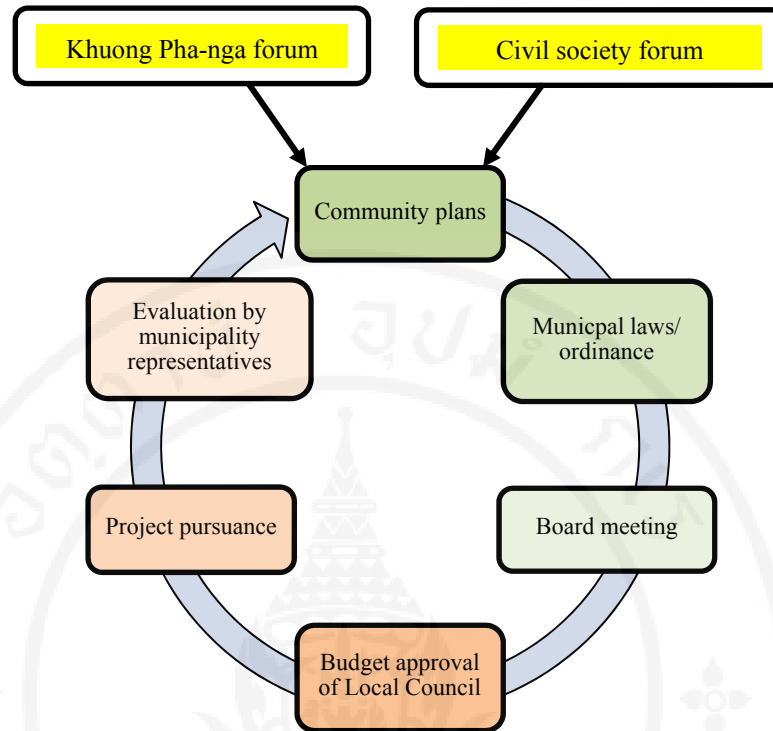
Conclusions acquired from interview, focus group and non-participatory reveal that the KKSM civic fortitude is found from the grouping of the public mind persons, the waste disposal groups, and having community learning sources and people assemblage for public benefits as forums to propose problems, association for talks and exchanges of knowledge. For example, the Khuong Pha-nga Forum, here the catalysts are the community researchers and the municipality is just a supporter, a coach to provide consultations and advice, to hear their proposed civil problems. Their assemblage shows their civic fortitude. Another thing is the 38 learning centers. They create learning societies with permits to open creative forum for its communities. It is to encourage people to learn by themselves through reading, surfing internets, interaction, talks, mutual questioning, and exchanging opinions. The disclosure of information and transparent governance brings their community assemblages to create beneficial activities and to encourage community participation, to brainstorm for problem-solving in their community. These fortify social through the uses of public spaces to rise people with public mind, civic political fortitude and sustainable self-organization.

In visiting the sites for data collection the researcher finds in the KKSM learning centers that they are located in residences within the community. There are common activities to create jobs and careers such as sewing group, and the group of

the earthworm raring for dung fertilizer and so on. All these centers bring major constructive outcomes. For example, the ability to create collaborative network for development between the public sector agencies, private sector and private development organization in promoting activities for children, youth and families. They are also the educational excursion of all agencies especially creating the creative spaces and learning sources for children and youth, the local cultures and career promotion. In addition, they are the subjective results to allow the local owning channels for additional learning and reducing the risk behaviors of children, youth, and the disadvantageous while people can also access them. Therefore, the community learning centers are the important tools to develop the holistic quality of life which create sustainability and fortitude for the local through learning together.

As of the civil participatory channels in the KKSM; they comprise various channels. From the advancement of the information technology, it allows people pursuing information and proposes their problems and needs through these channel, i.e. he executive direct line of telephone and municipal websites, the association and exchanges in various important municipal forums: Civic Forum and Khuong Pha-nga Forum, Meet-Leader Forums, municipal Facebook, municipal line groups, P.O.Box 20, Information Service Centers in each community, voice online, and community learning centers. In addition, there are informal forums, too.

All the data collection which the researcher has surveyed can be concluded the KKSM participation as the following chart.



**Figure 5.5 People participatory process of KKSM**

Source: Researcher (2017)

The chart above shows that the KKSM civic participation process with two hearing opinion forums and people participation in proposing problems for being developed into the municipal ordinance/law: Civic Forum and Khuong Pha-nga Forum (The Yard of Wisdom). Both forums become the learning centers for all in the community beginning from infants, youth, people in community, the elderly, the social disadvantageous, career group and other agencies to be responsive to learning to keep paces with the current world. It is necessary to learn about cultures, local intellectuals and the philosophical principles of Sufficiency Economy through using the public spaces in the community such as multipurpose hall, home lawns, temple lawn and public parks as the forum for exchanges of opinion, for assemblages and for exploring problems, disclosing information and brainstorming for problem-solving courses and to pursue performance of problem-solving at the village levels and at the subdistrict levels. This is through seeking public mind persons to be the key players for developing and safeguarding the village and they are called the “community

researchers” for 2-5 persons a community. They play their duties to encourage talks, explore data, present data, analyze, explore problems in their area, seek creative areas, organize civil forum to reflect thoughts, summarize data and present to the municipality, and announce them for people to know in each community to create pride and seeing values of all ideas. Upon brainstorming ideas from both forums, the constructive product is the municipal ordinance or law which will become plans and channel to further local development.

#### **5.4.5 Application of PB (participatory budgeting) in KKSM : a casestudy of social network structuring project in protecting the community children**

Application of PB (participatory budgeting) in KKSM: a case study of social network structuring project in protecting the community children can develop the projects to respond to the problem in the main goal of the PB. Another important thing is to create network and social capital. The results of PB in practices in many countries show that it can create social networks which link each other, collaboration for well problem-solving prove their solidarity to solve problems together. Finally, it will become the social capital among the community people.

As of the structuring social network project to protect the KKSM community children, it comes from the problems of their children and youth in the current social situations are violently growing and more complicated. Major reason is the changing economic and social situations. They demands families having no time to fully take care and foster their siblings because they are subject to economic rivalries and more prioritizing their careers. In addition, the risk among children and youth are more complex and if they were disregarded; they would be prolong and difficult to be solve in future. Therefore, the KKSM are required to raise project in order to mechanize and to create social networks for watch and solving problems as mentioned above.

The social networks to protect children and youth owns working process enabling to apply PB and with the goal to meet the creation of networks and social capital. Their procedures and methods are surveying problems of community children, their risk factors and introducing them into the Khuong Pha-nga Forum to seek consultation or exits and common planning based on the existing data. However, for all to be conscious and participating in common problem-solving; participants are

community people, local researchers, community leaders, and multidisciplinary teams which develop and drive the protection of children attributed in the aggressive integration under the major concept of the social networks to protect children. That is Children and youth in the growing community with the physical and mental readiness of collaboration among the community people for both watch and treatment.

The PB application in a case study of social network structuring project in protecting the community children organizes the following activities and procedures.

**Table 5.4 PB application in KKSM**

| <b>Meeting and Meeting Objectives</b>   | <b>PB application in KKSM</b>   | <b>Level of Participation (IAP2)</b> |
|---|---|--------------------------------------|
| 1. General Local Meeting<br><b>Meeting Objectives</b><br>Providing data<br>- present previous year projects<br>- present current budget<br>- explain PB process                 | 1. The KKSM forum to give information to the stakeholders according to the project of protecting the community children.  | Inform                               |
| 2. Meeting in each village or community<br><b>Meeting Objectives</b><br>- Deliberative, express opinion, propose projects<br>- select representatives for supervisory committee | 2. Organizing forums in each KKSM community for deliberation, opinions, proposal of activities in the project of protecting the community children.<br>- Elect representatives for supervisory committee in the project of protecting the community children. | Consult                              |
| 3. PB Council Meeting<br><b>Meeting Objectives</b><br>- prioritize project and budget<br>- vote for perfect projects  | 3. The KKSM should have PB Council to prioritize the project of protecting the community children and budgets<br>- Vote for the project of protecting the community children.   | Collaboration                        |
| 4. Mayor's Offices Meeting<br><b>Meeting Objectives</b><br>- Structure budget through the advice of the PB council and non-PB council   | 4. Organizing KKSM Mayor meeting on budgeting under the PB council's advice in the project of protecting the community children.  | Involve                              |

**Table 5.4 PB application in KKSM (cont.)**

| <b>Meeting and Meeting Objectives</b>   | <b>PB application in KKSM</b>  | <b>Level of Participation (IAP2)</b> |
|---|--|--------------------------------------|
| 5. Local Council Meeting<br><b>Meeting Objectives</b><br>To be deliberate budget and PB project<br>- debate and conclude budget             | 5. Meeting for the KKSM budget to deliberate budgeting and the project of protecting the community children. | Involve                              |
| 6. Project Construction and Supervision<br><b>Meeting Objectives</b><br>Progress of the project<br>- responsibility<br>- pursue the project | 6. Trailing performances by people on the applied project of protecting the community children.              | Involve                              |
| 7. Project Trailing and Evaluating<br><b>Meeting Objectives</b><br>Acknowledge success/problems and limitations/transparency                | 7. Auditing by people in the project of protecting the community children.                                   | Involve                              |

Source: Researcher (2017)

The above table shows the PB application and its major concept is offering opportunities for people and their participation in decision-making to pursue the policy. Therefore, its procedures are corresponded with PB concept in the case study on the project of social network structuring to protect the KKSM community children. It begins with providing information, providing data of budget, and allowing people to propose the children and youth problems in their community. This is to develop the project for public decision-making in the activities or projects found urgent priority and to decide about the budget to be spent in the project. In addition, PB concept offers opportunities for people to trail its project progress in order to evaluate the responsibility, continuity. And finally it is the inspection participation on the project success of the social network project in protecting the community children.

#### **5.4.6 Limitations of KKSM participation**

Its limitations area found with few people participate and people still think that being invited by the municipality for presenting opinions, problems and needs is just window dressing. Therefore, it is necessary to demonstrate that people have witnessed their proposals have been really applied. The municipality needs to use the problems as opportunities to create learning together and real proof, so that there will be acceptance. In addition, the forums as mentioned above in Khor Kha, are still organized for the key players every month, which is the association with the community each month to distribute subsistence allowance and to hear public problems and public opinions.

#### **5.4.7 Summary**

PB is a public administrative innovation significantly emphasizes people participation particularly the participation to propose budgets for projects developed by people themselves. The relevancy of this concept, had it been applied with the local governance is whether people have decided on budget used in operating projects or not. Rationally, PB indicates direct democracy on budget proposed by people who have opportunities to learn the works of the public sectors where people can offer their opinions, debate and influence on the resource distributions. PB is a tool to create bond, empower and reinforce people including the public sector with good governance, transparency and accountability.

The KKSM is a local government awarded by many organizations with distinguished performance on participation, transparency, role model in learning and the prototype which prioritizes civic politics. Therefore, to study element reinforcing people participation in KKSM required many elements and it is not just the law form the central administration to demand taking actions but the municipality has to take action itself since laws enact very broad principles, only. However, the municipality has to do since it wants to see changes, participation for all and opportunity given to people. The force of participation can create changes. When there were participations; all problems would be solved. However, participation would consistently rise and be driven; it required supports with either the leadership of the Mayor who must be the leading agent of change, creating faith, trust, confidence and public acceptance, promoting public mind and creating civic politics so that people can participate and feel the sense of belonging/ownership for Khor Kha, together.

## **5.5 The Suan Mon Subdistrict Municipality (SMSAO)**

### **5.5.1 The SMSAO general context**

The SMSAO has been established according to The Subdistrict Council and the Subdistrict Administration Organization Act BE 2537 (1997) located in the north of the Office of Manjakhiri District at the address of Village Group No.6, Ban Non Khwo, Suan Mon Subdistrict, Manjakhiri District, Khon Khaen Province supervising 64 square kilometers and dividing its administration into 14 villages. Its geography is a plane with the River Chi flowing from the east. Some areas are near River Chi and get flooded during the sheet-flood season.

The SMSAO data accommodate 7,608 population classified in to 3,804 males and 3,021 females with 2,377 household. Their economic condition and most of its population are farmers and mostly cultivating farming. Their additional career is silk weaving and general labor. From their major career of farming, the critical problems are the water scarcity for agricultures during the dry season since their lands are sandy and cannot reserve water for the entire year. On the contrary, the lands attached to River Chi meet problems of flood during the sheet-flood season.

Its internal administration involves the elected executives and the current chairman of the SMSAO (July 2017) is Mr. Thanaset Meesangthong with two deputies and a secretary. The legislative body involves the members of subdistrict administration organization council elected with 2 members from each 14 villages. Its total is 28 members.

The SMSAO development strategies are specified to meet the SMSAO vision and contain 5 aspects, i.e. human and social quality development, livable city and community development, community economies for competitiveness development, natural and environmental resources management, and good governance system development. These are under 24 ways. The promotion of people participation is in Strategy V—that is the reinforcement of developing the local politics to be transparent and honest for supporting democratic cultures and good governance cultures with reinforcing its fortitude and civic participation.

### 5.5.2 SMSAO people participation

Under the policy of decentralization, it evidently changes the roles of the local government especially the tasks transferred from the central administration, offering opportunity for the local government to express its potential in management, policymaking and public servicing. It counts an agency closest and knows best the need of people; while being responsive to their needs most. From the changes of policy in the national level emphasizing decentralization, it can upgrade the public wellbeing with well improved public service and better quality of life.

*“...Decentralization to people allows them to better selfcare, solving problems to the point and on-time. A small unit like subdistrict administration organization is more empowered, having budgets by itself and it is counted very good things with wellbeing. Progress can be more accessed than before, better infrastructures and in our homes we know what we lack, in what ways and we can be self-reliance...”*

The SMSAO executives, interviewed on 24<sup>th</sup> March 2017

While decentralization attracts but another aspect is working might be very complicated or conflicting between the local governments, which are the consequences of decentralization, given the elected executives from their constituencies, personnel, tasks, their own budgets and more power. On the other side, there is the local government another conventional party and prolong stays where there is chief of the subdistrict and the chiefs of villages who have conventional power and they are the natural leaders with power, roles and prestige. Many areas are hard to coordinate and cooperate and collaboration. Therefore, the chairperson of the subdistrict administration organization is the coordinating compromiser between the executive and the administration.

*“....Generally, in many places SAOs conflict with the village chiefs. So, I have a policy of compromise between the local executives such as if there is a road repair; there must be the signatures of the village chiefs and the SAOs – if there is none, the project has to be rejected...”*

The SMSAO executives, interviewed on 24<sup>th</sup> March 2017

The villages in the northeastern rural communities prioritizes the roles of the subdistrict chiefs rather than the SAO (subdistrict administration organization) because they more prolongly play their roles and nepotistic relation, prolong dependency, more political free compared to SAOs where there is election and wild

rivalries. Therefore, when the SAO has been first established, few Suan Mon villagers involved leading to the problems to irrelevantly project to their needs and their problems. In addition, there is distrust people against the SAO about transparency and cronyism in procurement. Consequently, they are the duties of SAO to address those problems by opening opportunities for people to participate in its project governance and its public service governance for their transparency and accountability. It needs to build trust, confidence and faith among people to the elected public sector agencies.

*“Here we have civic activities in our villages for public hearing what projects should they be? To what extent, they fit? If there are many projects, which one is prioritized- very urgent necessity? For example, road maintenance needs people to involve because they will see SAO really work...”*

The SMSAO executives, interviewed on 24<sup>th</sup> March 2017

Since 2000, The SMSAO offers opportunities for people to participate in budgeting from its planning, problems and needs proposals, local development planning, enacting the local ordinance, procurement, evaluation and the SAO performance inspection. The procedures are: every 5<sup>th</sup> day of each month which is not the official holiday will be designated as the monthly SMSAO meeting. The government agencies in the area are also invited, 8 school directors, 2 directors of the subdistrict health promotion hospital, the district government agencies, the local district agencies, the district development agencies, and the regional electricity of Manjakhiri district. In addition, all subdistrict chiefs, village chiefs and SAO council members also invited. All villages attend meeting altogether. The government affairs are clarified for all to acknowledge about the SMSAO projects and their budgets, SMSAO revenues and expenses for persons involved to audit and advice the ways to solve functional problems. Every 3 months, SMSAO organize a public forum for executives to declare their each quarter performances on what they have done and how much budget they have spent while declaring what they will do in the next quarter and opens the civic forum welcoming people to involve in the meeting and inquiry session. Also, people could propose guides for working for the executives for information and further actions taken.

*“...There are civic forum for discussions and deliberative in each quarter and for Q&A session and also seeking recommendations at the same time. Many hundreds participate like the village chiefs, assistants, SAO members, and chairpersons of various assemblies to audit the performance of SMSAO executives through questioning, opining, proposing problems for SMSAO for information and for possible actions of governance and development. I count that complaints, and blames from villagers cam become our governance ...”*

The SMSAO executives, interviewed on 24<sup>th</sup> March 2017

The SMSAO governance as above mentioned brings power balance of the executives and the staff or functional personnel including prioritizing the SMSAO people participation. It grows trust and confidence in an organization, performance satisfaction, SMSAO public services among people and attracts them to participate in the activities, finally. In summary, people participation in the following SMSAO activities and participatory process.

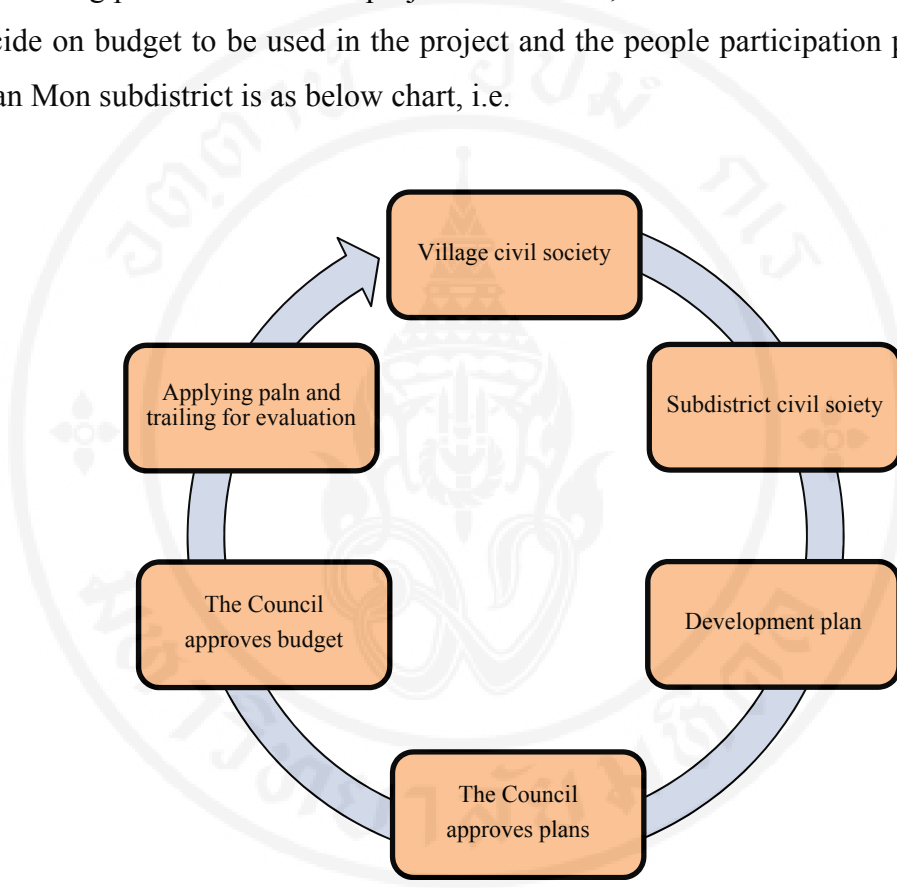
1) People in each village associate, discuss and talk about problems arisen in their villages needed SMSAO to solve and raised in the 14 village civic forums with 30-100 representatives each to attend meeting, and hearing information with the budgetary clarification of the SMSAO executives. The people are offered opportunities to propose their miseries through fill-up the SMSAO format. Then problems will be subject to prioritization under supervision of the village civic forum.

2) Organizing the subdistrict civic forums – it is just prioritizing problems in each village by having representatives who are the village chiefs, SAO members in each village and 4 elected representatives from each village to join the meeting with the SAO executives to prioritize urgent problems submitted by 14 villages. Deliberation demands areas and number of people who are in troubles for the deliberative complementary.

3) Proposing development plans acquired from the SMSAO civic forum so that the council will approve the subdistrict annual development plans.

4) Adopting the development plans approved by the SAO council to enact the municipal ordinance/laws according to he proposals of the subdistrict civic forums to meet the needs of people in Suan Mon subdistrict. When applying the project; there will be 4 representatives from each village to be the Audit Committee members to open the bidding and check the project.

Therefore, the people participation process in the SMSAO to meet PB is disseminating information and clarifying the SMSAO budget. Then people propose their problems and their needs through civic forum and in this forum there are representatives to prioritize urgent problems. Finally, there are inspection, evaluation and trailing performance of the projects. However, the lost activities are people do not decide on budget to be used in the project and the people participation process of the Suan Mon subdistrict is as below chart, i.e.



**Figure 5.6 People participatory process of Subdistrict Suan Mon municipality**

Source: Researcher (2017)

**5.5.3 Elements reinforcing people participation in SMSAO**

The conclusions collected from interviews, focus groups and non-participatory observations; the researcher finds that People participation in the Suan Mon governance and it counts successful since 2000. Then more people have involved more by average participants are not less than 80% because elements reinforcing people participation as below.

1) Offering opportunity for the local leaders who significantly adhere to the benefits of the villagers, the villagers' centered for development, emphasizing aggressive work but legitimacy rather than by satisfaction.

2) Dedication of people – with the poor condition and preoccupation in career works, dedication, and consciousness of their rights and duties become the major element to reinforce the success of participation.

3) Conflict alleviation – being politics, it leads to rivalries and sectarianism or conflicts between subdistrict chiefs and village chiefs and SAO, which are often found in many areas. However, when forums have been organized for discussions; harmony arises.

4) Sense of belonging and accountability – every project has been proposed by people from each village. It witnesses mutual objective and subjective benefits while having accountability on the performance as planned in the project.

5) Ability of responsiveness to the needs and problemsolving of people at almost 90%; the example of addressing problems and troubles of SMSAO people and that since all majority are farmers and their troubles is water for their paddy fields. Then when people participate, many projects are proposed such as dike to keep water, cleaning shallow canals, and waterways to enable them to cultivate farming twice a year.

6) Using the restricted budget with cost effectiveness allow people deserve better public services. There are growing developments of quality of life with regards to economy, social health and sanitation, and environment has been taken care of.

#### **5.5.4 Civic fortitude and participatory channels**

The conclusions acquired from interviews, focus group, and non-participatory observations reveal that the civic fortitude in SMSAO in the form of civic network, which it has been awarded by the King Mongkut's Institute on network promotion of public, private and civic society in the Year 2015. Its networks plays the role of consistently organizing activities/projects among the community leader network, the citizen volunteers network or conserving Suan Mon forests, the citizen defense volunteers networks, the volunteer networks for village public health and there are still new networks playing the additional roles – the SMSAO children and youth council network. They are counted the major force to continue the future tasks through

establishing the SMSAO children and youth council in 2014. Its objectives are to encourage the SMSAO children and youth catalyzing useful activities of children and youth in various aspects in the area.

Its participatory channels of the SMSAO people are both direct and indirect. The direct participation is witness in the civic forums at the 14 village levels and its subdistrict forum level. Their participation is through two representatives from each village, acknowledging information from SMSAO website, public relation through broadcasting towers, the SMSAO mobile team, the elderly and the disabled associations in the first day of each month, the direct line of the executive, and the informal association during traditional festivities of the northeastern people.

#### **5.5.5 Application of PB (participatory budgeting) in SMSAO: a case study of the project to solve the poverty problem**

The application of PB is aimed at to create wellbeing for people in SMSAO. This is through a case study of the project to solve the poverty problem. It is aimed at creating the perfectness for the SMSAO people to earn additional income part from farming as their major career. Since it is urgent and the poverty is not scoped just economic or income poverty; the SMSAO focuses to reinforce potential of the career for the poor through enhancing their knowledge with developing the process of their learning in order to upgrade their ability to analyze problems and rationally rightful decision-making.

In encouraging and developing the community learning process linked to the poor and the disadvantaged through opening civic forums, this is to widen the community learning network, promoting and supporting learning from the local intellectual, and the community economic deployment at the grassroots through promoting the career assemblage, such as the weaving group, the mushroom cultivation groups, the artificial flowers group, the cement-pond fish raising group and so on. In developing agriculture and the freelance career under the philosophy of sufficiency economy; they are through promoting and supporting sustainable farming, which are bio-farming, integrated natural farming and new theories by promoting forestation as the source of streams and to restore good natural environment, and seeking water sources for farming such as dredging public water sources, and

excavating ponds in the paddy fields attributed with reciprocal networks to link the action plans of the projects and to adhere to the strategies of Khon Kane province.

Preparing the action plans for developing the SMSAO is through coordinating with the provincial development plans and to coordinate with preparing the action plans of the KKMM. This is to solve the SMSAO poverty with relevancy and with the same direction. It is focused on achievement-bases development by indicating the constructive performance index with creation of knowledge and understanding for the SMSAO personnel, community agencies and people with regards to the achievement-based performance. It needs to evaluate the achievement in solving poverty problems through proposing the SMSAO performance to be perceived by agencies involved and public. Therefore, the application of PB (participatory budgeting) in SMSAO in a case study of the project to solve the poverty problem should have relevant activities to PB as shown in the table 5.5 below.

**Table 5.5 PB application in SMSAO**

| <b>Meeting and Meeting Objectives</b>   | <b>PB application in SMSAO</b>  | <b>Level of Participation (IAP2)</b> |
|---|---|--------------------------------------|
| 1. General Local Meeting<br><b>Meeting Objectives</b><br>Providing data<br>- present previous year projects<br>- present current budget<br>- explain PB process                 | 1. Organize civic forum in SMSAO to provide information through: presenting the projects of the past year, presenting the current budget and explain the PB process | Inform                               |
| 2. Meeting in each village or community<br><b>Meeting Objectives</b><br>- Deliberative, express opinion, propose projects<br>- select representatives for supervisory committee | 2. Organize civic forum in each 14 village for deliberation, opinions, propose projects to treat poverty and elect representative for supervision.                  | Consult                              |

**Table 5.5 PB application in SMSAO (cont.)**

| <b>Meeting and Meeting Objectives</b>   | <b>PB application in SMSAO</b>   | <b>Level of Participation (IAP2)</b> |
|---|--|--------------------------------------|
| 3. PB Council Meeting<br><b>Meeting Objectives</b><br>- prioritize project and budget<br>- vote for perfect projects                        | 3. Organize meeting of the representatives from each village to prioritize projects and their budgets and vote for the accomplished project of treating poverty  | Collaboration                        |
| 4. Mayor's Offices Meeting<br><b>Meeting Objectives</b><br>- Structure budget through the advice of the PB council and non-PB council       | 4. Organize the local board meeting with every party in SMSAO to hear recommendation about the projects treating poverty and budget for their operation.         | Involve                              |
| 5. Local Council Meeting<br><b>Meeting Objectives</b><br>To be deliberate budget and PB project<br>- debate and conclude budget             | 5. Organize the local council meeting to deliberate budget and projects treating poverty and list them in the local development plans for further actions taken. | Involve                              |
| 6. Project Construction and Supervision<br><b>Meeting Objectives</b><br>Progress of the project<br>- responsibility<br>- pursue the project | 6. Gear up with the projects and trail to evaluate their progresses by 4 civic representatives from each village.  | Involve                              |
| 7. Project Trailing and Evaluating<br><b>Meeting Objectives</b><br>Acknowledge success/problems and limitations/transparency                | 7. Acknowledge success/problems and barriers/transparency, trailing, checking and accept the projects from the civic representatives with the SMSAO executives.  | Involve                              |

Source: Researcher (2017)

From the table above, the SMSAO has its many ongoing activities and they are corresponded with PB except it lacks representatives to form a PB Council and there is no resolution on the local development plans with their budgets. Other issues are counted enhancement its fortitude for people to learn and to access democracy well at the grassroots. Their past performances could solve the problems direct to the point

while being well responsive to the needs of people, reducing conflicts and suspicions about the works of the “board” as well as maximizing its budget.

### 5.5.6 Limitations of SMSAO participation

With its rural geography, SMSAO is mainly involved in cultivate paddy fields. Participation is restricted that during production and harvest, people unlikely take part because they have to attend their career. Other limitations are their consciousness of civil rights and duties and some still see it is not their duty or they do not have time to participate or they see it insignificant or no benefits in participating. Therefore, the local leaders needs to take aggressive steps and professional approaches by having mobile team to find opportunity to meet people in their constituencies within various special occasions such as alms taking ceremony, monkhood ceremony, nuptial ceremony and during the distribution of subsistence allowance in the very first day of the month. The executive has to go by itself in every time in order to hear problems form the villagers, asking about the elderly wellbeing. Participation also needs sacrifice from the people by significance because just the executive alone, he/she cannot supervise every project.

*“...In each project, I have to tell people in the public forums that ...” Yes with contraction budget but No budget with its maintenance”...therefore, we have to help supervise, watch and just relying me alone; it cannot. I have to rely on our brethren too supervise. We have the rights to supervise because projects are for our homes...”*

The SMSAO executives, interviewed on 24<sup>th</sup> March 2017

As of conflicts of idea, they are common and the solution is by talks and without right-wrong votes since it fuels more conflicts and might lead to schism.

### 5.5.7 Summary

There are many forms of democracy either representative or direct democracy. They have different advantages and disadvantages. PB is a good governance innovation gained form direct democracy but it does not mean it will entirely replace the representative democracy. It just fulfills the lost part or the failure part of the representative democracy because in fact the power of people is not end at the Election Day but people should own their power to inspect the performance of

their representatives and to involve in the public sector activities such as the local government. Rationally, it will help people to learn about autonomy, to check the local government performance and remind the executives to be cautious about their hidden political gains.

The Thai decentralization is clearer and more tangible than the previous two decades. Therefore, participation is counted a critical principle in decentralization because participation power people and become partnership in today governance. It could be witnessed in the SMSAO where it can build fortitude to its rural networks, which leads to their power of negotiation and compromise in benefits distributions. It reduces the past conflicts and suspicions. Its key elements reinforcing the success of the SMSAO people participation are prioritization on people from the local leaders, attracting their participation and their sense of belonging/ownership in various activities and projects. Their problems are deliberate for treatment, returning people with direct and indirect gains in both tangibility and intangibility. It is corresponded with the PB concept which needs to develop the quality of life for people and receiving good public service from the local government, maximizes restricted resources and empowers people in policy decision-making with the local government.

## **5.6 Summary of the issues investigated in fieldworks**

This Chapter is the study through surveying data with the local government under the criteria in Chapter III – awarded by the King Mongkut's Institute, awarded of good governance of the local government, fortitude citizen politics and/or investigated by scholars. From such criteria, the researcher investigate five organization, i.e 1) the Mae Hong Son Provincial Administration Organization (MHSPAO), 2) the Khon Khaen Metropolitan Municipality (KKMM), 3) the Khao Sam Yod City Municipality (KSYCM), 4) the Khor Kha Subdistrict Municipality (KKSM), and 5) the Suan Mon Subdistrict Administration Organization (SMSAO). To respond to the Objectives No. 2: to investigate elements reinforcing the success of people participation in the participatory budgeting of the Thai local government organization. Their issues for investigation are concluded as follows:

### **5.6.1 Geographic contexts and general conditions of the local government affect participation**

Geographic contexts and general conditions of the local government affect people participation. What evident is the case of MHSPAO where it is mountainous with transport hardship. General conditions of its people are poverty and deprived of opportunities to access public services and public utility infrastructures. They oppress people to participate in exercising its PAO policy more. Rationally, they want to own the restricted budgets to help improve their livelihood. Such a wild areas and deprived people are relevant to the PB concept aimed at solving their poverty problem. The poor people and deprived of opportunity to access resources participate in decision-making so that the PAO works are directly responsive to the problems and need of people.

Besides the areas of the poor and wild province as above; the case of KKMM, a modern city with administrative budget of around billion; its nature of exercising policies and its people participation are different – the KKMM crafts its policy to build Khon Khaen into international level and its people participation is focused on building local innovation. For example, the Khon Khaen City Council plays the role to thrive the policy of LRT system (light rail transport) and it is relevant with PB concept which enables to build new innovation. It is similar with New York Mega polis where it is successful in creating innovation from PB.

### **5.6.2 People participation process in the local government**

It is found with every local government that people participation at first is mutual recognizing the local information through many channels either through the clarification of the local executives or announcement in the notice boards or public relation through broadcasting towers or websites. Upon knowing information either being the past projects or budget or the future projects; the respective participation is to propose projects, needs and petition of people who need the local government to solve problems. From that, it is imperative to develop proposals in to plans and list them in the local development plans or the municipal ordinance/laws. Such participation in proposing problems and people petitions which might differently call by each local such as Civic Forums, City Hall Meeting, Khuong Pha-nga Forum, and Villager Forum and so on. So as to collect all problems and common opinions; it is to be the guide for further development in each local.

Besides having brainstorming and co-proposing people; and sometimes there is working together. For example, in the case of KKMM, people improve their own lanes and sub-lanes, sweep roads and earn remuneration from the municipality rather than the contractors. This is in the other way a common benefit earning. The participation which all areas support is co-inspection because the projects formed come from co-ownership of people. They should participate in inspection for legitimacy, transparency and under the principles of good governance.

### **5.6.3 Elements of reinforcing the success of people in their participation**

The most important element strengthening the success of people participation is the local leaders offer opportunities because if they were grudge of their power, they cannot attract participation. The local leaders need to be conscious that people participation is the best bunker in being checked from the higher levels because participation disallows the local leader to do what they will. When people participate, they mostly sense of ownership together in involving with activities/projects arisen in each area. Accountability of people is another significant element to reinforce participation because people as the taxpayers and the stakeholders in the local activities. Then they can inspect the local performance, which will certainly affect their participation.

Upon earning opportunity to participate what follow are, trust, confidence and faith of people to the local government especially, those can solve problems and are constructively responsive to the needs of people. Therefore, the local government requires people to participate with important thing besides offering opportunity which is giving information because information creates perception for people. It is a threshold opened to participation. Most mentioned elements are external which reinforce the success of participation. However, the internal factor which is important is being active citizen who owns knowledge and understanding, is conscious on their rights and duties. In addition, there are other factors different by area such as , poverty condition, oppressing area conditions, having forums and multi- channels for people and so on.

#### **5.6.4 Civil Fortitude and participatory channels**

Civil fortitude is very important to drive participatory process particularly for the strong assemblage, civil network, and citizen politics. All these reflect the power of people which enables to bargain with political parties or the local executives. From the fieldwork, the researcher finds that most local governments exercise assemblage of people to organize common activities/projects attributed in career groups, women groups, volunteering groups, the elderly groups and the children and youth groups and so on.

As of the participatory channels, there are multiple and based on the area context and keeping pace with technology of the local government, the direct lines of the executives in both mobile numbers and websites. Many important forums are civic forums, villagers' forums, meeting leader forums, Facebook of the local government, lines groups, P.O. Box, information service center of every village or community, voice online, village/community learning center and mobile units.

#### **5.6.5 Application of participatory budgeting (PB) in the Thai local government**

The application should specify clear goal what PB is used for such as solving poverty problem, social discrimination, creating social capital, organizing network and so on. How much such projects require budget? However, the most important thing is every project must involve people for decision-making on PB. Therefore, PB application is based on context and the method of participation in each local government.

In brief, the PB process involves 1) meetings or civic forums in overviews in every area to provide data through presenting the previous year projects, presenting the current budget and explain the PB process. 2) Each village/community meeting is to deliberate, to opine, to propose projects, to elect representatives for supervisory committee. 3) The PB council meetings are to prioritize projects and their budgets, and to vote the perfect projects. 4) The Mayor's meetings are to structure budget under the recommendations of the PB Council. 5) The Local Council meetings are to deliberate PB budgets and projects, to discuss and to settle the budgets. 6) Constructing and supervising projects are to witness the progress of the projects, responsibility, and

adherence to the projects. Finally, 7) trailing and evaluation meetings are to witness the success, problems, barriers and transparency of running the projects.

### **5.6.6 Limitations of civil participation**

There are two dimensions, i.e. first, the civil dimension which encounter the limitation of participation that might be different in each area such as the case of the MHSPAO, people are inconvenient in traveling; therefore the PAO has to take aggressive approaches – meeting people in its mobile unit. Otherwise, the limitation is found people are preoccupied with their career earning. They have no time and are uninterested in their involvements. Such issue is much found in the Thai societies because some Thais are not conscious of their rights and duty they must truly attend. Also, it is seen that exercising policies is the duty of politicians of the local executives who have been elected and they end their duty. This makes many areas at first meet few participants.

The participatory limitations in the local government are to pay more expenses, and more time spent. Exercising policies demands for personnel, places and others and needs patience to hear their different opinions from many people. It needs arts of compromise especially the local leaders must acquire likely high level of leadership so that they can reduce conflicts and address contradictory opinions among people.

Table 5.6 Summary of Elements Reinforcing Success of People Participation

| Investigated Issues  | The PAO of Mae Hong Son (MHSPAO)   | The Khon Khaen City Municipality (KKCM)  | The Khao Sam Yod City Municipality (YSKCM)  | The Khor Kha Municipality (KKSM)   | The Suan Mon Subdistrict Administration Organization (SMSAO)   |
|--|--|--|---|--|--|
| 1. General Condition and area context                                    | Rural areas and 80% are mountainous forest   | City communities mostly  | Semi-city; semi-rural area  | Semi-city; semi-rural  | Rural area   |
| 2. People participatory process in the local administration organization | <ul style="list-style-type: none"> <li>- having not less than 700 representatives from civil society in every village to attend the District Forum</li> <li>- Co-propose projects</li> <li>- Representatives from all sectors select projects</li> <li>- Approve proposed plans and budgets</li> <li>-Public networks co-inspect project adherence.</li> </ul> | <p>City communities mostly</p> <ul style="list-style-type: none"> <li>- <b>Brainstorming:</b> having forum for people to freely propose their problems, needs and opinion</li> <li>- <b>Collaborate:</b> conveying and disseminating something to people co-working, co-exerting and co-funding</li> <li>-<b>Co-inspect:</b> having civil committee to co-audit projects and budget and procurement</li> <li>-<b>Co-receiving benefits:</b> worthily gaining remuneration from working and from resource distribution</li> </ul> | <ul style="list-style-type: none"> <li>- Community forums/collecting problems and needs</li> <li>- Subdistrict forums</li> <li>-Meeting every 20<sup>th</sup> day of each month</li> <li>-Trailing evaluation of project performance by CAR scores</li> <li>- Recommendations on activities / projects</li> </ul> | <ul style="list-style-type: none"> <li>- Meeting to hear problems and project proposals through 2 forum: Kuong Pa-nga and community forums</li> <li>- Prioritizing projects by public votes</li> <li>- Account progress and success of the projects by civil sector</li> </ul> | <ul style="list-style-type: none"> <li>- Village community proposes problems/projects</li> <li>- Subdistrict community votes to select prioritized projects</li> <li>- Proposing drafts of development plan gained from subdistrict forums to SAO council</li> <li>- Bringing the development plans approved by SAO council for enacting the annual fiscal budget regulation.</li> <li>- Accounted by the civil sector on performance</li> </ul> |

**Table 5.6 Summary of Elements Reinforcing Success of People Participation (cont.)**

| Investigated Issues                                    | The PAO of Mae Hong Son (MHSPAO)   | The Khon Khaen City Municipality (KKCM)  | The Khao Sam Yod City Municipality (YSKCM)   | The Khor Kha Municipality (KKSM)  | The Suan Mon Subdistrict Administration Organization (SMSAO)   |
|--|--|--|--|---|--|
| <b>3. Limitations of people participation</b>          | <ul style="list-style-type: none"> <li>- Backcountry area</li> <li>- Communication</li> <li>- Diverse ethnicity</li> </ul>   | <ul style="list-style-type: none"> <li>- troubling working</li> <li>- costly expenses</li> <li>- need high patience</li> <li>- Time wastes in career works</li> </ul>  | <ul style="list-style-type: none"> <li>- Less people participate in the past</li> <li>- Diverse groups</li> </ul>  | <ul style="list-style-type: none"> <li>- Less people participate at first</li> <li>- Must spend time for career</li> </ul>  | <ul style="list-style-type: none"> <li>- Absences of freedom</li> <li>- People must attend career-works</li> <li>- Having conflict of ideas</li> </ul>   |
| <b>4. Elements reinforcing of people participation</b> | <ul style="list-style-type: none"> <li>- Opportunity by leaders</li> <li>- Coerced by poverty</li> <li>- Area context</li> <li>- Sense of belonging</li> <li>- Accountability</li> <li>- Public relation</li> <li>- citizen politics</li> <li>- Trust, confidence and faith</li> </ul> | <ul style="list-style-type: none"> <li>- Leadership</li> <li>- Administration and organization</li> <li>- Fortitude of civil sector and active citizen</li> <li>- Sense of ownership</li> <li>- Provision of information</li> <li>- Decentralization and transferring something to people</li> <li>- Accountability</li> <li>- Having diverse forums and channels</li> </ul> | <ul style="list-style-type: none"> <li>- Adherence to laws, rules and regulations</li> <li>- Transparency</li> <li>- Prioritizing participation</li> <li>- Accountability</li> <li>- Worthiness</li> <li>- Responsiveness to problems and needs of people</li> </ul> | <ul style="list-style-type: none"> <li>- Leadership of the Mayor</li> <li>- Organizing public forums</li> <li>- Providing information</li> <li>- Trust created for people</li> <li>- Responsiveness to problems and needs of people</li> <li>- Accountability</li> <li>- Sense of common ownership</li> <li>- Benefits received</li> <li>- Having community learning centers</li> </ul> | <ul style="list-style-type: none"> <li>- Opportunities offered by the local leaders</li> <li>- Public sacrifice</li> <li>- Conflict reductions</li> <li>- Sense of ownership and accountability</li> <li>- Responsiveness to problems and needs of people</li> <li>- Worthily spending the existing restricted budget</li> </ul> |

Table 5.6 Summary of Elements Reinforcing Success of People Participation (cont.)

| Investigated Issues                  | The PAO of Mae Hong Son (MHSPAO)  | The Khon Khaen City Municipality (KKCM)   | The Khao Sam Yod City Municipality (YSKCM)  | The Khor Kha Subdistrict Municipality (KKSM)  | The Suan Mon Subdistrict Administration Organization (SMSAO)  |
|--------------------------------------|---|---|---|---|---|
| <b>5. Fortitude of people sector</b> | <ul style="list-style-type: none"> <li>- Citizen network</li> <li>- Groups of women, housewife, public mind, elderly and disable</li> </ul>   | <ul style="list-style-type: none"> <li>- Town Hall Meeting</li> </ul>   | <ul style="list-style-type: none"> <li>- Having civil assemblages e.g. the elderly, the career group, the disable, the public health volunteers, village scouts, civilian rescue volunteers, Family, Children and Youth Development Center</li> </ul>                                       | <ul style="list-style-type: none"> <li>- Assembling for public mind, waste disposal groups, career groups</li> <li>- Having 38 community earning sources</li> <li>- Children and Youth network groups</li> </ul>  | <ul style="list-style-type: none"> <li>- Having civil network : community leader network, Suan Mon Citizen Forest Protection network, citizen guard volunteer network , and village public health volunteer network</li> </ul>  |
| <b>6. Participatory channel</b>      | <ul style="list-style-type: none"> <li>- Radio broadcasting</li> <li>- Communicating through community representatives like revered elders, subdistrict chief, PAO members, forming civil society</li> <li>- PAO websites</li> <li>- PAO Facebook</li> <li>- People forum</li> <li>- Mobile PAO and Project of PAO Meet People</li> </ul> | <ul style="list-style-type: none"> <li>- Websites</li> <li>- Facebook</li> <li>- Telephones</li> <li>- Communication through representatives</li> <li>- Having Town Hall Meeting, people forums</li> <li>- Other local media</li> </ul> | <ul style="list-style-type: none"> <li>- Websites</li> <li>- Municipal Journal</li> <li>- Pamphlets</li> <li>- Municipal contact manual</li> <li>- Tower broadcasting/ 27voice online</li> <li>- Opinion boxes</li> <li>- Civil/community forums</li> <li>- Announcement posting</li> </ul> | <ul style="list-style-type: none"> <li>- Direct line to the executives</li> <li>- Municipal websites</li> <li>- Civil forums and Kuong Pa-nga Forum</li> <li>- Meeting executives</li> <li>- Municipal Facebook</li> <li>-Municipal line groups</li> <li>- PO Box.20 B</li> <li>- Information Service Centers in each village</li> <li>-Voice online and community learning centers</li> <li>- Informal forums</li> </ul> | <ul style="list-style-type: none"> <li>- SAO websites</li> <li>- Civil forums at 14 village levels</li> <li>- Civil forum at subdistrict level</li> <li>-tower broadcasting</li> <li>-SAO mobile units</li> <li>-Meeting the elderly and the disable every first day of the month</li> <li>-Direct line to executives</li> <li>-Informal association</li> </ul> |

**Table 5.6 Summary of Elements Reinforcing Success of People Participation (cont.)**

| Investigated Issues  | The PAO of Mae Hong Son (MHSPAO)   | The Khon Khaen City Municipality (KKCM)   | The Khao Sam Yod City Municipality (YSKCM)  | The Khor Kha Subdistrict Municipality (KKSM)  | The Suan Mon Subdistrict Administration Organization (SMSAO)  |
|--|--|---|---|---|---|
| 7. Application of PB in the Thai local administration organization | <ul style="list-style-type: none"> <li>- Project of Village conserves Forest</li> <li>- Target is enhancing quality of life for people and reducing economic discrimination</li> </ul> | <ul style="list-style-type: none"> <li>- Project of improving the Khon Khaen Shrine of the City Pillar</li> <li>- Goal: to be active citizen</li> </ul> | <ul style="list-style-type: none"> <li>- Project of educational network reaching out to international standards</li> <li>- Goal: to establish network and social capital</li> </ul> | <ul style="list-style-type: none"> <li>- Project to establish social network to protect children in community</li> <li>- Goal: to establish network and social capital</li> </ul> | <ul style="list-style-type: none"> <li>- Project to solve poverty</li> <li>- To establish people wellbeing</li> </ul> |

Source: Researcher (2017)

## **CHAPTER VI**

### **IMPLEMENTATION OF THE CONCEPT OF PARTICIPATORY BUDGETING (PB) IN THE THAI LOCAL GOVERNANCE**

The study of “Participatory Budgeting Concept Applied in the Thai Local Governance” in this Chapter will respond to the Third Objective on recommending approaches to implement the PB concept in the Thai local governance. This is to present the synthesis of Chapter IV and the fieldworks in Chapter V in order to conclude the findings from both models and the application of the PB concept appropriate to the local Thai government.

Consequently, this Chapter presents 1) the knowledge condition of the PB concept, its success, challengers, failures, efficiency and its applicability. 2) It is to present elements reinforcing the success of people with their participation in the local Thai context which is the case study including the area context, limitations and the participatory channels. 3) It is to recommend approaches, perspectives, thoughts, and opinions from the Department of the Local Administration Promotion, the Office of the Decentralization Commission, specialists and sage scholars. 4) It is to present the guides and the process driving the PB concept appropriately applicable to the local governance including the desired results and the expected benefits; if PB concept has been applied in order to meet the Thai local governance.

#### **6.1 The knowledge condition of the PB concept, its success, challengers, failures, efficiency and its applicability**

##### **6.1.1 The conceptual foundation of PB**

From literature reviews, it is found that PB is based on the methods and thoughts from many theories. It comes from the phenomenon of the conventional

management but unable to directly solve problems with prevalence and with impartiality. It brings dissatisfaction to people who are discriminated from the center of power and marginalizes them. Consequently, the knowledge condition of the PB concept is thus accumulated from direct democracy, deliberative democracy and active citizenship.

### **6.1.2 Synthesizing the knowledge condition of the PB concept**

PB concept begins in Brazil and later is popular and widely applied in many cities around the world in just two decades. It is supported by many international organizations because PB is viewed as capable to address corruption and the failures of the representative democracy where later many countries are indifferent to participate in exercising their rights to vote for their representatives. It is also expected that PB will help bettering public services and solving discrimination or inequality particularly among the poor who support to apply PB because their voices will be heard more by the political representatives. Their miseries will be more alleviated and treated.

**6.1.2.1 Meta-method** – the synthesis shows that majority of the research works emphasize qualitative approaches at 67% (10 out of 15 works) followed by integrated approach but still emphasize qualitative research or qualitative-led approach. The most popular methods are interview with either face-to-face interviews or in-depth interviews or semi-structured interviews, which are 80%. It is then followed by document study. Therefore, accessing data is mostly conducted with key-informant interviewees who are involved with PB whether being politicians, technical staff, people, private sector and variety of specialists and so on. However, most researches explored are not applying just meta-method only but also integrating multiple methods by either observation or survey or focus group or regression analysis and so on.

**6.1.2.2 Meta-theory** – the theoretical bases for the investigation and mostly embraced in the literature reviews are the theories or the concepts of PB are 80% (12 out of 15 works). The most mentioned issue in the PB concept is the origin and the benefits, which are extensively adopting PB around the world. The respective researches will mention about either success or failure in applying the PB concept. In addition, there are other complementary theories, which rely on what the researchers would emphasize such as the work of Anna Forkovocova (2013) who

investigates how PB could alleviate democratic deficit. The main concept is PB. As of the supporting concept is the democratic deficit. Therefore, the theoretical concept mentioned on supporting the research is the participatory concept or the participatory democracy and the deliberative democracy because they are the foundations and the origin of PB.

Consequently, synthesizing theories employed in the researchers reveal that they are coherent to the title the researcher desired to investigate. For example, If it needs to investigate PB with social capital; it needs to emphasize social capital theory or if it needs to conduct experiment for piloting PB to be employed in solving the problem of climate changes what bring global warming like the work of Thomas William Daniel Cohen (2012). Then, the concept of local governance, the survey of climate change, people participation, PB, the concept of climate changes leading to PB will be embraced as the foundation of the investigations.

In conclusion, the concepts supporting PB in various contexts are 1) the intrinsic motivations or the authentic motivation and the instrumental motivations. 2) They are the concepts of democratic deficit, the concept of deliberative innovation and the concept of democracy innovation. 3) It is the concept of budgeting. 4) It is the theory of social capital through norms, trust and social networks. 5) It is the theory of implementation theory. 6) They are the democratic and participatory theory and the deliberative theory. 7) They are the concepts of social accountability, the concept of the participation and social accountability and concept of the political accountability. Finally, 8) they are the concept of citizen participation in decisionmaking, the concept of the role of public participation, and the concept of barrier to public engagement.

**6.1.2.3 Meta-data** – The synthesized data are divided into five major issues, i.e. 1) success in applying PB; 2) failure of applying PB, 3) recommendations should be adopted to improve applying PB, 4) the PB process, and 5) the PB benefits with following details.

**A. The success in applying PB** – synthesizing 15 researches reveals that the critical cause of investigate this subject matter is to recognize methods and the achievement in applying PB in the public sector agencies because it is extensively used around the world either in the developed countries and

the developing countries. In addition, it is enthusiastically endorsed and supported by international organizations like World Bank and others. However, it does not mean embracing PB will always be successful. There are still many worries and recommendations, which will be consecutively presented.

The success of applying PB had been divided in it constructive success or material success as follows:

1) The PB process can enhance social capital through providing public goods and to better public service (Allison Blythe Hurlbut: 2012). The PB process can increase social capital though social norms and the standards of mutual relationship, solidarity and public bond. The PB process can continuously increase through trust from politicians and the city representatives who win the project proposals. It is corresponded with the literature reviews explored by the researcher related to PB process which it can increases social capital while positively affects health and wellbeing.

2) PB process brings new innovation. The study of Hollie Russon Gilman (2012) confirms that PB entails better products than the conventional budgeting New York mega polis has applied. It is also found that PB entails 38% of new innovations more than the zone not applying PB where just only 15% new innovation have emerged. The project uses PB is more legitimate and the evaluation in each zone is fairer than the conventional budgeting which is not transparent.

3) PB can allow the community representatives to participate in the fair elected projects and does not facilitate the coerce projects while bringing the wellbeing to people in the dimensions of less disposals, better sanitation, having local health clinics, better health, and better roads and so on. It also promotes equality which is not economic power and political power but it means they are equally free to participate in PB process in proposing her needs, evaluation, debates, compromise and decision-making. PB process promotes the growth of democracy and participating democratic activities is more than being the “giver” of consultation or the input person of data but being the deliberative persons (Marie Claire Vasquez Durán: 2014).

4) Preparing PB can add values with the project taken. The study of David Wynn Davies (2011) confirms that PB s the staircases to step to providing consultation for individuals who previously fail. With the PB

experiences, none wants let it go. All organizations or communities think that PB increases values in what they have done. None thinks it is good or appropriate or not appropriate, but benefits from this concept are indisputable.

5) The success of applying PB is able to solve the problems of environments regarding the global warming and the green house effect emissions. The study of Thomas William Daniel Cohen (2012) reveals that abiding with the PEB (Participatory Emission Budgeting) allows participant successful in decision-making when they respect and hear others' opinions and their decision-making is their consensus which promotes deliberation as the foundation of the citizen participation. The majority of participants own positive thinking towards participating in activities with interest and sense of enjoyment. They tend to be pleased with sharing resources.

6) Using PB to solve poverty is counted another major goal of this concept. The study of Ana Paula Pimentel Walker (2013) reveals that the PB efficiency emerges from the poor living in urban for over two decades and the goal of justice is the redistribution – the fights against the urbanized inequality.

As of the second PB success is the highly intangible one and it cannot be measured in figures. For example, the studies of Hamilton, Molly E. (2014) and Anna Forkovocova (2013) who find that people demand intrinsic benefits of participation such as knowledge, and pride to apply PB. As of Hollie Russon Gilman (2012), she called it the existentialist benefits – greater knowledge of citizen and also enabling to more deeply lead to democracy, knowing the importance of participation, and virtuous relationship of assemblage. Such attribute of each individual affects relationship within group. PB can link and turn each one to each other and bring social capital while linking citizen participation in large size projects under democracy. In addition, people are enthusiastic and civic virtues without restricted their interest in the common good and the matter related to justice; it is also included patience/bounteousness to other's perspectives, reliability, willingness of participation, press conference and hearing, respect on rules of law and others' rights.

**B. The failures of PB** – with applying PB in many places, there are still problems and some failures coming from many factors especially with the appliers. The study of Saturninus Kasozi-Mulindwa (2013) reveals that the

method of PB process is just involve only the technical officers in the key positions only and the civil mechanism is not adjusted to meet the local environments, their values and norms. Therefore, the common people are discriminated from the public resource distributions. The civic participation in PB is just in step of preparing the budget. This work is similar to the work of Moliehi Leduka (2009) who finds that the Mantsopa municipality in South Africa never improves to encourage people participation in its decision-making and it is deprived of clear strategies to support people in its PB, too.

In addition, the study of Hadyn Lindsey Kihm (2010) in Córdoba in Latin America and finds that its PB fails unlike other cities. The most restriction is its population characteristic, political structure and history. Its PB structure and its failure come from political distraction and its political will, which proves they are growing important compared to other countries and cities. The final problem of PB is it deprives constructive measures of performance appraisals (Brandon Kent Chapin: 2013).

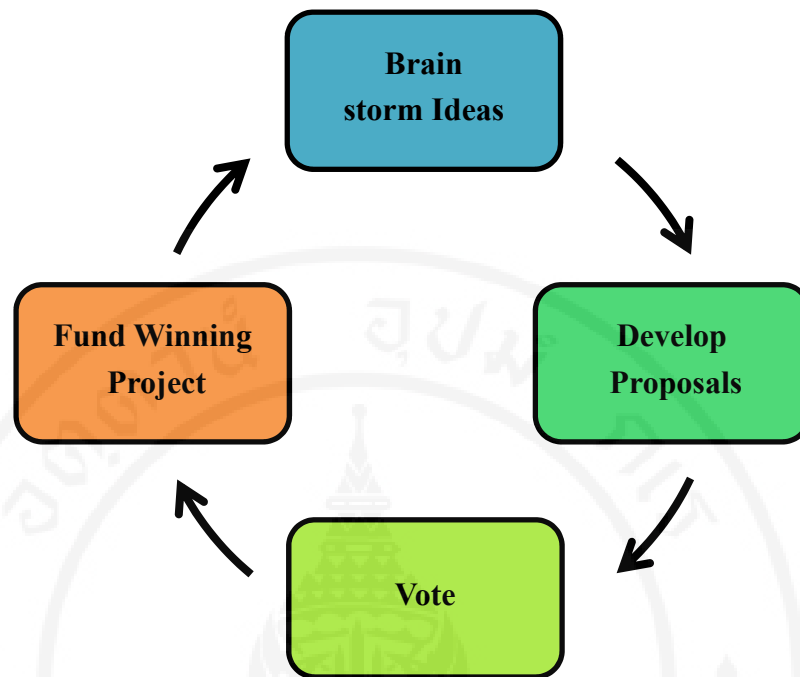
**6.1.3 Recommendations for PB** – due to the PB experiences in many cities applying PB including recommendations from many researchers, there are many good perspectives on the diversity of applying PB through focusing on the their policy recommendations which are worth to introduce to the Thai local governance. For example, the study of Moliehi Leduka (2009) recommends that appropriate environments must be constructed, designing facilitated process for participation, mechanization of new innovation, and consciousness to the goal and consequences of the civil participation in budgeting. The study of Sandra Drouault (2008) contributes interesting recommendations that applying PB demands co-decision-making with the large amount of budget for participants to feel their PB engagement. It needs then deliberation and aggressive strategies to increase PB involvement because it demands common responsibility on its consequences. PB must be transparent with legitimacy. Therefore, PB needs ongoing adaptation to maintain its above criteria.

In addition, there are still policy recommendations from Marie Claire Vasquez Durán (2014). 1) It needs to improve the assembly structure and PB because they will cover representation more. 2) It needs checking whether the community

leaders/persons empowered to facilitate deliberation without manipulation and coercion. 3) It needs binding the PB with the government to complement decision-making. 4) It needs transforming social vision to enable PB and to play the role of the community forum and 5) it needs transforming PB for deliberative scope and more priority.

Recommendations given by any researchers are in the same direction such as in the matter of training and developing programs for training for all to know the existing rules and regulations and to know PB more. To enable participants for accurately evaluate performances, Hollie Russon Gilman (2012) proposes also the social structure-based PB rather than infrastructures, developing the system and improving the city structures and adding the participation of the marginalized people (Hadyn Lindsey Kihm: 2010). The municipal public service delivery should not specify just residence but there are the matters of transport, and education. Therefore, PB is the integration with the city planning, which specifies policy and similar to the municipal public services delivery (Ana Paula Pimentel Walker: 2013).

**6.1.4 The PB process** – from the synthesized researches in order to acquire the knowledge of PB and the literature reviews in Chapter II, it is found that the PB process in each area is different and relying on each context while applying PB needs to be adapted to meet each values, belief and political culture. In brief, the PB process involves four procedures, i.e. 1) brainstorming ideas from people in the community through organizing forum (or online forum) for deliberation, proposing problems or needs of the rural community/village members followed by selecting representatives to present the projects approved by the community people. 2) It needs to develop proposals, which might be seeking for knowledge and improving projects by specialists or to conduct their feasibility studies, checking legitimacy and appropriateness followed by prioritizing problems through PB representatives. 3) It needs to vote that the members of the local community/village/ subdistrict select the critical and urgent projects and selecting appropriate budget to fit these projects. 4) It is to apply the und wining project with having inspection and trailing performance of the projects by civic sector as shown in the follows figure 6.1.



**Figure 6.1 Participatory Budgeting Process**

Source: Modified from UN-HAPITAT (2008)

However, it does not mean that applying PB just demands only the four procures above but it can be adapted by appropriateness of each area situation, which is different from each other with regards to politics, cultures and social conditions. For example, in the case of Porto Alegre where PB is originated; it applies with the following procedures. First, around March to June, it is the period of disseminating information on policy, budget and selecting representatives through the first round meeting of each regional representative to inform situations and issues for recognition before proposing PB while the state officers prepare the quality of life index, monetary data and proposing projects for approval. At the end, it is the Q&A session with analyzing the level of using regional resources. As of the civic forum, it is to present the technical data and details with monetary analysis, discussion of the projects in details, prioritization for the municipality and select primary projects. The second round meeting of the regional representatives is organized during June to September to draft preliminary fund estimate for the projects selected to be presented. The information is disseminated in each zone and trailing the municipal council on budget.

As of the second round civic forum, there are functional personnel closely working with the committee on drafting technical plans for presenting to the municipal council (Wampler, 2000).

From the example of Porto Alegre where PB is first originated as above, it is seen that schedules are fixed during which month to which month and with what activities. However, in some areas, the activities are the main players. For example, the PB in Mangaung, South Africa (Adrienne Shall, 2007: 208), there are three procedures aimed at mainly on activity. The first procedure, it is to reflect the internal and external environments with the activities of income estimate for budgeting. The municipality divides the groups of the committee members and inform meeting schedule in advance. Group meeting is depended on priority of development and projects of each group. The proposal of the group will be screened and they are further proposed during the meeting of the stakeholders in order to request for additional proposals. The second procedure is selecting projects and action plans with the activities of submitting proposals by different groups and from the stakeholder group to the Mayor's committee and the board. Here, there are debates and preparing readiness to collect budget, launching public relation on collecting budget so that the stakeholders and people can be ready for budgetary meetings. Here, there is opportunity to input other budgets too. After the budgetary meeting, the budgetary draft will be forwarded to the Ministry of Finance for deliberation and opinions. Then it is extended to a committee to finalize budget. The third procedure, it is the approval and report process on the approved budget by the congress and it will be submitted to the national and the provincial audit. Then the stakeholders are informed on the budgetary cycle for readiness in the next annual fiscal budgeting.

Therefore, the PB collected and synthesizing the research works in Chapter IV with the related literature reviews in Chapter II, it could be applied the appropriate PB to meet the Thai local governance through embracing the process of the local development plans coordinated with the budgeting process of the local government, they are shown as in table 6.1 below.

**Table 6.1 Summary of the origin of PB appropriate to the Thai local governance**

| Forums / Activities  | Sources                 |                      |              |
|--|-------------------------|----------------------|--------------|
|  | Local Development plans | Expense Budget Plans | PB Synthesis |
| <b>1. General local forums</b>   |                         |                      |              |
| Given information and proposing the past projects, presenting current projects and explaining PB process             | ✓                       | ✓                    | ✓            |
| <b>2. Forums organized in each village/community</b>   |                         |                      |              |
| Deliberation, opinions given, presenting projects, electing representatives of the committee members for supervision | ✓                       |                      | ✓            |
| <b>3. PB Council Meetings</b>  |                         |                      |              |
| Prioritizing key projects and budget spent in voting the complete projects   |                         |                      | ✓            |
| <b>4. Mayor's Offices Meetings</b>   |                         |                      |              |
| Structuring budget under the recommendation of PB council and not the PB projects                                    | ✓                       | ✓                    | ✓            |
| <b>5. Local Council Meetings</b>   |                         |                      |              |
| Examining budgets and PB projects, discussions and seeking conclusion of budgets                                     | ✓                       | ✓                    | ✓            |
| <b>6. Project constructions and supervisions</b>   |                         |                      |              |
| Project progress and responsibility and project performance  |                         |                      | ✓            |
| <b>7. Meetings to trail project evaluations</b>  |                         |                      |              |
| Acknowledge success problems and barriers/ transparency  |                         |                      | ✓            |

Source: The researcher (2017)

From table 6.1, it discloses the sources of integrating PB process worth to the Thai local governance founded on preparing the local development plans and the annual expense budget added to the PB synthesized from researches in Chapter IV. It is witnessed that there are many relative processes such as general local forum, data dissemination and presenting the projects of the past year, presenting the current budget. Then, if there were PB; there would also be explanation. There will be the Mayor's Offices meeting to structure budget advised by the council. Then there will be the local council meeting to examine the budget and projects for discussion and its finalization while intervening with PB in such functioning process.

Consequently, to make PB process possible in practice, it requires the integration to meet the existing Thai local governance practices from both the local development plans and the annual expense budget and when they are integrated; there is a PB process as below.

**Procedure I:** it is the overall forum in the local in order to disseminate data, to propose the projects of the previous year, to present the current budget and to demand explanation of PB attended by people, civic sector, NGOs and the local officers.

**Procedure II:** it is the forum in each village or community to deliberate, to opine, to present projects and to select representatives for the supervisory committee attended by the village or community residents.

**Procedure III:** it is the PB Council meeting to prioritize projects and budgets, to vote for the complete project attended by the residents of Thai local governance, the state officers and selecting the PB representatives.

**Procedure IV:** it is the Mayor's Offices meeting to structure budget advised by the PB council along with the projects not using PB attended by the local governance board who are Mayor, Deputy Mayor, working teams and advisors.

**Procedure V:** it is the local council meeting to deliberate budgets and projects, which use PB, in order to discuss and to finalize budget issues. Attendants are the local council members, the local mayor, the PB council representatives and common people who are interested.

**Procedure VI:** It involves the project constructions and supervision to recognize their progress, responsibility and adherence to the projects. Inspectors are

the local council members, the local mayors, the PB representatives and common people who are interested.

**Procedure VII:** it involves the meeting to trail and evaluate performance of the projects in order to recognize success, problems, barriers transparency. Attendants are the local council members, the local mayors, the PB representatives and common people who are interested.

**Table 6.2 Participatory Budgeting Process**

| Meeting                                 | Meeting Objectives  | Participants   |
|---|---|--|
| 1. General Local Meeting                | Providing data<br>- present previous year projects<br>- present current budget<br>- explain PB process  | people, civic sector<br>NGOs, local authorities  |
| 2. Meeting in each village or community | - Deliberative, express opinion, propose projects<br>- select representatives for supervisory committee | Village /community residents   |
| 3. PB Council Meeting                   | - prioritize project and budget<br>- vote for perfect projects  | - Residents of local administration organization<br>-the state authorities<br>-select PB representatives |
| 4. Mayor's Offices Meeting              | - Structure budget through the advice of the PB council and non-PB council                              | - Executive/Deputy Chief<br>- Teamwork/Advisory team   |
| 5. Local Council Meeting                | To be deliberate budget and PB project<br>- debate and conclude budget                                  | - local council members<br>- Chief Executive<br>- PB representatives and interested common people        |
| 6. Project Construction and Supervision | Progress of the project<br>- responsibility<br>- pursue the project                                     | - local council members<br>- Chief Executive<br>- PB representatives and interested common people        |
| 7. Project Trailing and Evaluating      | Acknowledge success/ problems and limitations/ transparency   | - local council members<br>- Chief Executive<br>- PB representatives and interested common people        |

Source: Researcher (2017)

### **6.1.5 The PB Benefactions**

From synthesizing researches and literature reviews, it is found that participatory budgeting owns diverse qualifications and benefactions, which are the desired goal of its application. The details are as below.

1) Participatory budgeting helps reinforce fundamental democracy and direct democracy. Its system displays direct democracy through budgeting process. It provides opportunity for majority of people to learn about the government functions and opinion exchanges, arguments and persuasion of public resource distribution. It is a tool to study the creation of bond and empowerment for people and to strengthen good governance more (Shah, 2007: 1) because it provides opportunities for people to participate in decision-making on policy or maximize scarce resources through prioritizing projects and raising problems for cogent problem solving.

2) Participatory budgeting reinforces good governance because it provides opportunity for people to share in raising problems and decision-making on budgets. In additional, there is participation in reviewing the state functions and finally leading to transparency.

3) Participatory budgeting helps solve democratic deficit based on the Fung's concept (2005). It involves four deficits, i.e. imbalance of information where it needs discussion or provisions of information, imbalance of representative democracy which organizes election every four or five year. People need to propose all the time; therefore, participatory budgeting allows people to propose their needs all the time too. The imbalance of transparency and responsibility could be found from participatory budgeting. Being reviewed by civic sector, there is the imbalance of the policy result, which does not cover the diverse needs of all stakeholder groups (Forkovocova, 2013).

4) Participatory budgeting helps reinforce social capital and network of the active citizen. It bridges people in society because there are times for their association, co-expressing their opinions, co-exchanging their learning, co-negotiate and co-retain the local community benefits rather than separated but living together as a large family to raise harmony. Righteous relation of conglomeration and good character of each individual affects internal relationship of group association. Participatory budgeting can link each one to emerge social capital and further link to participation as citizen of mega project under democracy (Gilman, 2012).

5) Participatory budgeting help promote active citizen. It encourages people to aware of their own citizenship, rights and duty. Therefore, people participation should not be overlooked as a consensus only but an approach to educate them to maximize their competitiveness. Being conscious of right, duty and needs of involvement among people, it would be the dynamism enabling to achieve participatory budgeting.

6) Participatory budgeting reinforces innovation emerged in the local and urban communities. Innovation here can be democracy innovation and deliberative innovation because deliberation is part of participatory budgeting enabled to increase knowledge and data for people in some issues. In addition, innovation is also meant new projects emerged by the proposal from people such in the study of Hollie Russon Gilman (2012), who finds that implementing participatory budgeting rise new projects at 38% while the locations decline to implement participatory budgeting rise new projects just 15 % only.

7) Participatory budgeting helps minimize inequality and discrimination among the locals because it allows the poor and the marginal people to play roles in presenting their needs through budgeting process. The voice of the poor is heard from the political power persons. It is witnessed with the study of Ana Paula Pimentel Walker (2013) who finds that at the first phase of participatory budgeting at Porto Alegre is redistribution with transferring the wealth from the rich to the poor in the surrounding. Projects are extended into slums. Improving sanitation and health clinic are broadened into the city skirts for servicing the needs selected by the poor.

8) Participatory budgeting reinforces improving quality and public service delivery of the state agencies. Having people participation, it allows the state agencies always subject to surveillance and reviewed. The course of the politicians still needs votes from people; therefore improving quality and public service delivery deserve to implement participatory budgeting.

9) Participatory budgeting reinforces wellbeing and quality of life for people. This is asserted by the study of Marie Claire Vasquez Durán (2014) who finds that having people participate in decision-making regardless being city planning and other involvements bring changes to the needs of people, which are their authentic needs. Participatory budgeting can bring people wellbeing in the dimensions of less

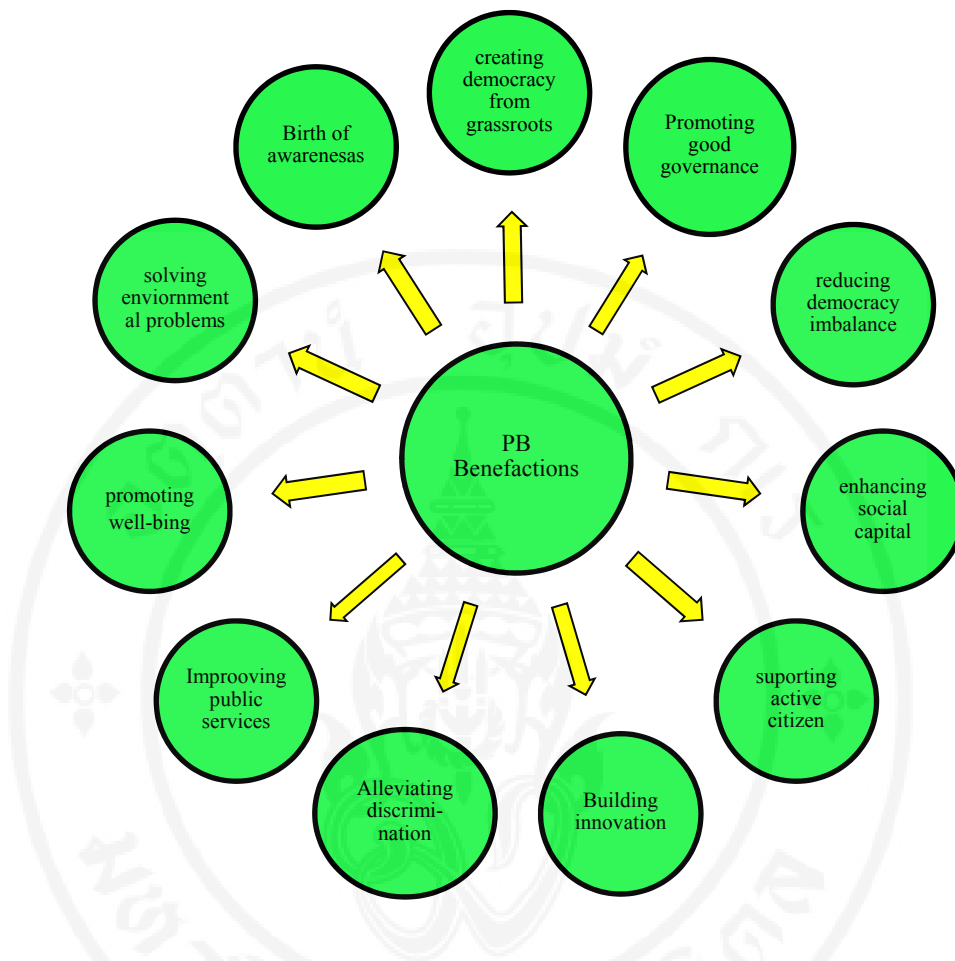
garbage, better sanitation, local health clinic, better health, better roads, better trained police, and improved human security. This is the opportunity for people to select projects which leverage their living.

10) Participatory budgeting helps solve participatory emission budgeting such as global warming, and greenhouse effect. This is witness from the study of Thomas William Daniel Cohen (2012) on possibility to implement participatory budgeting to solve greenhouse effect emission causing global warming. Such problems are the ones that the local administration organization to further solve in future. Participatory budgeting has been employed to solve the environmental problem because it is found that it can diversely draw participation of people better than the orthodox form. Also, participatory budgeting also allows participants to propose their needs by priority.

11) Participatory budgeting owns intrinsic benefits and reinforces the sense of ownership on the local resources and creates knowledge and understanding of the citizenship rights and duty, consciousness of civic virtues according to democracy. It emerges the learning about the government works and the grassroots democracy, seeing the values and importance of one's own humanity and patience to hear others' contradicted opinions, open-minded to others' perspectives, being sympathetic to each other more, having more solidarity, and respect to laws and others' rights. These could be asserted in the studies of Hamilton, Molly E. (2014), Anna Forkovocova (2013) and Hollie Russon Gilman (2012).

From the above benefaction, it deserves to be the focal goals and motivation in the implementation of participatory budgeting, which is possible either in the developing countries or the developed countries. However, this concept has thus been emerged from a developing country and emphasizes to provide opportunity for the poor or the marginal persons to involve; it attracts the developing countries to extensively implement this concept worldwide.

They are concluded in the figure 6.2 below



**Figure 6.2 Participatory Budgeting Benefactions**

Source: The researcher (2017)

## 6.2 Elements Reinforcing the Success of People Participation

### 6.2.1 Area context and general conditions of participation

Surveying data in the sites of the local government, the researcher finds that their geographic contexts affect the local people participation. The evident examples are the geography of the MHSPAO (Mae Hong Son Provincial Administration Organization) is mostly natural forest with steep mountains for more than 80% where it is hard to travel and transportation. Residents are living in distance in the wilderness. With this geography, people are poor and deprived of public utility infrastructure for their living. It also becomes the reason that people participate in the

resource distribution of the public sector. However, opportunity offered by the local leaders such as the chairperson of PAO significantly plays the role of people participate. The study of Hamilton, Molly E. (2014) reveals that PB brings public service improvements, especially for the poor people while PB offers opportunity for people participation in decision-making to exercise the policies of the local governance. Therefore, poverty and geographic contexts provide positive advantages to apply PB in the Thai local governance.

It is found from the foreign studies that PB is applied in developing countries in Africa where they meet diversified problems of ethnicity in South Africa leading to the problem of non-democracy and non-participation of people in the decision-making of the government. The political leaders and administration are still centralized, which should be in the hand of people. The civil society groups are discarded in the decision-making of the local government. People are not supported and are not motivated to be the part of the budgeting process. The ethnic discrimination still exists (Moliehi Leduka: 2009). In addition, the study of Jyldyz T. Kasymova (2013) on Implementation of Participatory Budgeting in Kyrgyzstan which is shifting from the lowest per capita in the Central Asia. Its poverty is the highest level and its economy is dependent to foreign countries. PB offers opportunities in many forms upon its experiment to cope with deprived governance. The transition in each country can similarly pass on its people participation.

Applying PB is not found only with the poor countries or the developing ones but also found in the developed countries. For example, it is found in New York, France, Spain and England with adjustment to meet each national context. Therefore, in various cities in Thailand, they can bring this concept to create innovation like in Khon Khaen city to solve problems appropriate to its urban society, too. The study of Hollie Russon Gilman (2012) on participatory democracy among the rich countries is through inspecting the largest function of PB in USA. Adopting PB in New York finds that in the zone embracing PB, its innovation hikes to 38% while innovation rises just 15% in the other zones, which do not. The zones embracing PB are more legitimate and estimate needs in each zone with more fairness than their conventional budgeting, which is found not transparent. In general, PB is applicable in New York and become the role model of success in its citizen engagement and it can improve outcomes better

than the conventional budgeting process. In addition, PB also provides knowledge to enhance citizen participation in USA where they can adjust and apply appropriately.

### **6.2.2 Elements reinforcing the success of people participation**

The major element of PB is people participation in the budgeting process and policy decision-making, which needs to specify the budget. Therefore, the elements reinforcing the success of people participation is another critical issue that drives the PB application to serve it success according to the spirit of this concept. From the fieldwork survey, it is found that elements reinforcing the success of people participation led by first the offering opportunity by the local political leaders like the Mayor. As such, with the principle of representative democracy, it needs to select representatives to exercise duties of applying policies. Therefore, the empowerment from legitimate election is with the local political parties. If any local governments with the local politicians guarding their own power; it thus certainly affects people participation (Interviews conducted with the local political leaders: 2017).

In addition, there are other elements reinforcing the success of people participation. It relies on geographic contexts. For example, in the MHSPAO, people participation comes from geographic contexts of oppression and poverty. They demands peoples to seek for quality of life development through their participation in presenting projects responsive to their local problems and needs (the MHSPAO executives, interviewed on 11 January 2017). Other elements which the local governments shared are local forums or channel offering people to freely propound opinions and needs in the channels provided. This leads to the sense of belonging on the local resources through projects presented. All these come from the fortitude of the assembled people network in each community. They have bargaining power and inspection power against the local government. However, the local function needs transparency and engagement to be directly responsive to their benefits. Finally, people will have trust, faith, and confidence in the local governance (interviews of the local political leaders: 2017).

Therefore, applying PB in the Thai local governance requires elements reinforcing the success of people participation because it counts as a step to reach PB. The research syntheses reveal that people participation in budgeting in foreign

countries to improve the quality of public services and quality of life especially among the poor maximizes public benefits in using the existing restricted resources. People participation comes from political transit when the political leaders offer opportunity engage in the local budgeting because with the oppressive situations from the international organizations or the sponsored countries needed to see the transparency in the state governance without patronage system and corruption such in the cases of Kyrgyzstan and other countries in Africa and in Latin America.

### **6.2.3 Fortitude of the local civil sector**

Fortitude of the local civil sector is another thing reflecting the bargaining power and balance of power between politics and people because the fact is the power of people does not end on the Election Day. Therefore, seeing the importance of assemblage for network, it is already prioritizing the participation and drive of policy responsive to the needs of their own group. From the fieldwork survey, it is found that in the local government, there are assemblages of civil sector such as women, children and youth network, the disable, the elderly, the waste disposal, volunteers, city council, and villager forum. On the other hand, the political group counted playing roles and so strong in interfering the local politics is the city council of Khon Khaen municipality influencing the adherence to the municipal policy especially to thrive the import projects in the city vicinity regarding traffic problem-solving, organizing markets, and public parks, especially LRT (light train transports) under constructions (KKMM executives, interviewed on 15<sup>th</sup> December 2016).

The civil fortitude affects policymaking and policy application. In the past, there were failures in the public sector caused by poor interaction between people and their state. Therefore, the concept of active citizenship become the focal point of scholars especially to check to what extent PB empowers people in the decision-making of the begetting policy and whether people satisfy or not in the state public servicing (Herian, 2011; Miller and Evers, 2002). The civil fortitude is important to PB because people relate with their state since birth. Governance process, policymaking and policy application are the exchanges of opinion and need civil participation and they will be counted legitimate governance.

Therefore, applying PB coupled with the active citizenship theory is referred to being rulers and the rule, deliberation of decision-making in budgeting with consciousness, rationality, capacity to contribute the achievement of public benefits, possibility of acceptance in its application. The concept of active citizenship in preparing PB is turning individuals to be conscious about their own ability through practices called the knowledge community. In this community, members can enhance their knowledge of PB and ability to change budget in order to raise their common understanding of situation, conditions and performance flow from PB. In addition, there is a dimension of the active citizenship and that is the rational and possible decision-making on PB because it involves politics unlike the scientific knowledge. This is due to its content resilience to situations or the geographic contexts, which demand rational and possible understanding.

#### **6.2.4 The channels of people participation**

There are many channels for people participation. They depend on the local administrative capacity whether the local leaders are professional and to what extent their visions are. This is because participation is not restricted just only people have to walk to the local government but the latter can launch their aggressive working by walking to people. Participation has many channels and keeps pace with IT modernity, ability to speedily access information and being the two-way communication. Generally, people can perceive information of the first stage of participation through websites of the local government, voice online in the community or the village, brochures, announcement, P.O. Box, community learning center, launching mobile team. In addition, there is participation through two-way communication when people are allowed to involve in proposing their problems and their needs in various local forums such as civic forums, village forums, the Khuong Pha-nga Forum (KKSM, Lampang), KKMM Council. The informal meeting is found between the local leaders and people, and social media such as Facebook, and Lines (interviews with the local movement executive, 2017).

### **6.2.5 Limitations of the participation**

Its limitations are counted critical for its smooth process. Their causes may come from the limitations of geographic contexts. By surveying the local government, the researcher finds that MHSPAO faces natural forests and steep mountains, which discomfort traveling. Majority of the population lives in remote areas in the wilderness. The local people are variety of hill tribes with their own language, beliefs, values, customs and traditions. Another limitation is communication because basically, PB, information provision and communication are indispensable and at the forefront. In addition, people participation brings challenges to the administration for the political leaders and the personnel because participation brings special higher cost. This corresponded with the work of Hollie Russon Gilman (2012) investigating PB applied in New York and finds that a critical challenge of participation is high cost. It is similar with the Khon Khaen municipality, when the interviewees comment that participation raises its expense (KKMM executives, interviewed on 15<sup>th</sup> December 2016).

However, the limitation is not just expenses only but there is also the limitation created by participants who are economically preoccupied in earning their living. Therefore, it is likely disable for them to participate every time. Beside their time, it is depended on sacrifice and their consciousness on participation, their deep understanding of democracy, and their deep cognition on their rights and duties of citizenship. All these affect their participation. Therefore, applying PB brings tangible benefits such as better public services while PB is also having intangible benefits such as mental benefits or intrinsic motivation. For example, the study of Hollie Russon Gilman (2012) reveals that PB contributes more than subjectivity or existentialism (human essence or human goal) have contributed. The returns to the existentialist citizenship group include higher knowledge, solid relationship with the elected personnel and more networks in their community.

## **6.3 Recommendations from the Central Administration, Specialists and Scholars on Applying Participatory Budgeting (PB) in the Thai Local Governance**

### **6.3.1 Department of the Local Administration Promotion**

With the government to seriously impose its policy of decentralization and for its clarity, there is major unit to promote and support the local governance under supervision of Ministry of Interior like Department of the Local Administration Promotion playing the role in the important mission to promote and support the local administration organization. These are through development, consultations and advice to plan its local development, personnel administration, finance and management, taking action, amendment and improve laws and regulations related the local administration organization. It also includes providing consultations, advices and supervision of working by its authorization and its duties. This is to strengthen the local government and to capacitate its public service. As such, the authority, the duty and the structure are subject to the Ministerial Rules of Administration Divisions of the Department of the Local Administration Promotion, Ministry of Interior BE 2545 (2003). The important thing is to promote the civil sector to participate in administration and to inspect the performance of the local administration organization, which the Department has already required to promote the roles of the civil sector by empowering it to inspect and to monitor executives and the local council members. However, with the policy of decentralization for the past 20 years, it is still unsuccessful as targeted, which involves the decentralization of decision-making and transferring the missions (the executives of the Local Administration Promotion, interviewed on 25<sup>th</sup> January 2017).

Therefore, with the roles and duties of the Department of the Local Administration Promotion described above, it prioritizes civil participation especially the issues of proposing the local ordinances collected from civic forums conducted with the village and subdistrict levels where they can propose their needs in the local development plans prioritized by a committee. However, any successful projects require functional budget. Therefore, the civil participation should engage also in

paying taxes, which are also the major local revenues. In the past, there were countless tax avoidance and there are tax-exempted areas, which disable to fully collect taxes. Broadening tax base is interfered by the “political factor” and it is imperative to rely on the central government subsidies. It means that it has to follow what the central administration demand, which drives the local absence of independency and powerlessness of real decision-making (the executives of the Department of the Local Administration Promotion, interviewed on 25<sup>th</sup> January 2017).

Besides tax collection mentioned above, there is another perspective from the personnel working closely with the local like the analysts of policy and plan in the Local Administration Promotion, who remark that planning the local development participated by people will meet the time limitations, they have diverse ideas and thus it needs time to find conclusions. Therefore, full participation of people is unlikely and time consuming while people themselves have no cognition in the budgeting process. However, having decentralization policy and local administration organization brings progressive development and eases accessing public service for people with better prevalence and equality than being operated by the state. Using the local resources or the local know their local belief, customs and tradition better than the government agencies. Though the local administration organization is so free still it is subject to laws and dominated by the politics at the national level (the executives of the Department of the Local Administration Promotion, interviewed on 26<sup>th</sup> January 2017).

Drives bringing success to applying PB are 1) civil sector needs motivation, sees gains, the importance of the idea and participation because when humans have common needs; they lead to collaboration and people need consciousness of their rights and duties to participate under the channel of law. 2) The existing empowered leaders of the local administration organization must be generous to offer opportunities for people to participate and abide in the principles of law and with peaceful way. How does participation affect its picture in general? Will it bring schism? In fact, many laws empower and support people participation, which are based on the principles of good governance that the local is adhering. However, this time, it relies on the state of the arts of the persons involved in its application. Nevertheless, the consciousness on the problem of applying PB is the understanding of

the right approach of the concept and the extent people desire to participate and whether they are enthusiastic to participate or not. This is due to the thinking base of the Thai people is government dependency, favor peaceful living and when they cover their four means of living they need no struggles. Consequently, changes need time and patience (the executives of the Department of the Local Administration Promotion, interviewed on 25<sup>th</sup> January 2017).

Additional recommendations in applying PB from the Department of the Local Administration Promotion are it is necessary to establish perception, and consciousness among the local people on public gains. They need consciousness of success, importance and gains in participating in the local budgeting. There must be both positive and negative perception. They have to realize paying taxes and local revenues to earn adequate budgets for prevalent public services. Earning their own revenues can furnish the locality more freedom in administration. In addition, the local administration organization requires building its good image particularly its leaders are required to have vision, honesty, professional administration and ability to propose good local identity. There should be competition of projects promoting image and each local tidbits from agencies involved for their public relations and to encourage working in the locality too (the executives of the Department of the Local Administration Promotion, interviewed on 24<sup>th</sup> December 2016).

### **6.3.2 The Office of the Decentralization Commission (ODC)**

The ODC is an agency established by the decentralization policy under the Office of the Prime Minister. From interviewing the ODC executives, the recommendations of applying PB in the local governance are first, the distribution of budget to the local requires consideration the revenues it collects. The local taxes are needed to be fully collected. It requires launching public relation for the people to realize and participate in paying taxes or fees. If ever there were saving tax collection; it were imperative to inform people to understand otherwise the local expect to rely on the income of the central administration, which leads to the problem of budget distribution. Second, the structure of the local administration organization is strongly bureaucratic; therefore, the past decentralization is similar to decentralize the bureaucracy too especially over rules and regulation for the local controls and

inspections. Consequently, it needs restructuring to enable its autonomy by its context and its problems/needs condition in each area (The ODC executives, interviewed on 15<sup>th</sup> December 2016).

With the past decentralization, there are coherent opinions from various sectors - the underachieved goals of transferring the missions to the local as planned and the overlapped administration in many local with high discrimination either the missions or personnel or budgets and the entire expense budget are drained to routine expense. It disproportionate to little investment expenses incorporate with efficiency of tax collection, which is in the dissatisfactory level. This shortens the freedom of following its own policy but the government specifications. Another problem bringing distrust and disbelief in the local by people is corruption or disobedience to the regulations. They are inspected and revocation of money by the Office of the Auditor-General of Thailand or being indicted to the Office of the National Anti-Corruption Commission (NACC). This affects the local image (The ODC executives, interviewed on 15<sup>th</sup> December 2016).

However, the local administration organization is counted the key to drive the decentralization policy and an agency really close to the problems of people. Therefore, it is the duty of every party to exist the local administration organization since central officers and regional officers cannot reach the problems of people. Applying PB reveals the needs of people and this is the civil participation which the entire system needs holistically viewed. There are ways for people to participate such as what projects done benefit the local people. There are strong and clear inspection systems to be watchdog and PB is applied; it should maximize benefits for people (The ODC executives, interviewed on 15<sup>th</sup> December 2016).

As of the current limitations ill-facilitating to apply PB because there are not evident laws to endorse people participation in the budgeting process and there are no agencies to bolster it. It is just broadly enacted it in the Constitution and in other ordinances including people in many local administration organizations reserve to truly participate with wholeheartedly but just tokenistic or symbolic. Consequently, recommendations are there should be laws to endorse it so that people will have their rights and duties and will be empowered to truly abide with PB application (The ODC executives, interviewed on 21<sup>st</sup> December 2016). In addition, having Information Act

will thrive the access of people in every side. For example, allowing people to know what have been done with their tax or providing them information what they can do, or how can they inspect the local performance. This is because applying PB brings them advantages in terms of people can truly propose their needs and the local performances are transparent and accountable. There will bring trust in the local working. Its management will be easier because the power of people will back it.

Consequently, the proposal to apply PB is the distribution of budget at first should be an ad hoc budget for the pilot project so that people can experiment their participation in the budgeting process until there is ad hoc law to endorse the full cycle of applying PB. Upon having ad hoc law, a participatory budgeting committee or a participatory budgeting council might be needed to coordinate and to further educate people involved (The ODC executives, interviewed on 21<sup>st</sup> December 2016).

### **6.3.3 Specialist and expert scholars**

Expert scholars of the local governance (interviewed on 22<sup>nd</sup> August 2017) comment that applying PB in the Thai local governance is the very good affair because it brings the participation and the trust of people towards the exercise of the local budgeting. People then will engage in the local and be confident and having faith in the local. Their engagement degree will rise but caution must be taken about conflicts and a pressure group or cabal/junto will be formed for personal gains. This is because applying PB brings many worries about its cognition among every party involved either people or local officers or the central administration. Another worry is people participation is still weak and coming from set-up or coerced by the government agencies. Good participation must be from the spirit of desire to truly involve.

Therefore, applying PB with the Thai local governance requires the following approaches. 1) The local administration organization is required to understand the PB concept and having consensus to apply it while seeing its values and importance. 2) People participation must be the genuine one, gaining in practical outcomes, offering opportunity for people to truly participate and people must see the end-results of their participation by themselves while the participatory level must be one of the criteria in budgetary distribution. 3) The local community must accept and see the importance of PB especially its good governance because it will bring worth in

using resources, practicing working with PB in the local community and with the drive of the local community will be the pure power greater than the hidden political power. 4) The local administration organization plays the role of the facilitator and monitors the ways to allow people to participate without coercion or mandate. 5) The state agencies involved like Ministry of Interior, and Bureau of the Budget must agree and finally drive it to be the law. 6) Applying PB needs integrated mechanism among agencies involved to create solidarity and to reduce repetitive working (The expert scholars of local governance, interviewed on 22<sup>nd</sup> August 2017).

The expert scholars of local finance (interviewed on 31<sup>st</sup> August 2017) recommend applying PB with the Thai local governance and it could be named the informal participatory budgeting. This is because there are no evident laws about it in Thailand. To be or not to be PB relies on defining to what extent it is called PB for example allowing people to vote for support or exceeding to allowing people to administrate it or allowing people to audit it. Therefore, the PB should be adapted to meet each local area for its application because each area has its own geographic context and different population attributes. For example, the KKMM, and the KSYCM are the residences for the majority of officers who are erudite and ready to be the municipal participants.

Recommendations to thrive PB is it must be furthered by the state agencies like the central administration who will regulate rules and enact laws to offer clear tracks of application. Then, it must be followed by the local administration itself where it must have political leaders who own leadership of offering opportunities for people to participate and to specify the participatory model and method. This needs inspecting and balancing process or reports of applying PB. The last part to drive PB is civil sector, the community leaders, and other civic sectors because they are counted stakeholders in the local governance. Applying PB requires staircase model or gradualism to create confidence and empowerment for people and people involved must be accountable in the local affairs, too.

Besides supporting people in decision-making to distribute budget through PB; they should also participate in paying taxes so that the local will earn income adequately for developing various projects. This leads to build public utilities for the local such as investment in infrastructure, and income from land tax. Property taxes

will best create participation because it links most with the benefits of people. Consequently, the decentralization policy should not be for controlling local. It should be free on finance because the economic trap is to centralize resources, which demote local development. Therefore, it is necessary to offer opportunity for competition that it shall lead to development.

Another expert scholar on local finance (interviewed on 19<sup>th</sup> September 2017) relevantly comments like other scholars that applying PB needs to be gradual. At the first stage, the rules might be regulated for clarity and enable the legal practices. This scholar further comments that electing local representative either executives or council; the inspectors should be elected too who are trusted by people to be the committee members or to the inspection committee members. This is to create balance of power between politics and people because all people are the proprietors of the municipality and not the Mayor. Therefore, in practice, it demands offering opportunity for people to learn and to understand the PB process and to educate people on local budgeting. Practically, there might be a push through the Thai Health Promotion Foundation (THPF) with budget to support local activities and other agencies involved like Department of Local Administration Promotion. The Ministry of Interior has to agree and support to exercise PB; then it would be constructive and applicable.

The last expert scholars of local governance and participation (interviewed on 1<sup>st</sup> November 2017) recommends on applying PB in the Thai governance that it evidently demands to draw dimensions of people to participate. This is because planning the local development and planning budget require many procedures. The exiting people participate by enactment is allowing people to involve in planning but the budgeting process of the local government is still very complicated. The conditions and challenges needed recognition are the local government has no freedom in finance and there are gaps between applying the local development plans to the application of spending the annual fiscal budget without people participation.

This scholar agrees with allowing people to participate in planning budget but there are questions what distributions people do and will it be useful or not. These issues worry scholars whether can people do or not because the Thais unlike engage and many has no sense of real engagement particularly in the process of budgeting. These are due to there are too many rules and regulations with many procedures and

people themselves do not know about them. Therefore, applying PB in the Thai local governance involves keys participants who are active citizens with consciousness of participation and decision-making on budget under laws and imperative database.

## **6.4 Approaches and Drives of Participatory Budgeting (PB)**

### **6.4.1 Elements reinforcing the success of applying PB in the Thai local governance**

This research finds that the context of the Thai local governance provide many elements reinforcing the success of applying PB with the Thai local governance and from many local government offices. The findings are also corresponded with PB applications in other countries found in the research synthesized. These elements are:

1) All parties involved see the PB values and usefulness. The persons involved or the stakeholders who are either the central government like the Department of Local Administration Promotion, Ministry of Interior, the Office of the Decentralization Commission, the Local Administration Organization and people in general see the values and usefulness of apply PB for the material and mental benefits alike other local governments which are successful to allow people participation. They play the part in pushing them to be awarded by King Mongkut's Institute, and by the Local Good Governance. Here it reveals that the people see their gains in participation and desire to because they sense they commonly own their local resources while empowers them to assess the performance of the public sectors.

2) The geographic context and the population attributes – in participating the budgeting process, the geographic context becomes either support or barrier. For example, with the convenient areas on transport, they facilitate travels of people on the contrary, in the wilderness areas, they hinder people participation. However, the case of people has to participate on being coerced by their geographic context to pressure public sector to develop infrastructure such as more convenient transportations. As of the population attributes are the supporting element to create PB such as the people living in the education areas who are mostly conscious of their rights and citizen duty.

They understand the working of the public sector and desire to share or help in decision-making in the projects directly affecting their community. They are interested in the public affairs, and active citizens.

3) Opportunity opened by laws and the existing leaders - as of the local Thai context, there are many laws enacting opportunity for people to participate in the local government affairs which are the keys to promote PB. This begins with the Constitutions of BE 2540 (1997), BE 2550 (2007), and BE2560 (2017), which all enact provisions for participation. In addition, there are many specific laws supporting participation in all forms. This survey reveals that the existing political leaders have already offered opportunity for people to participate. Therefore, all these factors or elements can thrive PB.

4) The fortitude of citizen and civic networking – civil politics or civil assemblage become surplus in the Thai locality either formally or informally. Their ad hoc network and the group fortitude allow them to play the role and empowerment to better bargain with the public sector. This research finds that each local government has people assemblage, such as, the youth network, coffee table group, volunteer group, women group, and the elderly and the disable group and so on. The PB requires civil fortitude to propose projects and needs through allowing people to participate in decision-making on the uses of local resources.

5) Having diverse channels and perceiving information, ability to access information by people and having many channels for people to acknowledge information and opinions to propose problems and needs through those channels. Another factors support PB because information allows people to realize activities and movements what the local is doing, and any impacts or advantages to people. For example, having forums for people to propose their problems and needs, having centers for disseminating information, having various channels for public relation either websites or Facebook and so on. These elements diversely exist in the Thai local and with the advancement of technology; it allows people to conduct two-way communication among the local governments more than in the past.

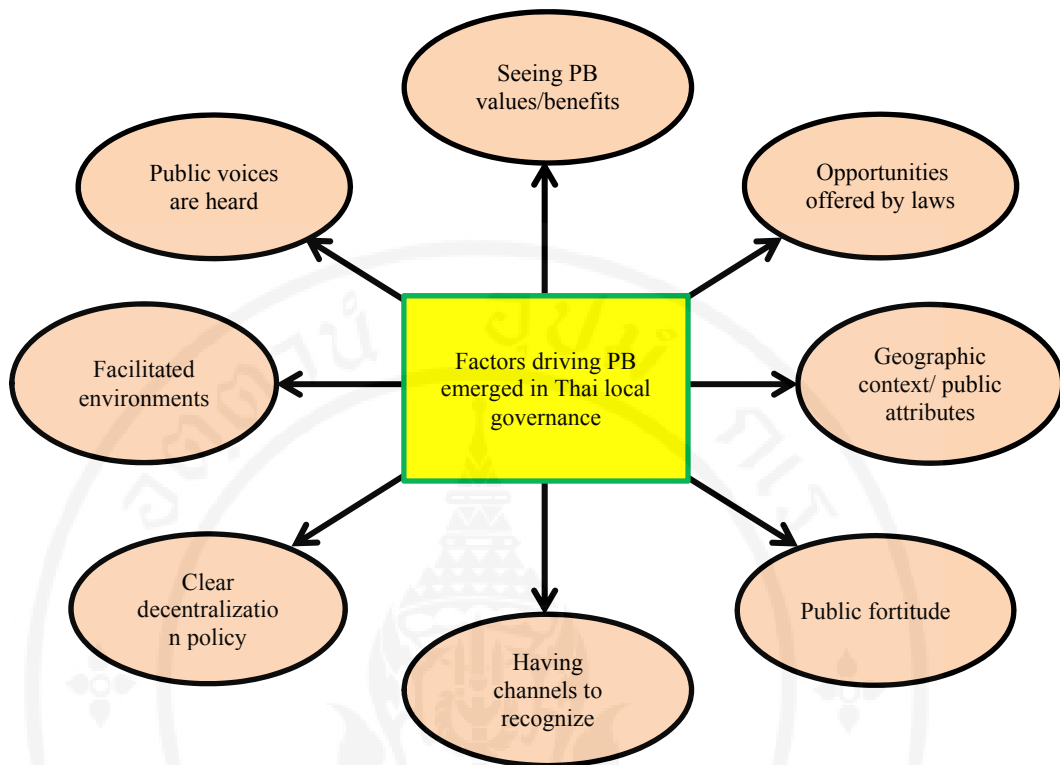
6) General environment either politics or economy or social or customs and traditions - in the Thai context, there is no politics which is not democracy or political ideology where schism is deadly. In addition, the conditions of economy,

social, customs and traditions reinforce the success of applying PB in the Thai local governance. For example, there are compassionate social conditions, affection and unity, empathy and fraternal societies with strong compromise and non-involvement with schism and violence.

7) The clarity of the decentralization policy - due to decentralization policy promotes participation; and decentralization empowers the local governance to be free and enable its autonomy under the independence of a nation. Decentralization brings missions-transferred, financial decentralization and personnel decentralization to the local governance. Freedom the local received from the decentralization policy is a factor promoting the success in applying PB with the Thai local governance because the local and its people is empowered to spend budget to autonomously solve their problems and their needs under the strategization on the local development together. This research shows that many municipalities enable people to participate in decision-making on budgeting and their people are pleased to pay taxes without hesitation.

8) The civil voices are heard from the public sector personnel. This research discloses that the local governance personnel need to be patient and are interested to hear contradictory opinions of people. In addition, the research shows that all these qualifications are the elements promoting the success of applying PB because it attracts people to participate and they feel they are important especially with the projects they have presented and they have been applied; people will feel more pride.

From factors promoting the success of applying PB in the Thai local governance; the researcher present figure 6.3 below.

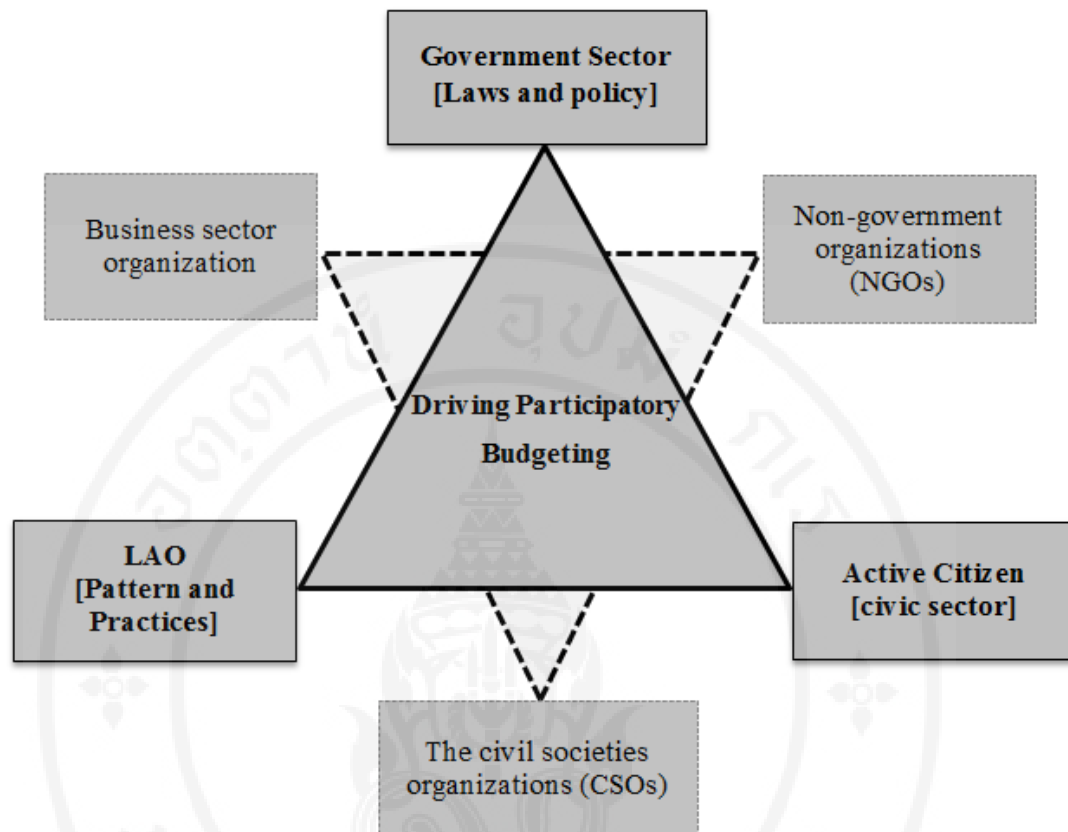


**Figure 6.3 Elements reinforcing PB success in the Thai local governance**

Source: The researcher (2017)

### **6.4.2 Approaches and the driving process of participatory budgeting (PB)**

The research shows that applying PB in the Thai local governance requires various agencies related, people and other sectors to share driving the process. Each sector has to reciprocally support each other to drive PB. The upper triangle means top-down drive and the overturned triangle with dash line means the bottom-up drive as the following figure 6.4.



**Figure 6.4 Approach and the driving process of the participatory budgeting**

Source: Researcher (2017)

Note: LAO: Local Administration Organization

The approach and the driving process of the participatory budgeting are from literature reviews, synthesized researches, fieldwork survey, and recommendations from the central administrative personnel, scholars, and experts. Upon gathering critical issues, it is found that driving the participatory budget requires major players, i.e. the government, the local administration organization, active citizen, Business sector organization and/or private sector, the NGOs (non-government organizations) and the civil societies organizations (CSOs) with following details.

**1) The Government:** the roles and authority of the government will promote and support the implementation of the participatory budgeting through enacting either laws or regulations or ministerial announcement so as to arrive at the principles and practices as a clear model and common understanding in its application.

Rationally, in the past Thailand imposed the policy of decentralization, laws, regulations and obligations to fulfill the designed policy. However, there were no clear laws about the participatory budgeting and there were no pivot agencies to ever since host driving this idea. From the in-depth interview conducted with scholars and personnel of the Department of Local Administration Promotion and the personnel of the Office of the Decentralization Commission for Local Government Organization and from literature reviews, the data are congruent that driving the idea of participatory budgeting requires ample law enactment to be as guide for its implementation and for the scope of rules for every sector understanding. The given laws, regulations, obligations, institutionalization and policy should provide opportunities for participation such as having the Constitution indicating civic participation of public affairs and so on. Also, there must be clarity and the framework of practical decentralization such as roles of the government sector, responsibility and the financial independency (Fölscher, 2007: 182).

**2) The Local Administration Organization (LAO):** the local leaders in particular are the conventional authorized persons trusted from election according to the representative democracy. The participatory budgeting concept or even civil participation in other affairs would be successful when opportunities are opened by the local leaders of the conventional power. As such, there are congruent found from literature reviews, field surveys, and recommendations from experts that factors make participatory budgeting successful are formal and informal political contexts. And, this is the politics which hold conventional power that to what extent, it allows opportunities for people participation. To what level of patronage system, politics is. Rationally, patronage system significantly impedes participation (Fölscher, 2007: 182).

**3) Active Citizen (civic sector):** it is counted another grave factor in applying participatory budgeting because it is the stakeholder, who functions the government sector policies. Citizens are keys in developing every dimension especially within the democratic society. People have to be the active citizens who are conscious about their rights, duty, responsibility and characterizing the owners of the existing local resources and the owners of their sovereign power, democratic citizenship. They are the influential power in the local, social and national development. Implementation of the participatory budgeting demands the important

element like people to take part in driving the budgeting process. As such, there are congruent found from literature reviews, field surveys, and recommendations from experts that success factors of implementing the participatory budgeting successful are cultures, civic ability, non-discriminated people participation, provisions of opportunities and facilitation of participation (Fölscher, 2007: 182). By reasons, if people are destitute of ability, clear understanding and responsibility; all the players involved with participatory budgeting. For example, low education triggers deficient knowledge, understanding and awareness of participatory budgeting. Rationally, the low-educated cannot access information and do not comprehend the local administration organization. Analogously, the local council members or the local authority deficient with knowledge of planning and budgeting process draws failures to participatory budgeting or likely unsuccessfulness (Shall, 2007: 216).

**4) Business sector organization and/or private sector** being the tax payer can promote and support the rise of the participatory budgeting because it help promote transparency and alleviate corruption. Business sector organization and/or private sector benefits from the participatory budgeting since taxes have been efficiently spent which leads to grater healthy local finance (Wampler, 2007: 43).

**5) The NGOs (non-government organizations)** craft the participatory budgeting as a mechanism dependent on the NGOs in collaborating with the citizen and the government in order to crack down the most emergent social problem. Some municipalities can deploy the NGOs to directly play a role in the project. They might handle the duties of the mediators between the government and the roundtable attendants. Upon being the direct players in this process; the NGOs inclines to promote the latency of people and the transparency of the government (Wampler, 2000: 20). In addition, the NGOs can handle the duties of advisors to support the project collaborators and design the participatory budgeting including the tendency of empowerment because most NGOs are equipped with technical skills and better governance than people who collaborate in the projects.

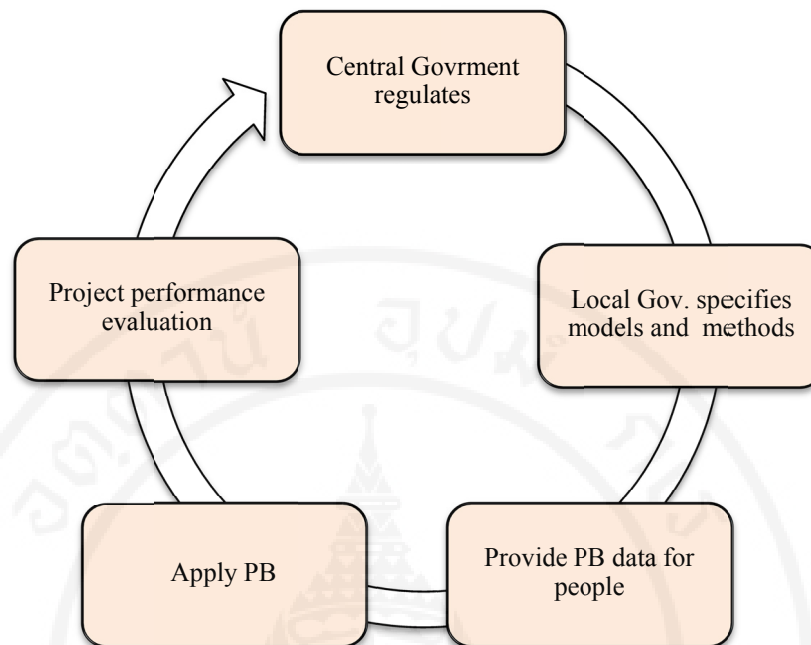
**6) The civil societies organizations (CSOs)** indirectly share in the drive of the participatory budgeting. The mobility of the civil societies lead to strength, power of negotiation and to be the policy catalyst in the locality in order to solve the problems and the troubles of the local. The spur to rise the participatory budgeting

offers the civil societies opportunity to build more social and political networks of supporters (Wampler, 2007: 42).

Consequently, active citizenship in preparing the government budget by practically is unlikely easing happen because it is technical and complex within itself and involving with many types of public fund structures. It might be significant barrier which significantly debar common people from accessibility or disables them to participate in decision-making. However, being active citizen and being democratic citizenship allow people own skills of thinking and opinion giving with discretion, knowing how to exercise the rights and responsibility, enabling to work with others, active participating in functioning local activities, adhering significantly on common benefits, having trust and faith in the local administration organization, faith in equality and human dignity, and adhering to the principles of peaceful approach because conflict of opinion or conflict of interest might welcome local conflicts.

#### **6.4.3 Procedures of applying PB in the Thai local governance**

The research findings and the approaches with the driving process of PB as in 6.4.2 reveal that key players of driving PB are the government, the local governance and civil sectors. The sub-key players are business sector organizations and/or private sector, NGOs, CSO2, citizen council, local community, and community council with procedures as in figure 6.5 below.



**Figure 6.5 Steps of applying PB in the Thai local government**

Source: The researcher (2017)

From the above figure, it shows the procedures of applying PB with the Thai local governance. It begins with the central administration regulates rules. The local governance specifies model and methods for people participation. It also needs to disseminate information to people who involve with PB until reaching out application. Finally, it needs evaluations as below.

**Procedure I** – The central administration regulates rules because Thailand legalizes its people to participate in the state affairs. Therefore, applying PB enables to regulate rules. This is to make it evident for application and to be in the same direction for the local governance around the country. Being without laws or regulations to endorse PB, it has no power of enforcement. Being with clear policy, laws and regulations help the agencies and ease personnel responsible in each level to take action. Laws endorse the application of PB and guarantee its continuity and sustainability particularly when there is political change (Thippawan Lhorsuwannarat, 2013).

**Procedure II** – The local administration organization specifies models and methods for people participation. It begins with the local leaders offer opportunity for people to participate either collaboration or co-receiving benefits or co-evaluating with

the conventional principle. On the contrary, when PB is applied, it demands participation by its concept, i.e. 1) it is to organize the local forum with the purpose of disseminating information to present the previous year projects, presenting the current budget, and explaining PB process. 2) It is to organize meeting in each community or village for deliberation, opining, presenting projects, selecting representatives to work in the supervisory committee. 3) It is to organize the meeting of PB council to prioritize projects and their budgets and to vote for the perfect ones. 4) It is to organize the meeting of Mayor's Council to structure budgets as being advised by the PB council and the non-PB projects. 5) It is to organize the local council to deliberate budgets and the PB project budgets and to debate to finalize budgets. 6) It is to construct and to monitor projects in order to trail the project progression, the responsible leader of the applied projects and the results of their trailing. 7) It is to organize inspection, trailing and evaluation of the project to know success, problems, barriers and transiency to proceed projects.

**Procedure III** – the local administration organization specifies models and methods for people participation. This stage is to provide information for people and persons involved from each sector to know the PB concept on process, benefits and importance so that people will know information and are educated on PB in the more intense level than what is existing. India for example has social movement to continuously create perception and awareness of societies. Deserving to learn from India is to maximize personnel such as inviting the elderly to be the keynote speakers for people, simplifying surplus jargons of database on budgets closed to people to understand. This is to prepare readiness prior to discuss PB. There are networking among groups such as scholars, village intellectual, and artists. Media should transform abstract ideas and knowledge into more tangibility for better disseminating data, knowledge, and information for people (Thippawan Lhorsuwannarat, 2013).

**Procedure IV** – Applying PB - in this step, it adheres to the PB budget as mentioned in Procedure II above. In short, it is to summon people for meeting and present their problems corresponded with the strategies in developing each area, to select representatives to proceed the PB budgeted project and to prioritize problems to develop perfect projects and invite people to vote how much budget this project will use. Upon project and budget completed, they will be led into the council for

approval and application. They will be trailed on their results and evaluated by people and civil representatives throughout the project life.

**Procedure V** – evaluating the applied PB projects to know their success or failure under the evaluation index and finalize their performance with recommendations, which will further be useful for other local governance agencies.

#### **6.4.4 Applying PB knowledge in the Thai local governance**

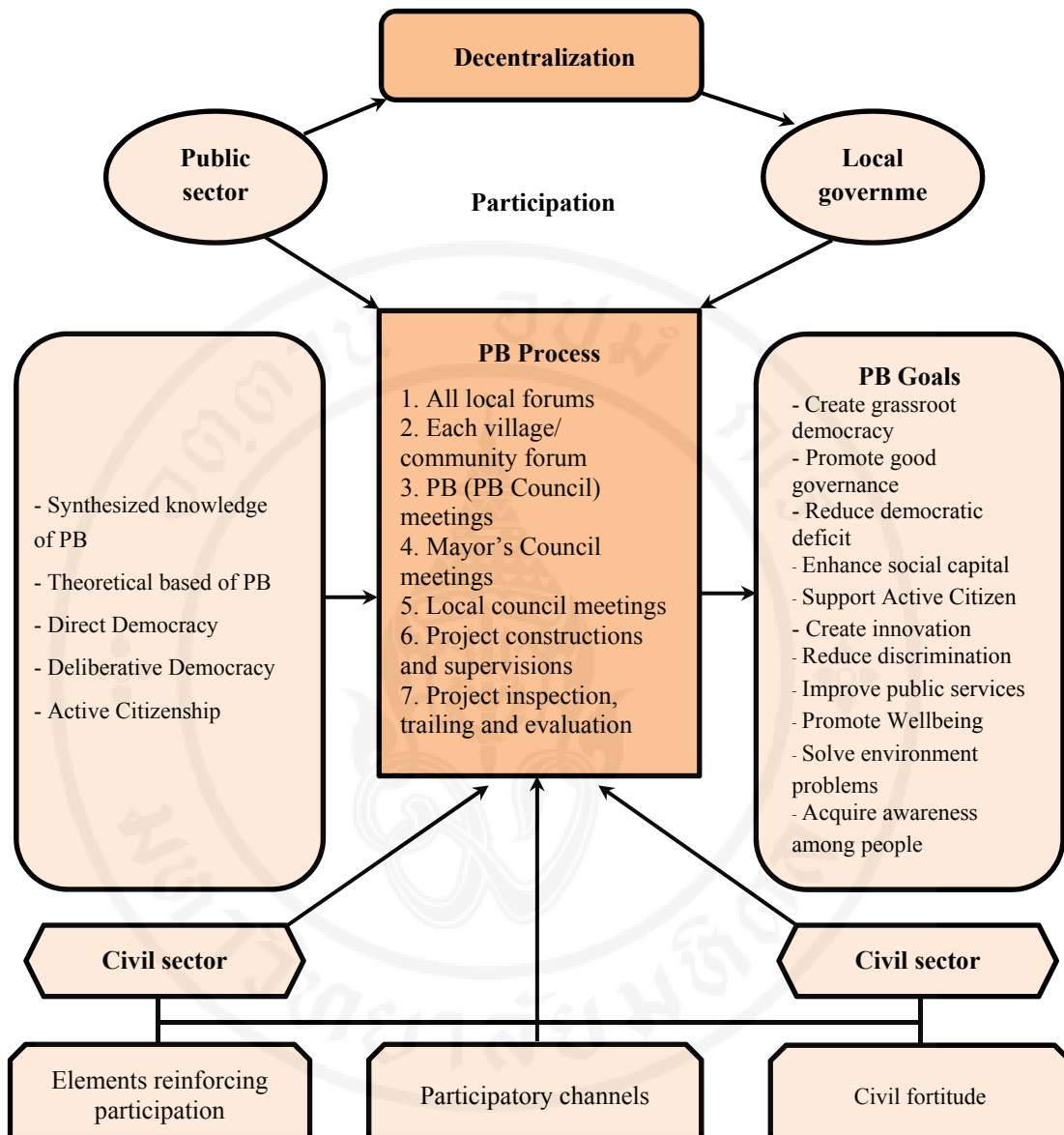
Ever since Thailand reforms and the rise of the Constitution BE 2540 (1997); decentralization to the local begins and more evident tangibility especially enactment to endorse decentralization like Plan and Procedure of Decentralization Act BE 2542 (1999). It more supports and empowers the role of local government to solve the problems of people more. The public service must be better especially its infrastructures. Similarly, such law promotes and supports the civil roles to participate in administrating public services more endorsed by the Act enactment on people participation in the local governance and there are laws involved in other participation. For example, they are The Impeachment Vote for Local Council Member Act BE 2542 (1997), and the Nomination for the Local Ordinance Act BE 2542 (1997) and so on. People participation is still also extended to the Constitutions BE 2550 (2007) and BE 2560 (2017).

As of the situations above, it reflects many laws support and promote people to participate in the public service affairs. As such, it is to support decentralization principle and policy driven by the central administration. It directly solve the local problems and on time. The local people themselves have developed their cognition of autonomy under the foundation principle of democracy. It invigorates the local democracy and affects the fortitude of democracy at the national level. Therefore, the decentralization policy is similar to a passport to the local people participation while allowing the local governance to play the roles and duties to prevalently and equally keep pace and order for its people in the locality.

However, people participation in the Thai local governance is yet to reach empowerment in decision-making with the local governance, especially about the budget. In fact, expense budget comes from civil taxation; and they should deserve participation in decision-making about major strategization in the local development

for good governance and the local working transparency. To enable accountability for confidence, reliability, trust and faith of the local governance; it is necessary to reduce work inefficiency, corruption, cronyism and patronage system in the local governance. Then people will maximize their restricted resources for their quality of life and to improve the public services, so that people will sense of common belonging in their local activities and projects.

Therefore, it needs to processing knowledge conditions and the PB process, literature review, visiting the sites to survey elements reinforcing the success of people participation. Recommendations from the central administration and from the expert scholars, it is found that applying PB in the Thai local governance, it is to fulfill the principle of people participation according to the decentralization policy, and civil political reinforcement. They affect the rising benefaction for people from PB ass the figure 6.6 below.



**Figure 6.6 Applying PB knowledge in the Thai local governance**

Source: The researcher (2017)

From the chart above, it illustrates applying PB knowledge with the Thai local governance. It begins from offering opportunity for people to participate under the decentralization policy mandated from the central administration, which it has transferred its missions to the local governance. It loads the local governance with missions and more empowerment. However, maximum decentralization is when people has opportunity or involve in decision-making in policy or projects of providing local public services and also, opportunity for people to involve in politics

in their own community under the principle of governance and the motive of people under democracy. Therefore, applying PB is another important tool to create democracy innovation and reinforce the fortitude among people at the grassroots.

Applying PB requires to understand its origins through investigating the theoretical concept which are its bases, i.e (1) it is the theoretical concept of Direct democracy - it is due to PB illustrates direct democracy through budgeting and offers opportunity for majority of people to learn how the government works and it is an exchange of opinions, debates and persuasion to distribute the public resources as the tools to study and create engagement and empowerment for people while strengthening its good governance (Shah, 2007: 1). (2) The Deliberative Democracy - it is the people who own rights, liberty and equality to enter the decision-making process on the policy with the representative of the state authorized persons and both parties exchange opinion with reasons acceptable by all parties and all common people can understand. This leads to the most appropriate conclusion for societies (Amy Gutmann and Dennis Thompson (2004: 7). As such, PB is a deliberative based on rational decision-making. PB is an attempt to draw data from people who face problems and needs for their solutions and posing them for consideration together. Deliberation is the best exit for investing public affairs (Fung and Wright, 2002: 5). (3) The Active Citizen - citizens are the critical mechanism to specify policy and apply it. The local executives should be so conscious of the importance of the civil sector because they are the strong power to lead the local administrative organizations, agencies and the nation to reach the targets with pride. Applying the concept of active citizen with the awareness of PB, it is to reflect the importance of the active citizen to play the roles of decision-making on public services to meet the needs of people (Halverson, 2003; Kweit and Kweit, 1987; Zanetti, 1998).

From synthesizing researches, it is found that appropriate PB with the Thai local governance contains 7 steps. However, they can be adjusted for appropriateness by geographical context in each area. They are: 1) 1. All local forums – The purpose of meeting is to provide information, presenting the previous projects, presenting current budget and explaining the PB process. 2. Each village/community forum – this is deliberative, opining, presenting projects, selecting representative to be the supervisory committee members. 3) PB (PB Council) meetings – this is to prioritize

projects and budgets used and to vote for the complete projects. 4) Mayor's Council meetings - this is to structure budget under the advice of the PB council and the non-PB council. 5) Local council meetings - this is to deliberate the budget and the budgeting PB projects in order to discuss and to finalize budgeting. 6) Project constructions and supervisions - this is to trail the project progression, responsibility of the project leaders and their performances. 7) Project inspection, trailing and evaluation - this is to know success, problems, barriers and transparency of running the projects.

From research syntheses and literature review, it is found that if applying PB with the Thai local governance; and it is expected to gain as follows: 1) Creating grassroots democracy - this is to offer most people opportunity to learn about the works of the government and it is the exchange of opinions, debates, and persuasion of distributing public resources, and it is the tool to investigate the engagement and the empowerment to people. 2) Promoting good governance - it is to allow all levels of people to participate in order to bring transparency. 3) Reducing democratic deficit- this is to allow access of information, ability to propose needs at all time, to protect benefits of all parties, and to create transparency in working. 4) Enhancing social capital - it is to create reliability, trust, faith, engagement and unity in the community. 5) Supporting Active Citizen - it is to create consciousness of rights and duties among people. 6) Creating innovation of democracy and deliberative - it is to create new things and new projects for the community wellbeing. 7) Reducing discrimination - it is to offer opportunity for the poor and the marginalized persons to play the roles in proposing their needs through the budgeting process. 8) Improving public services - it is the public agencies have always been watched and inspected; therefore they always improve the quality and delivery of their public services. 9) Promoting Wellbeing - it is to have better quality of life such as having health clinic. 10) Solving environment problems - it is to solve the problems of global warming, and greenhouse effects through encouraging people to propose projects or exits in solving these problems. 11) Acquiring awareness among people - it is the understanding on the rights and sense of duty among citizen and the sense of belonging/ownership.

Therefore, with the process and the approach in applying PB as above; they will be achievable only when there are factors reinforcing the success of people

participation with regards to regulations and laws enacted by the central government and to offer opportunity by the existing conventional political leaders, the consciousness of civil rights and duties and civil gains or the sense of belonging /ownership over the local resources upon their participation, and so on. However, offering such opportunity including the channels of diverse participation for people to access complete information and ability to opine and to freely present problems or needs without coercion and deception. This reflects the fortitude of the civil sector that can create their power of bargaining.

#### **6.4.5 Reasons and Needs that the Local Administration Organization Should Implement the Participatory Budgeting**

1) In order to allow people taking part in check and balance on the work of the local administration organization even though its administrators are from election under the representative democracy; that does not mean the power of people ends on the day of voting. Participation in budgeting is an approach of check and balance between the administration and the council of the local administration organization in order to promote the administration of the government sector under the principle of good governance. This is to prevent the illegal power exercises of the local politicians and it is to control the local administration through the process of participatory budgeting.

2) For the purpose of allowing people to take part in the policymaking process; the participatory budgeting system has been designed to draw people into the policymaking process. This is to catalyze a reform of bureaucracy and public resource distribution for the low income people. The discriminated social and political groups will find their opportunities to take part in decision-making on policy. The government and people will initiate action plans to support the public learning and turn citizens to be more enthusiastic, which will more leverage justice in their communities through improving policy, resource distribution and reforming various divisions of the local administration organization (Wampler, 2000:1). The participatory budgeting is to structure a civic participative democracy. It is the very integration between either the direct democracy or the semi-direct democracy with the representative democracy.

3) To maximize the uses of local resources, the budgeting for people participation encourages to cogently solving problems because people best know their

necessities and needs. The local traditions, cultures, beliefs, the local context, satisfaction, conditions, and involvement in decision-making on the existing budget have been maximized for the goods production and necessary services. This is to improve the work effectiveness of the local administration organization (Moynihan, 2007).

4) To improve accountability when people participate in the financial planning, service delivery and the pursuit of public products; the pressure on the government authority and the position holders in the government sector will change. A participatory system allows the local government to respond to people more with service effectiveness and more accountability (McGee, 2003).

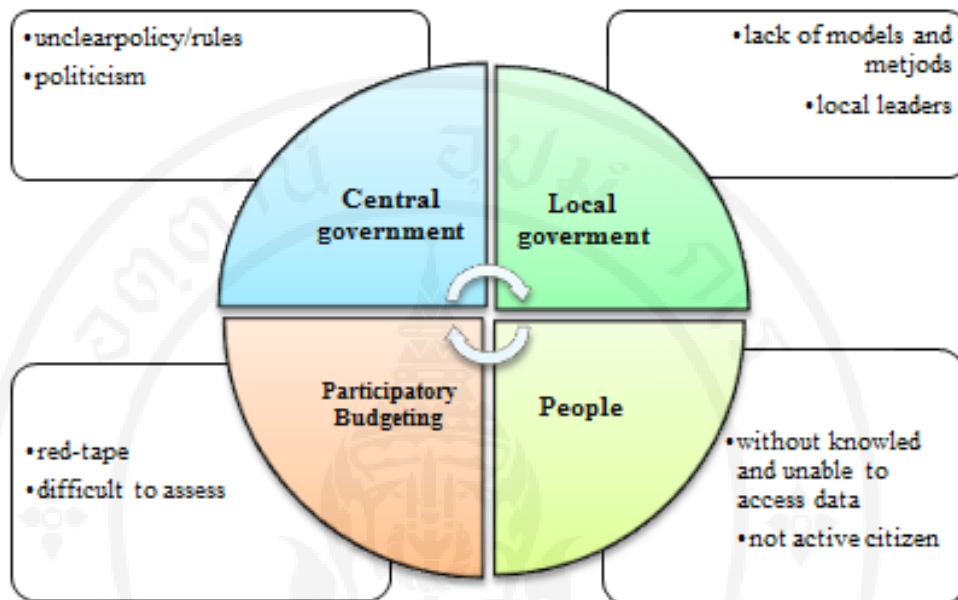
5) To improve quality of the local democracy, participation in the direct democracy-based public decision-making allows the relation between people and the local government more meaningful than the representative democracy. This is through improving the relation with various sectors and the government sector. When the engagement is part of the management system; it increase the institutional mechanism for promoting involvement and help reducing the obstacles of the group which loses the opportunity in the policymaking process. The integration between the representative democracy and the direct democracy would be the best fit exit. Edward asserts that if there were no public pressure; the government would hardly fulfill its promise announced in the day of election. And if there were no election; it is hard to settle benefits and different agendas of various groups in society. (McGee, 2003)

6) To reinforce the participative democracy, the rationale of a movement for people to participate comes from the postmodern values, i.e. the necessity of having participative democracy. The reason of having such values comes from incremental movements of people, founded on increasing perception and education which creates needs for more involvement. People participation should be encouraged because of the awareness of people and also it is also to provide information from them. (Moynihan, 2007).

#### **6.4.6 Factors challenging the success of applying PB in the Thai local governance**

This research reveals that applying PB in the Thai local governance encounters so many challenges against its success because budgeting is so complicated with mega-details affecting people participation. There are four major challenges, i.e.

1) the central government, 2) the local government, 3) people and 4) PB (participatory budgeting) as figure 6.7 below.



**Figure 6.7 Factors challenging the application of PB in the Thai local governance**

Source: The researcher (2017)

From the figure 6.7 above, it shows the challenging factors against success upon applying PB with the Thai local governance under these four principles, i.e.

**1) The Central Administration** – barriers from the central government against PB is there is unclear financial decentralization. It is seen that in the past, 35% of the budget have not been distributed as stipulation. In addition, reserving the political power of the central government is another reason that likely fails decentralization and will affect people participation and PB.

**2) The local government** – PB requires models and methods for evident process; if individuals in the local government have no cognition, it would be hard to process. In addition, the local political leaders do not open opportunity to apply PB; they may see that it is a waste of time and expenses or fear conflict among people. PB is then not happened. Another challenge is the local government has no freedom on finance because it has to rely on the central government subsidies. It is also short of capacity and efficiency in tax collection by itself.

**3) People** – people without enthusiasm to participate are short of consciousness on their own rights and duty or problems and barriers caused by transportation. People disregard the importance of their participation because they are preoccupied with earning their living. In addition, the other attributes of people like educational levels, ability of communication, and access of information are the challenges against applying PB. Participation in many areas are not from the sense of involvement but just symbolic.

**4) Participatory budgeting (PB)** – this research discloses that PB has no clear and tangible evaluation criteria. Also, there are many procedures, meetings too often which affect time and expenses. The matter of budget is personal affair for those who are interested because there are too many jargons or called technical terms. It disinterests common people while its application is too complicated.

Therefore, in this chapter the research results provide data of the drives to emerge PB with the process and the driving approaches relying on players from many sectors either the central government or the local government or people or private sectors or NGOs which bring s the procedures of applying PB and the reason why PB has to be applied in the Thai local governance. Those do not mean applying PB does not bring problems and barriers because by synthesizing researches and fieldworks, it is found that there are four challenges to this concept, i.e. 1) the central government, 2) the local government, 3) the people and 4) the participatory budgeting itself.

## **CHAPTER VII**

### **DISCUSSIONS**

The objectives of the study of “Participatory Budgeting Concept Applied in the Thai Local Governance” are 1) To synthesize the knowledge premises of the participatory budgeting, 2) to investigate elements reinforcing the success of people participation in the participatory budgeting of the Thai local government organization, and 3) To recommend approaches implementing the concept of the participatory budgeting in the Thai local governance. This chapter will discuss the results synthesized in Chapter IV and fieldworks to survey data as concluded in Chapter V including adopting all data from the studies to be used in the discussions based on the research objectives, as below.

#### **7.1 Synthesis of the Knowledge Premises of the Participatory Budgeting (PB)**

Participatory Budgeting: PB has been originated at the end of 1980s in Brazil where there are gap of income most. Due to the delegative/representative democracy endorsed by the Constitution but cannot function because politics and government are copious of corruption and patronage system especially at the local level. It becomes common that political leaders buy their votes with deceptive promises. Porto Alegre meets higher standards of living than other cities but PB changes them. –There is prioritization, the primary healthcare is functioned in the deprived areas. The number of schools and kindergartens are expanded. Most household can access water supplies and water treatments. Under the win of the Labor Party (PT), the party seeks working methods that allow the grassroots to play their political roles in municipality. Many new approaches and new tools are sought to create usefulness and spaces allowing people to participate. Though the Labor Party loses seats to the opposition parties in 2004; but the new government fears to terminate the concept of PB (Sintomer et al. 2008: 166-167).

The PB-based concept through literature reviews show that PB is founded on approaches and thinking methods from any theories. The birth of PB comes from the phenomenon of the conventional management that cannot solve problems at the right point, prevalence and equality. It brings dissatisfactions to people who are discriminated from the center of power and become the marginalized people. Therefore, the PB knowledge is founded on these concepts, i.e. direct democracy, deliberative democracy and active citizenship.

Many scholars advocate direct democracy such as Shah (2007), Moynihan (2007), Ebdon and Franklin (2004, 2006), Fischer (2003), Miller and Evers (2002) and Pratchett (1999). They view that participating in budgeting is part of promoting direct democracy or at least alleviating the limitations of the representative democracy. This is because PB relies on the core of direct democracy which adheres to permit the last basic rights in decision-making on political or public issues by citizens and under the belief in the sovereignty of people. Direct democracy is the exercise of the direct sovereign power of people in enacting laws, rules, and regulations. Also, it is to exercise the power of adjudicating cases rather than voting for representatives and empowering them to enact laws. Similarly, PB shows the direct democratic approach in budgeting process. It offers opportunity for large number of citizens to learn how the government agencies work. These people/citizens have opportunity to consider, debates and influence in distributing the government resources (Wampler, 2007: 21). PB is a tool for learning about participation and reinforcing potentials and needs of people to monitor good governance and to improve transparency. People inspect budgeting which can alleviate inefficient working and the non-transparent working of the government, its patronage system and corruption.

In the concept of deliberative democracy, its deliberative rises when people share their perspectives, thoughts, opinion with equality, proposing arguments with rationale, while thinking and hearing problems and perspectives from others in order to finalization in general for societies (Gastil, 2000:22; Cohen, 1989; Lukensmeyer and Birgham, 2005: 57). The deliberative democracy as the thinking base of PB in the case of the Not and the Should Not being deliberative in the distribution of resource where there is conflict of interest between the interest groups. It can just solve problems with compromise. On the other hand, Fung and Wright

(2002: 5) assert that PB is the deliberative based on rational decision-making. Preparing PB is the attempt to draw data from people with problems and needs to solve them together. Deliberative is the good exit for investing in the public services where all people mutually gain. Similarly, Wample (2012: 9) finds that PB will happen when there is deliberative, declaration and many ongoing meetings. Declaration provides data for people understand their own power and duty and understand the state personnel too. Applying deliberative democracy might bring gains to many levels beginning from participating people, responsible persons in policymaking and problems of preparing PB in the local government.

In the concept of active citizenship, it is important to PB because citizens involve with the state since birth, government process, policymaking, application of policy, exchange of opinions and needs to participate of the civil citizen. It is counted legitimate in administration. Therefore, active citizenship theory is referred to being the ruler and the ruled, exercising deliberation with conscience and rationality and ability to contribute benefits to public. Achieving practical possibility acceptable as being the active citizenship will be encouraging individuals to be conscious of their own ability through developing the practical development called “knowledge community”. Its members in this community can acquire their knowledge and ability to change in order to raise common understanding about situations, conditions and results of the social action. In addition, there is another dimension of the active citizen. That is rational and possible decision-making because politics is unlike scientific knowledge because with instable content by situation; it is necessary to understand with rationality and possibility. Applying the concept of active citizenship with PB in order to reflect its importance to play the role of decision-making and to provide public services meeting the needs of people (Halverson (2003); Kweit and Kweit (1987); Zanetti (1998)).

In meta-data, its results from synthesis are divided in to four (4) major issues, i.e. 1) the success of applying participatory budgeting: PB, 2) the failure of participatory budgeting: PB, 3) recommendation deserved improving participatory budgeting: PB application, and 4) the participatory budgeting: PB with following details.

1) The success of applying participatory budgeting: PB – from synthesizing 15 research papers, it is found that reasons of these investigations are from curiosity about methods and success of applying PB within the state sector agencies because PB is diverse and prevailing around the world in both developed and developing countries. PB has been endorsed and enthusiastically supported by international organizations like World Bank but it does not mean that PB applied will all be successful. There are many worries and recommendations as presented below.

Its successes are divided into subjectivity and objectivity (immaterialism and materialism), i.e.

1.1) PB can raise social capital through contributing public goods and improving public services (Allison Blythe Hurlbut: 2012). The PB process can raise social capital through contributing public goods according to social capital index –intrinsic norms, mutual relationship standards, solidarity and civil engagement. PB can gradually raise social capital through trust from politicians and city representatives who win project proposals. It is then corresponded with the PB literatures reviewed by the researcher and finds that PB can raise social capital and be positive to health and wellbeing.

1.2) PB can create new innovation –the study of Hollie Russon Gilman (2012) contends that PB contributes better products than the conventional one that New York has applied. It is further found that applying PB creates new innovative projects to 38% while those who do not use PB create just 15 %. Projects applying PB growingly justified and evaluating needs in each zone is fairer than the conventional approach which is not transparent.

1.3) PB can allow community representative to participate in the projects selected with honesty and ill-facilitate the nature of coercion while enabling the community wellbeing in the dimensions of less wastes, good health, having local health clinic, better health, better roads and so on. In addition, it promoted equality which is not economy or political power but it means they are equally free to participate in the PB process regarding proposing needs, evaluation, argument, compromise and decision-making. PB still promotes the progress of democracy. Involvement in democratic activities is more than being the “giver” of consultation or an input but being consultation involver (Marie Claire Vasquez Durán: 2014). With

often meetings of people increase their association. It creates bond among people and the local executives, the local personnel. From public hearing, it allows people to know problems of other communities (Wample, 2012: 11).

1.4) Adding value to the projects – the study of David Wynn Davies (2011) ensures that PB is the stairs stepping to providing deliberation to individuals who have ever previously failed. From experiences in applying PB, none ever lets it go but every organization or community thinks that PB adds values to what they have done. None thinks whether it is good or inappropriate or not but gains from this concept make them undisputable.

1.5) The success of applying PB is it can solve the problems of environment regarding global warming and the green glass effect emission. The study of Thomas William Daniel Cohen (2012) finds that adhering to PEB (Participatory Emission Budgeting) is the function participants are successful in decision-making. The model corresponded among participants is respect and hearing others' opinion and decision-making comes from consensus which supports deliberation as the foundation of citizen participation. Majority of participants interestedly own positive thought on the participating in the activities and feel enjoyment. They incline to be pleased to have opportunity in decision-making about the resource distribution.

1.6) Applying PB to address poverty – it is one of the goal of PB. The study of Ana Paula Pimentel Walker (2013) finds that the efficiency of PB happens among the poor living in cities for more than two decades. The goal of justice in redistribution is to fight with the causes of inequality in the urbanized areas.

The success and gains of PB above are corresponded with the work of Wample (2012: 8-11) that PB and solving problems of the poor in society discriminated their rights in the past but adding the quality of democracy while promoting social justice by offering opportunity for common people to participate in distribution of resources to other locals with new projects rather than centralized in some places. In addition, people can reflect the project performances and the needs of people or community to the government. PB emphasizes distribution of resources to low-income groups or communities and with poor infrastructures. It is similar with the concept of Sintomer et al., (2008: 167) with major principle of PB is the social justice and capital distribution relies on the number of residents and the quality of

infrastructure including prioritization of the local projects. Considering such criteria, the shortage areas of infrastructure will be subsidized more than the areas with quality of life and good infrastructure. Therefore, PB can link political success, social, economy and institutionalization. If PB has been appropriately applied; the study of World Bank reveals that the promotion and support of PB is a method to improve public service delivery, alleviate poverty and reinforce democracy (Shah, 2007).

The second success of applying PB is the subjective gains with high intangibility. Such success cannot be measured in figures. For example, the works of Hamilton, Molly E. (2014) and Anna Forkovocova (2013) reveal that people value gains as incentive of intrinsic benefits such as knowledge, and pride in applying PB. In addition, Hollie Russon Gilman (2012) calls existentialist results and that is more knowledge of citizen and able to lead to access deeper democracy, knowing the importance of participation, and virtuous relationship of assemblage. Each good attribute of each individual affects intrinsic relationship of assemblage. PB can link each one together to form social capital and link further to participate as the citizen of larger projects under democracy. In addition, people are not only still enthusiastic with civic virtue according to democracy without concentrating to the common good and the matter of justice but still includes patience/generosity to other's perspective, accountability, willingness to participate, declaration and hearing, respect the principles of laws and respect the rights of others.

2) PB failures in many areas-still there are many problems and failures due many factors especially the leader for practices. The study of Hollie Russon Gilman (2012) shows that the approach in addressing PB is by only the technical officer = with key positions only. The mechanism of people participation is not adapted to meet the local environment, its values and its social norms. Therefore, it bars common people from the public resource distributions. Involvement of people in budgeting process is restricted to the procedure of preparing budgeting only. Similarly, the study of Moliehi Leduka (2009) finds that the Mantsopa municipality in South Africa does not improve and promote people participation in the municipal decision-making process but there is shortage of clear strategies to support people participation in preparing the municipal budgeting.

In addition, the study of Hadyn Lindsey Kihm (2010) in Córdoba: Latin America and finds that PB in Cordoba fails unlike other cities. The worst limitation is its demographic attributes, political structure and history. The structure and failure of PB come from political distraction and the reduction of political will that displays its growing important compared to other cities and other countries. The final problem of PB is lacking measure of tangible performance evaluation (Brandon Kent Chapin: 2013). Similarly, the study of Fölscher (2007) on PB in the Middle East and North Africa, he finds that barriers of PB are no determination, political will, no law frame, ill-facilitated political environment for people to freely express, shortage of PB data, and expected roles expressed by the stakeholders.

3) Recommendations for applying PB – due to experiences of various cities implementing PB in associated with recommendations from researches of scholars, there are good viewpoints with diversity of implementing PB. Recommendations on policy are emphasized and applicable to the Thai local governance. The study of Moliehi Leduka (2009) recommends the creation of appropriate environment, the process design to facilitate participation, creation of new innovative mechanism, target and end result-led consciousness on people participation in PB. The study of Sandra Drouault (2008) recommends applying PB demands co-decision-making with the large amount of budget to allow participants sense their involvement. It is necessary to have deliberative and aggressive policy to increase budgeting participation because they have to be responsible for its results. PB demands transparency and this transparency must be legitimate. Therefore, PB requires ongoing adaption to preserve the above criteria.

In addition, there are recommendations from the work of Marie Claire Vasquez Durán (2014). She recommends on policy that 1) it is necessary to improve the assembly structure of PB because it covers more representation. 2) It is necessary to check whether the community leaders/men of power facilitate deliberative activities without mandate and coercion. 3) It is necessary to make PB tie with government to be the complement for decision-making. 4) It is necessary to transform social vision so that PB can and should be the platform for the community. 5) It is necessary to transform the model of PB meeting for deliberative activities and more priority.

The similar recommendations imposed by researchers are training and developing training programs so that all know the existing rules and regulations, better

know the PB process, and enable people involved to legitimately evaluate performances (Hollie Russon Gilman, 2012). Other recommendations are distribution of budget by project but emphasizing projects for social rather than infrastructures, developing system and the city structures while increasing participation of the marginalized groups (Hadyn Lindsey Kihm: 2010). The public service delivery of the municipality should not specify residences; there are more affairs on transports, and education. Therefore, PB has to integrate city plan which is the policymaking as it is the municipal public service delivery (Ana Paula Pimentel Walker: 2013).

4) PB process – from the research syntheses to acquire the knowledge of PB and after the literature reviews in Chapter II, it is found that PB in each area is different and relying on the context and its implementation to meet values, belief, and political cultures of each area. In brief, there are four (4) major procedures of PB. They are 1) brainstorming from people in their community – it is necessary to organize forums (through online) for deliberative activities, presenting problems and needs of the local community/ village. Then, they need to select their representatives to present projects approved by their people in their community. 2) Developing proposals – it might be seeking knowledge and improving projects by specialists or to investigate possibility of the projects, checking justified appropriateness and prioritization through the PB representatives. 3) Voting – it is the selection of the critically urgent projects and their budgets deserving them by the members of the local community/ village/subdistrict. 4) Implementation of the fund winning projects-this is followed by checking and trailing performance by the civil sector.

However, it does not mean that implementing PB are just only by these four procedures but they can be adjusted by appropriateness to meet the condition of each area which are so different with regards to politics, cultures and social conditions. For example, in the case of Porto Alegre where PB is originated; the procedures of implementation are at first, around March to June, policy, budget and representative selection are disseminated. There is the first round forum organized for the regional representatives to inform situations and issues before presenting PB by the state officers, preparing the quality of life index, monetary data, presenting projects for approval and ending with Q&A session. There is analysis the level of using resources. As of the civic forum, it is to propose technical details, analysis of fund, discussion on

projects in details, prioritizing projects for the municipality and primarily selecting projects. The second round regional forum is organized during June to September. This is the period of drafting estimated costs for the proposed projects and information is disseminated in each zone, and trailing budget with the municipality. The second forum will accommodate state officers to closely working the committee to draft technical plans for presenting the municipal council (Wampler, 2000).

With the example of Porto Alegre, Brazil where PB has been originated as above; it is witnessed that there is specification the range of months for each activity but some areas focus on activities such as the PB process like in Mangaung, South Africa (Adrienne Shall, 2007: 208). There are three procedures emphasizing mainly with activities. First step, it is to examine internal and external environments. The activities are setting expense estimate to identify budget and the municipality categorizes is into committees and inform in advance about meeting. During meeting, it is to prioritize the developments and projects presented by each group. Their proposals will be screened and they will be presented in the meeting of their stakeholders to claim for additional data. Second step, it is to select projects and action plans with the activities on the proposal submission from each group and then furthered to the meeting of the stakeholders. After that, projects are presented to the Mayor's committee and the board who will debate and be ready to collect budgets, launch public relation to collect budgets so that the stakeholders and people can be ready for budget meeting. Here they can input other budgetary data, too. After the budget draft meeting, they will be forwarded to Ministry of Finance for consideration and providing opinions followed by sending to the committee to conclude budgeting. Third step is an approval and report stage. When they are approved by the parliament, they will be sent to the Bureau of Budget at the national and the provincial level. The stakeholders will be informed about the cycle of budgeting in order to further be ready with the annual fiscal budget.

Consequently, PB possible for practices demand integration to meet the existing practical principles of the Thai local governance, either in the local development plans or in the annual expense budget plans. When they are integrated with each other, the PB process is thus arranged.

**Procedure I:** it is the overall forum in the local in order to disseminate data, to propose the projects of the previous year, to present the current budget and to demand explanation of PB attended by people, civic sector, NGOs and the local officers.

**Procedure II:** it is the forum in each village or community to deliberate, to opine, to present projects and to select representatives for the supervisory committee attended by the village or community residents.

**Procedure III:** it is the PB Council meeting to prioritize projects and budgets, to vote for the complete project attended by the residents of Thai local governance, the state officers and selecting the PB representatives.

**Procedure IV:** it is the Mayor's Offices meeting to structure budget advised by the PB council along with the projects not using PB attended by the local governance board who are Mayor, Deputy Mayor, working teams and advisors.

**Procedure V:** it is the local council meeting to deliberate budgets and projects, which use PB, in order to discuss and to finalize budget issues. Attendants are the local council members, the local mayor, the PB council representatives and common people who are interested.

**Procedure VI:** It involves the project constructions and supervision to recognize their progress, responsibility and adherence to the projects. Inspectors are the local council members, the local mayors, the PB representatives and common people who are interested.

**Procedure VII:** it involves the meeting to trail and evaluate performance of the projects in order to recognize success, problems, barriers and transparency. Attendants are the local council members, the local mayors, the PB representatives and common people who are interested.

The above 7 PB procedures are coherent with the budgeting process in Porto Alegre (Wood, 2004; Abers, 2005; Wample, 2004; Souza, 2001) the meetings have to be often organized and with many levels to see problems by overview and problems risen in specific local community. Upon acknowledging problems, representatives of PB council must be selected to fulfill duties in PB – prioritizing problems, regulating rules of the projects, improving projects, decision-making on project budgets and finally trailing the project performances. To allow PB coherent to

the context of the Thai local governance, it requires integration to meet the local development plans and the annual expense budget plans.

In addition, from the literature reviews of PB experiences in abroad, Adrienne Shall (2007: 191-216) finds that before preparing budgeting there is public relation to invite stakeholders to attend meeting in order to prepare PB. It is to prioritize the invested projects so that the stakeholders to give suggestion to the projects and to agree with their prioritization. Later, the proposal from the stakeholders will be forwarded to the Mayor's committee and the board. Here, they will debate and prepare their readiness for collecting money for the project budgets which will be resumed after budget meeting. The budget draft will be forwarded to the Ministry of Finance for deliberation and provision of opinions. When the budgets are approved by the parliament, they will be furthered to the Office of Audit at the national level and back to the provincial level. The stakeholders will be informed about the cycle of budgeting in order to further be ready with the annual fiscal budget.

#### 5) Benefaction of Participatory Budgeting (PB)

From synthesizing research works and related literature reviews, it is found that PB is qualified with many benefactions, which are the desirable goal for its application as details below.

5.1) PB reinforces grassroots democracy or direct democracy. It displays the direct approach of democracy. PB system illustrates direct democracy through budgeting system. Sintomer et al., (2008: 167) proposes major PB principles which are the common agreement of scholars that civil forum with goal and prioritization and selecting representatives to pursue advices and propose them in order to develop them into projects. The major principle is one man one vote to offer the majority opportunity for learning about the government function and exchanges of opinions, arguments and persuasion of public resource distribution. It is a tool for investigating engagement and empowerment for people and strengthen good governance (Shah, 2007: 1). This is because it offers opportunity for people to participate in decision-making on policy and scarce resource distribution with maximum efficiency through prioritizing projects and proposing problems where they are directly solved.

5.2) PB reinforces good governance which is the basic reason to recreate social expectation and new relationship between people and the government in the context of decreasing confidence of the people towards the political parties, politicians and public affairs. PB becomes new approach and link between the players who will bridge social relation and improve governance. It tends to be the government process led or not led with the growing decision-making power for people. It is because PB offers opportunity for people to participate in proposing their problems and their decision-making on budget (Cabannes and Lipietz, 2015). In addition, there is participation in trailing the public sector performances, which finally leads to transparency. Donald P. Moynihan (2007: 59) contends that participation particularly in the developed countries and in the poor countries can lead to achieve the performance goals with the best efficiency. Supporters of participation in the poor countries point out that corruptions of resource distribution are prevailed along with failures in servicing infrastructure because people have no opportunity to express their needs and have no opportunity to involve in trailing the performances of their elected representatives who as such work for them.

5.3) PB solves democratic deficit based on the concept of Fung (2005). Democratic deficit comes from the failures of representative democracy and there are four elements. First, it is the information deficit, which PB demands deliberative process and dissemination of information. Second, it is the representative democratic deficit which organizes general election in every 4-5 years and people need to propose their needs all the time. Therefore, PB allows them to propose their needs all the time. Third, it is the transparency and responsibility deficit, which PB brings transparency and responsibility because there is civil inspections. The deficit on the outcomes of the policy which is not diversely prevalent to all groups who are the stakeholders (Anna Forkovocova, 2013).

5.4) PB reinforces social capital and network of the civil sector. It bridges people in societies because they have opportunity to associate, to talk, to opine, to exchange learning, to negotiate, to bargain and to protect their community gains together rather than secluding themselves from each other but co-existence as an extended family. This leads to solidarity and righteously virtuous relationships of their assemblage. The good attributes of each individual affect

intrinsic relationship on their assemblage but PB can link each one until entailing social capital and bridging to participation as citizen of the large size project under democracy (Hollie Russon Gilman, 2012).

5.5) PB reinforces active citizen – it enhances people consciousness of their own citizenship, knowing their rights and duties. Therefore, people participation should not be viewed just as a consensus but it must be the guide for educating people to maximize their competitiveness. When people being conscious about their rights, duty and need to involve, it will be the force enabling to achieve preparing PB.

5.6) PB reinforces innovation to happen in the local and urban communities. This innovation is possible with democracy innovation and deliberative innovation because deliberation is part of the PB process enabling to increase knowledge and data of people in some issues. In addition, innovation is also referred to new projects risen from the public proposal. For example, Hollie Russon Gilman (2012) finds that applying PB brings new projects at 38% but the zone without applying PB brings only 15% innovation.

5.7) PB helps alleviate inequality in the local. This is because it offers opportunity for the poor and the marginalized persons to play the role in proposing their needs through budgeting process. Voice of the poor is heard for the powerful politicians. It is witnessed with the study of Ana Paula Pimentel Walker (2013) which reveals that the first phase of PB at Porto Alegre is the result of redistribution through resources-transferred from the rich to the poor in the neighboring premises. There are expansions into slums. Improvement of sanitation and health clinics is expansions to the urban skirts in order to adhere to the needs selected by the poor.

5.8) PB reinforces quality improvement and public service delivery of the public sector agencies. Participation of people subjects the public agencies under watch and check, always. The course of politicians demand votes from people; therefore the quality improvements and public service delivery is necessary to but resumed with PB. Shah (2007) investigates PB on the country clusters of Africa, East European, Asian and North American cities. He finds that PB can link to political, social, economic and institutional success; has it been correctly and

appropriately applied. Promoting and supporting PB is a way to improve public service delivery, alleviating poverty, and promoting democracy.

5.9) PB reinforces wellbeing and quality of life of people. It is confirmed by the study of Marie Claire Vasquez Durán (2014) which reveals that involvement in decision-making of people either city plans or other affairs brings changes to the needs of people which is the authentic needs. PB enables people their wellbeing in the dimensions of less garbage, better sanitation, local health clinic, better health, better roads, better trained police, and improved human security. These prove offering people opportunities to select their projects in order to improve the living.

5.10) PEB (participatory emission budgeting) help solve environmental problems such as global warming, and green house effect. The feasibility study of Thomas William Daniel Cohen (2012) on applying PEB to solve greenhouse effect; it causes global warming. Such role has to be played by the local government to further solve the problems in future. PEB has been applied to solve the environmental problems is because it is found that it can gradually draw diverse people to participate with the project more than the orthodox forms. PEB can convince participants to propose their needs by priority.

5.11) PB contributes intrinsic benefits and reinforces the sense of belonging/ownership on the local resources, creates cognition in their citizenship rights and duty, having civic virtues according to democracy. It brings learning about the works of the government and the grassroots democracy. It allows seeing the values and importance of humanness of oneself, and patient to hear contradictory opinions of others, generosity to other perspectives, greater reciprocal compassion. It bring growing solidarity, respect the principle of laws and respect the rights of others which can be asserted by the works of Hamilton, Molly E. (2014), Anna Forkovocova (2013) and Hollie Russon Gilman (2012).

## **7.2 Elements Reinforcing the Success of People Participating in Participatory Budgeting (PB) with the Thai Local Governance**

The decentralization policy of Thailand brings local governance which the central government denaturalizes missions, political power, administration and finance into the local administration organization. It supports and promotes people participation in the local governance by itself. As such, participation and decentralization always couple. The UNDP (1997: 4) contends that decentralization might be expected to participate in the important elements of good supervision such as increasing opportunity of participation among people in both socio-economy and political decision-making, helping develop others' competitiveness and reinforcing the government responses regardless being transparency and responsibility. At the same time, decentralization or supervisory decentralization should not be overlooked as an end in itself. It is a way more widely open with good response and with efficiency of the local government. As of the reinforcement the functional system in the decision-making level of the community; it requires the local community and the regional agencies to organize their own activities through the facilitation of close connection between the central agencies and the local agencies.

The situation of decentralization in Thailand is clearer and more tangible after the declaration of the Constitution BE 2540 (1997). It is the critical start of the promotion and the support on people participation in the local governance. This is because it is the direct election of executives and the local council members. It is not only the nomination to propose the draft of the local laws but also the nomination to impeach the local executives. Though in practices, it cannot be adhered to the laws but it offers people the legal opportunity to grant their rights much more than in the past. The objective-based investigation is thus to study the elements reinforcing the success of people participation in the Thai local governance budgeting. This is to be a part of applying PB in the Thai local governance. Therefore, the elements reinforcing the success of people participation are as below.

- 1) Having laws to endorse people participation – since participation is enacted in the Constitution the sovereign law of the country and followed by Acts related to participation such as the Planning and Decentralization Procedure Act BE 2542 (1999), the Vote for Impeachment of Local Council Member Act BE 252 (1999),

the Nomination to Propose Local Ordinance Act BE2542 (1999), the Official Information Act BE 2540 (1997), The Regulations of the Office of the Prime Minister on Public Hearing BE 2548 (2005), and so on. It is corresponded with the work of Alta Folscher (2007: 182) on success Factors in applying PB in Asia and finds that to be successful in participation it demands to enact laws, rules, regulation, and institutionalization. The policy has to scope opportunity for participation such as having Constitution enacting people participation in public affairs and so on. The exploratory case study of Fölscher (2007) on the cluster countries in Middle East and North Africa and finds that barrier to PB is the absence of the legal scope.

2) Geographic and general context and participation – from the field study to survey data in the local government and find that geographic context affects people participation, poverty, and the quality of infrastructure in the local. The clear example is the Mae Hong Son provincial administration organization where its area is 80% of natural forest and steep mountains. It is difficult for transportation for the local people who live in the remote wilderness. With its geography, it makes people poor and scarcity of infrastructures on public utilities of their living. They oppress people to participate in the distribution of the public resources. However, when the local leader like its Mayor offers opportunity, it becomes the important part to draw people to participate. The study of Hamilton, Molly E. (2014) reveals that PB drives to improve public service especially with the poor people and PB offers people opportunity to participate in decision-making on the policy of the local government. Therefore, poverty and geographical context positively affect the application of PB with the Thai local governance.

From the case study in abroad, it is found that PB has been applied in the developing countries in Africa because they have met many diverse problems like either apartheid or poverty or the poor infrastructure which leads to non-democracy and non-involvement of people in the government decision-making. Political leaders and executives adhere to the power which should be in the hand of people. The civil society groups are discarded in the local government decision-making. People are not supported and encouraged to be part of the budgeting process and apartheid still exists (Moliehi Leduka: 2009). In addition, the study of Jyldyz T. Kasymova (2013) on applying PB in Kyrgyzstan where there is transition from the lowest per capita in the

Central Asia from the high low income and dependent economy from abroad. It creates opportunities for various models of experiment in order to cope with its absence of good governance. Transition in each country can also affect people participation.

The application of PB is not only conducted in the poor countries and the developing countries only. This concept has been applied in the developed countries like New York: USA, France, Spain and England. It is adapted to meet each city context. Therefore, it can also be adapted to be applied in Thailand. The study of Hollie Russon Gilman (2012) on participatory democracy in the rich countries through checking the performance of the largest PB in USA – applying PB in New York. He finds that there are 38% new innovations risen in the zones applying PB while there are just only 15% new innovations risen in the conventional PB. The former more justifiably performs and fairer assessments than the untransparent latter. In general, applying PB in New York is possible and becomes the successful model for the citizen engagement and better improves performances better than the conventional budgeting. In addition, PB contributes knowledge of democratic innovation for the citizen engagement in USA where it can adapt and apply it appropriately.

3) The local population attributes and participation - from the literature review, it is found that PB is significantly founded on the concept of active citizen. It asserts that the population attributes affects participation. From the fieldwork survey, it is found that people living in the Khao Sam Yod City Municipality (KSYCM) are mostly government officers, educated and better social status. These so much attract them to regularly participate in the local governance in every 20<sup>th</sup> day of each month. It is witnessed that population attributes affects people participation. Similarly, the study of Hadyn Lindsey Kihm (2010) in Cordoba in Latin America and finds that its PB fails and unlike other cities. The worst limitation is its population attributes which hinder participation. It is corresponded with the interviews conducted with scholars, specialist of local governance and officers from the central administration and found that people participating or not, and to what extent relies on their consciousness of their rights and duties, their education, their ability to access information and their sense of participation and free from coercion. Another supportive investigation by Nijenhuis (2002), which checks people participation in the

local governance in rural and urban areas in Bolivia, and finds that the majority of the urbanites participate in PB more than those living in rural areas. The fact is the urbanites are higher educated and courageous enough to express their needs more than the ruralites. Similarly, Alta Folscher (2007: 182) contends that the success factors of applying PB in Asia are people must have culture and citizen ability not hindering participation which facilitate people participation.

4) Opportunity offered by political leaders such as the Mayor of the local governance – this is another reinforcing the success of people participation. As such, under the principle of representative democracy, there is election of delegate to apply policies. Therefore, the justified power acquired by election is with the local political party. If any local administration organization where it political party reserve its power; it will certainly affect people participation. It is similar with the study of Alta Folscher (2007: 182) contends that the success of PB relies on the extent of the conventional power party offers opportunity for people to participate. It is corresponded with the interviews conducted with the executives of the Department of Local Administration Promotion that the conventional powerful leaders must be generous to offer opportunity for people to participate and to follow the principles of law and with peaceful way and how people participation its image.

5) Sense of belonging or ownership in the participation of proposing problems, opinions and being part of the resource distribution in the local. The reports of Adrienne Shall (2007: 213) on the study of people participation in Kenya under the law enacted on citizen participation on policymaking and decision-making on budgets and reinforcement people participation in exercising public power. The Local Administration Act has stipulated the local administration must comprise its council members from election and nomination. She finds that impacts are people have participated in PB since 2003 and many projects hiked from the needs of people and they sense their ownership through talks and bargaining which improve their good relationships between the local council and people which never found before in the past. The municipal personnel can access the stakeholders by themselves more. It is corresponded with the interviews conducted with the executives of the local government that participation of people in the local affairs because they sense their common ownership on their local resources, affection and cherishing projects they have prepared together.

6) Accountability of people in the performance of various local projects - they recognize legitimacy and transparency. The study of Adrienne Shall (2007: 213) on people participation in African countries reveals that the Mangaung municipality applies community-based plan to establish a committee focusing on changing budget of infrastructure into the local economic development, which is more important for its people and the communities witness the municipal transparency more. Number of people receives information what the municipality is doing and they are able to regularly question on various issues in the meeting. Their consistent participation brings the municipality information and feedbacks. This is corresponded with the fieldwork survey and finding that applying PB brings people good results in terms of people can propose their real needs. The local government transparently works and is accountable. It brings trust to people in the working of the local government and its management is easier because the public force backs the municipality.

7) The good governance – based administration of the local government draws people to participate in every affair, which is not involved with the security. Meaning, the administration is adhered to the rule of law, transparency, priority of participation, responsibility, and cost effectiveness of economy accountability. Decentralization is conditioned on good governance leading to network of checks and balances within the public management system regardless being exposed for data exchanges among each other. Participating in the drive of their missions among agencies is the key mechanism to prevent exercising power in seeking gains with fraudulence among the government officers. This is often found in the state administration system where there is intense centralization at the top and middle levels (Nakharin Trairat, 2009:24-26).

8) People feel reliability, confidence, trust and faith in the administration of the local government. It highlights the existence of the organization. Constructive administration of the local government executives empirically witnessed by people will make people confident that the executive are professional, able to handle problems in the local and attracting people to be the part in the administration and policymaking on the local development. Confidence and faith arisen here is another critical element reinforcing the people participation.

9) People gain benefits from their participation and the ability to directly respond to the problems or the needs of people. Being responsive to the local problems and their needs, the administration of every organization unlikely cross the traps of inadequate income for their administration when the budget is so tight. However, budget distribution to serve the needs of people is the most important principle of administration because people know well what their problems and needs are. Therefore, a critical cause attracting people but difficult to understanding about participation in the municipal public activities is evident performance and “tangible”, responsive to the problems and needs of people, sociable, able to express opinion, and able to propose their problems and their needs.

10) There are diverse channel of people participation including public relation, information dissemination or the channel encouraging people to express their opinions with freedom. The diversified channels of people participation rely on the administrative ability of the leaders in the local whether being professional and the extent of vision. This is due to participation is not just scoped that people must walk to the local government but it must take aggressive working too by walking to people. Participation is diverse and according to the modernity of information technology, able to access information with speed and more two-way communication. Generally, people can perceive information, which is the primary participation through websites of the local government, voice online in the village or community, brochure, posted announcement, P.O. Box, the community learning center, and the local mobile team. In addition, there are channels of participation through tow-way communication where people can propose their problems and needs. That is the local forum such as civic forums, village forums, the Khuong pa-nga forum (KKSM, Lampang Province) and KKMM, Informal meeting between the local leaders and people. There are also social media such as Facebook and Lines.

11) The fortitude of the civil sector in the local – it is another thing reflecting the bargaining power and checks and balances between the political party and people. In fact, the power of people does not end on the Election Day. Therefore, seeing the importance of people network is similar to prioritizing participation and to drive the policy, which is responsive to their group needs. From fieldwork survey, the researcher finds that the local governments have civil networks such as women group,

children and youth groups or networks, the disable group, the elderly groups, the waste disposal groups, volunteer groups, city council, village forums. The political group accounts playing roles and very strong in political interference within the local is the KKMM (Khon Khaen Metro Municipality). It is influential to adhere to its policy particularly in driving major projects in the municipal areas in either solving the problems of traffic or organizing markets or organizing public parks or systematizing LRT, which is current on the process.

The fortitude of the civil sector affects its policymaking and policy application. In the past, the public sector has failed in its administration caused by non-interactive between people and the state. Therefore, the concept of active citizen is awakened and attracts scholars particularly scholars who want to check to what extent PB makes people influential and being empowered in decision-making on policy and are people satisfied or not with the services of the public sector (Herian, 2011; Miller and Evers, 2002). The fortitude of the civil sector is important to PB because people involve with the state since birth, administration process, and policymaking. Applying policy is to exchange opinions and needs to participate by the civil sector. This accounts the legitimacy of an administration.

Consequently, applying PB with the active citizen theory means being the ruler and the ruled, applying deliberation with consciousness and rationality and then the ability to contribute public gain achieves the practical possibility acceptable to be active citizen. Applying PB is turning individuals to be conscious of their own ability through developing practices called a community of knowledge. In this community, its members can accumulate their PB knowledge and the ability to change budgets to create common understanding about the situation, conditions and the end-results arisen from applying PB. In addition, there is a dimension of active citizen, which is the decisionmaking on PB with rationality and with possibility because it the matter of politics which is dissimilar with scientific knowledge due to its unstable content and changeable by situation or geographic context. It is necessary to understand with rationality and with possibility.

### **Limitations of Participation**

It accounts the critical barrier to unsmooth participation. Limitations come from many causes regardless being geographic context. From fieldwork survey

conducted with the Thai local government, the researcher finds that the MHSPAO has met with its geography leading to the restriction of participation because is the natural forest with steep mountains. These make transportations and travels difficult and people live in the remote wilderness. People are mountaineers with many tribes with their own language, beliefs, values, customs and cultures. Therefore, another limitation of participation is communication. Basically, to prepare PB, information provided and communication are forefront important. In addition, people participation challenges the administration of the political power persons and personnel because participation brings higher cost than normal. This is similar to the study of Hollie Russon Gilman (2012) on applying PB in New York and finds that a critical challenge is high cost and it is similar to KKMM interviewees saying that participation brings high cost, too.

However, the limitation of participation is not restricted within the cost only but there are limitations from participants because of their economic reasons and have to earn their living. Therefore, they unlikely have time to participate in every occasion. Besides the matter of time, there are matters of sacrifice and the consciousness of people for the common good, their understanding about democracy in depth, cognition of rights and duty of being citizens. All these affect participation. Consequently, applying PB brings tangibly material benefits for example better public service at the same time there are also intangible gains like mental benefits and intrinsic motivation. The study of Hollie Russon Gilman (2012) reveals that PB growingly contributes constructive or existentialist gains, (spirit of humanness or goal of humanness). The returns of the existentialist group include more knowledge of the citizens, solid relationship with the elected personnel and more networks in the community.

Therefore, applying PB in the Thai local governance requires elements to reinforce the success of people participation because they are the steps to move to PB. The research syntheses reveal that people participation in the budgeting process in abroad in order to improve the quality of public services and the quality of life particularly among the poor people; it maximizes gains for people in using the scarce resources. People participation comes from the political transition when the political leaders offer opportunity for people to participate in the local budgeting under the

pressure from the international organizations or the aids-provided countries. They demand to see the public sector organization is transparent and without patronage system and corruption line in the case of Kyrgyzstan and other countries in Africa and Latin America and so on.

### **7.3 Approaches in Applying Participatory Budgeting (PB) in the Thai Local Governance**

Approaches and drive of PB from literature reviews, research syntheses, fieldwork survey, recommendations from central administration personnel, and recommendations from specialist scholars, it is found that PB requires key players like the government, the local government, civil sector, business organizations and/or private sector, NGOs and CSOs (civic society organizations) with details as below.

**1) The Government** – the roles and the authority of the government promote and support the PB application through enact laws, regulations, and the ministerial announcement to have the principles and practices with clear models and common understanding in PB application. This is due to in the past; Thailand has imposed the decentralization policy with enforced laws and rules of law to be adhered to the set policy. However, there are no evident laws of PB and there is no key agency to host its drive. From the interviews conducted with the specialist scholars, the personnel in the Department of Local Administration Promotion and the personnel in the Office of Decentralization Commission and the literature reviews, there are relative data that the drive of PB requires enactment of clear laws to be as guide for practices and to be the rules for all parties to understand. Having laws, rules, regulations, institutionalization and policy, they have to offer opportunity for participation for example having Constitution enacting people participation in public affairs and so on (Alta Folscher, 2007: 182). In addition, there must be clarity and applicability on decentralization such as the roles of the public sector, responsibility and financial freedom. This is corresponded with the study of Goldfrank (2007) in surveying the preparation of PB in the Latin America countries and finds that factors reinforcing people participation in the budgeting process comprises of laws on preparing PB.

In addition, the study of Thippawan Lhorsuwanrat (2013) on participatory budgeting: lessons from foreign countries and the challenges for Thailand. There is also analysis on experiences of other countries applying PB, which would be beneficial to know the lessons of problems and tendency for applying in Thailand. It is a law endorsing PB. Though Brazil does not have the national law to endorse it, the Labor Party that initiates PB lists it in the Mayor Election Policy at the municipal level to be the driving force with its political ideology. It is corresponded with the principle of PB and most municipalities applying it have Mayors from the Labor Party. The city of Porte Alegre applies PB for 16 years and institutionalizes PB and it is hard to terminate even other political party administrates. However, under the Thai context, without laws or regulations to endorse PB, it will be unconditioned on enforcement. Therefore, having clear policy, laws and regulations enables the responsible agencies in each level easier to apply. Laws play the role of endorsement to apply PB and guarantee its consistency and sustainability particularly when there is political change.

However, being enforced by law to gain clarity and tangible practice but the laws could have been Constitution. From the case study on experiences from abroad conducted by Adrienne Shall (2007: 191-216) finds that citizen participation in Kenya is endorsed by law in policy making and decision-making on budget – the local government in Kenya is not enacted in its current Constitution but PB can reinforce people participation in exercise the state power under the Local Administration Act. Whereas in Mozambique, there is law for citizen participation in policymaking and decision-making on budget enacted in its Constitution and enacts decentralization and methods the municipality must take action. The Constitution enacts people participation is the national value for its local development. Laws and the local institution are enacted in the municipality law. With this law, the municipal meeting must create people participation, promote responsibility and improve the coordination between the central administration and the local administration.

**2) The Local Government** – the local leader accounts the conventional powerful person with trust and is elected by people according to the representative democracy. PB or the people participation may be successful only if the local leader or the conventional leader offers opportunity. From literature reviews, fieldwork survey, recommendations of scholars and specialists, they are corresponded with the factors making PB successful and that is formal and in formal political context. They affect

PB and that is the political party is the conventional power house which offers certain opportunity for people to participate and to what level is the patronage system because it hinders participation (Alta Folscher, 2007: 182).

From conducting interviews with scholars, specialists and the central administration personnel, they unanimously opine that the role of the local government in driving PB is specification of model and method to allow people to participate. The participatory process will be adjusted to meet the context and size of each area. The local government must understand the PB concept and unanimously agree to apply it, see its value and its importance. In addition, the local government is able to apply it to diverse goals either supporting politics or equally distributing the scarce resources or promoting public learning or promoting transparency in the local government itself (Wample, 2007: 40). Naturally, PB will be successful requires supports from the central administration and the local government because the central administration is the one that enact law while the local government is the PB applier. In such issue, it becomes the debate that the law enactor unlikely has any roles in policymaking on budgeting.

**3) Civil Sector** – it is another important factor for PB application because the civil sector accounts the stakeholder in applying the public sector policy. People are the important factor in developing every dimension particularly in the democratic societies. People must be active citizens who are conscious of their rights, duties, responsibility and attributes of the resource ownership existing in the local and owner of democracy. Democratic citizenship will become the important force in the local, social and national development. Applying PB requires key elements like people to participate in driving the budgeting process. Therefore, it is necessary to educate people. Thippawan Lhorsuwanrat (2013) advocates that it is necessary to prepare civil readiness through providing education and information related as India has social movement to ongoing create perception and awareness for societies. What should be learnt from India is maximize human resources such as inviting the elderly to be the keynote speakers to train people, preparing database for budgeting and simplify its jargons for common people to understand. This is to prepare readiness before the PB discussion and networking among groups such as scholars, local intellectual, artists and media. They could change intangible knowledge into the tangible one in order to better disseminate data, knowledge and messages for people.

As such, from literature reviews, fieldwork survey, recommendation from scholars and specialists; they are relevant. The success factors of PB are culture and citizen ability, free from discrimination of participation while offering opportunity and facilitating for participation (Alta Folscher, 2007: 182). If people are naïve of ability and clear understanding of roles and responsibility of all players related to PB even they have low education. It is similar with the study of Moore (2007) & Olowo (2002) on participation in South Africa and finds that factors affecting the efficiency of PB are educational level because it shares the important part to understand jargons and the budgeting process and the absence of good communication between the political leaders and the technicians. Therefore, absence of cognition and consciousness of PB because they are unable to access information and do not understand the local government process will be similar to the local council members and other local personnel who have no knowledge of budgetary planning and process. These will fail or be unlikely successful (Adrienne Shall, 2007: 216).

Therefore, people participation in PB practices is likely hard to happen because the public budgeting involves techniques, intrinsic complex and related to many types of public fund structures. They could be the critical barriers for people to access information or could unlikely participate in the meaningful decision-making. However, being the active citizen and democratic citizenship bring people skills to think and to deliberately express their opinions, knowing their right and duty, able to work with others, diligently sharing local working, including strictly adhered to the common gains, having devotion and faith in the local government, believing in equality and human dignity, adhering to the principle of peace and order because different opinions or conflict of interest might lead to local schism.

**4) Business sector organization and/or private sector** being the tax payer can promote and support the rise of the participatory budgeting because it help promote transparency and alleviate corruption. Business sector organization and/or private sector benefits from the participatory budgeting since taxes have been efficiently spent which leads to grater healthy local finance (Wampler, 2007: 43).

**5) The NGOs (non-government organizations)** craft the participatory budgeting as a mechanism dependent on the NGOs in collaborating with the citizen and the government in order to crack down the most emergent social problem. Some municipalities can deploy the NGOs to directly play a role in the project. They might

handle the duties of the mediators between the government and the roundtable attendants. Upon being the direct players in this process; the NGOs inclines to promote the latency of people and the transparency of the government (Wampler, 2000: 20). In addition, the NGOs can handle the duties of advisors to support the project collaborators and design the participatory budgeting including the tendency of empowerment because most NGOs are equipped with technical skills and better governance than people who collaborate in the projects.

**6) The civil societies organizations (CSOs)** indirectly share in the drive of the participatory budgeting. The mobility of the civil societies lead to strength, power of negotiation and to be the policy catalyst in the locality in order to solve the problems and the troubles of the local. The spur to rise the participatory budgeting offers the civil societies opportunity to build more social and political networks of supporters (Wampler, 2007: 42).

Applying PB knowledge with the Thai local governance by beginning from offering opportunity for people to participate is imposed by the decentralization policy from the central administration. Missions have been transferred to the local government and increases the local government more missions with authority. However, Decentralization would have high efficiency when people have opportunity to participate in decision-making on policy and projects organizing the local public services. In addition, it offers people opportunity to participate in politics at their own local community according to the principles of autonomy by their intention in democracy. Therefore, applying PB is another critical tool to create democracy innovation and to reinforce the grassroots civic fortitude.

#### **7.4 Applying Participatory Budgeting (PB) Knowledge with the Thai Local Governance**

Its application requires understanding its concept through exploring the direct democracy-based theory because PB displays direct democracy through budgeting. It offers majority of people opportunity to learn how the government works and it is the exchange of opinions, debates and persuading the public resource distribution. It is the tool to investigate the creation of engagement and empowerment

for people and to more fortify the good governance (Shah, 2007: 1). The second concept is the deliberative democracy which offers people their rights, their freedom and their equality which enables them to access the decision-making process on policy with the representatives who exercise the state power. Both parties exchange opinions with rationality acceptable by all and common people can understand in order to lead to the most appropriate conclusion for societies (Amy Gutmann and Dennis Thompson (2004: 7). This is because PB is a deliberative affairs based on rational decision-making. Applying PB is an attempt to draw data from people who encounter problems and need to solve them through common examination. Therefore, deliberation is the good exit for the public activity investment (Fung and Wright, 2002: 5). Another concept is the active citizenship. Citizens are the important mechanism to design policy and its application. The local executive should be more conscious of the importance of civil sector because they are the solid force to lead the local government, agencies and the country to achieve goals with pride. Applying active citizenship concept with PB awareness is the need to reflect the importance of citizens who are enthusiastic to play their roles in decision-making in order to gain public services serving their needs (Halverson (2003); Kweit and Kweit (1987); Zanetti (1998).

From the research synthesis, it is found that PB provide 7 cost effectiveness in economy to the Thai local governance. 1) It is the local forum with the purpose of meeting on providing data, presenting the previous year projects, proposing current budget and explain the PB process. 2) Each village/community forum is organized in order to seek deliberative, to express opinions, to propose projects and to select representative for the supervisory committee. 3) It is the PB council meeting in order to prioritize projects and budgets while voting for the complete projects. 4) It is the Mayor's council meeting in order to structure budgets under the advices of the PB council and to structure the non PB projects. 5) It is the local council meeting on considering budgets and PB projects and to discuss to finalize the budgets. 6) It is the construction and supervision of projects in order to trail the progress of the project, the responsibility of the project appliers and the performance of the project. 7) It is the trailing and evaluating the project performance in order to know the achievement, problems and barriers and the transparency of running the project.

From the research synthesis and literature reviews, it is found that if applying PB with the Thai local governance; it is expected to contribute the following benefits. 1) It founds the grassroots democracy, which offers the majority of people opportunity to learn how the government works and to exchange opinions, debates and to persuade the public resource distribution while being the tool to investigate the engagement and empowerment for people. 2) It promote good governance, which allows people at all levels to participate in order to rise transparency. 3) It is to alleviate the democratic deficit on accessing information while enabling to propose needs all the time, protecting benefits of all parties and crating transparency in working. 4) It is to enhance social capital to create confidence, trust, affection, faith, bond, unity and duty for people. 5) It supports active citizenship concept through crating consciousness on rights and duty for people. 6) It creates democracy innovation, deliberative innovation, new things, and new projects in order to bring wellbeing to the local people. 7) It is to alleviate inequality but offers the poor people and the marginalized persons opportunity to play their roles in proposing their needs through budgeting process. 8) It is to improve public services as of the government agencies are always watched and checked; so they need improvements on quality and public service delivery. 9) It is to promote wellbeing with having better quality of life such as having health clinic. 10) It is to solve the environment problems such as global warming, greenhouse effect by encouraging people to propose projects or exits to solve such problems. 11) It creates consciousness among people - understanding about their rights and sense of duty as citizens and the sense of ownership on the local resources.

Finally, with the processes and the approaches and the approaches to apply PB as mentioned above; to be successful, it requires elements to reinforce the success of people participation either being rules or laws enacted by the central administration and offering opportunity by the conventional local leaders. Consciousness on their rights and duty and upon receiving benefits, people will feel the sense of ownership on the local resources, which are coming from their participation. However, offering such opportunities including having diverse channels for participation to enable people to fully access information, ability to express opinions and freely propose problems and needs without coercion or without deception; they reflect the fortitude of their networks, which enable people their bargaining power.

## **CHAPTER VIII**

### **CONCLUSIONS AND RECOMMENDATIONS**

The objectives of the study of “Participatory Budgeting Concept Applied in the Thai Local Governance” are 1) To synthesize the knowledge premises of the participatory budgeting, 2) to investigate elements reinforcing the success of people participation in the participatory budgeting of the Thai local government organization, and 3) to recommend approaches implementing the concept of the participatory budgeting in the Thai local governance. This study has employed qualitative research. Its data collection was Meta synthesis from 15 researches, theses, and dissertations of various universities and the e-database of Mahidol University, it was to synthesize PB knowledge conditions to respond to the first objective and field research through in-depth interview, focus group and non-participatory observations conducted with five local administration organizations awarded with local good governance by the King Prajadhipok’s Institute. This is to recognize the elements reinforcing the success of people participation in response to the second objective. In addition, scholars and personnel from the central administration have been interviewed to seek recommendations and approaches to applying PB with the Thai local governance which responded to the third objective. This Chapter will conclude the research results, offer recommendations on policy, recommendations for application and recommendations for further studies.

#### **8.1 Knowledge condition of participatory budgeting (PB)**

**8.1.1 The fundamental concept of participatory budgeting (PB)** – from the research synthesis, it could be concluded that, it is founded on at least three theories, i.e. first, it is the direct democracy theory. This theory contributes core fundamental rights on decision-making on the political issues or the public issues by

citizens and under the principle of the belief on citizen sovereignty and people own their sovereignty. Direct democracy is the use of sovereignty by people in enacting laws, rules, regulations and exercising their power in proceeding judgment. Therefore, decision-making by people on PB without representatives is to relying on the principle of thinking of direct democracy. Another concept is deliberative democracy as its fundamental thought postulates that it is the process of deliberative and the problem of resource distribution which create conflict of interest. They could be solved through compromise, deliberative but they must be founded on rationality. Therefore, PB is also founded on deliberative thinking. Allowing people to present their problems, complaints and needs; they deserve discussion to be data for further decision-making on budgets. Finally, PB is significantly founded on active citizenship theory because activeness leads to participation with regards to the engagement of collaboration, collective checking and collective receiving gains.

**8.1.2 Participatory budgeting knowledge** – it is found from the research synthesis that the qualitative investigation is mostly employed for PB and in-depth interview is the most popular methodology for data collection followed by documentary research and secondary data. Most objectives of PB are to estimate the success of PB application and the approach to apply PB in other countries outside Brazil where PB has its birth. Synthesis shows that PB applied in various countries are met with both success and failure. However, it is found that PB serves the Thai context, had it been supported and catalyzed by the agencies involved.

### **8.1.3 Successes in PB application**

PB can increase social capital through providing public products and their improvements. Its process can continuously increase social capital through trust and create new innovations, non-coercive participation, bring wellbeing in sanitation and other infrastructures. Another successes PB contributes are solving global warming and problems of environments accounted growing deadly. Applying this technical concept, it encourages people to play their roles of decision-making to solve such problems. In addition, the leading goals of the Brazilian PB are to solve poverty and social inequality and it can do in many countries upon their applications.

As above, they are the materialist or empirical successes, which cannot be calculated in figures or intangible. They are the public perception for participation, pride in using PB, growing more depth in understanding democracy and righteous relationship of networking. The good attributes of each individual authenticate their internal networking. PB links each one together until the rise of social capital and bridged to citizenship participation in mega projects under democracy. In addition, people become enthusiastic, cultivate sense of civic virtues in the course of democracy without just restricting their interest for the common good and justice but also patience and generous to other different perspectives. PB brings trust among people or between people and the political parties or officers. PB brings willingness to participate in deliberative affairs, hearing, respecting rule of law and the rights of other persons.

#### **8.1.4 Failures of PB application**

PB applications might however fail in many areas. The causes could come from many sources particularly from the leaders of application. For example, the methods of PB process are just involved with the technical officers only who play the key positions while PB mechanism care not adapted to meet the local environments, the local values and the local social norms. Therefore, common people do not involve in the public resource distribution. People involvement is restricted only in the step of preparation. In addition, factors bringing PB failures are the population attributes, the political structure, the political distraction, the political will and even its process or its structure. Failures could be found with unclear and intangibly immeasurable performances.

#### **8.1.5 Recommendations of PB applications**

Synthesizing recommendations from this research, it is found that if PB would be applied, it had to be adapted to meet each country context because each country has different political, economic and social structure including its population attribute. Consequently, to apply PB, it is necessary to appropriately prepare the environments, design the process facilitating the participation, create new innovations, goal-focused, and outcomes-focused from the people participation on budgeting. The collaborative decision-making on budget with the large amount of money for the

participants to feel the sense of PB involvement, it is necessary to organize deliberative affairs with aggressive policy for greater participation because they have to be responsible for its performance. Transparency is imperative with PB. This transparency must be legitimate and participation must not be under coercion but facilitation to arrive at meeting and deliberative affairs with freedom. Researchers provide recommendations within the same direction and those are PB training and developing training program for all to recognize the existing rules and regulations while knowing PB more. This is to enable people involved evaluate performance rightfully.

### **8.1.6 PB process**

PB process contain four important procedures, i.e 1) brainstorming idea of the community people to propose their problems and needs, 2) developing proposals for justification and deserve prioritization, 3) Voting to select critical and urgent proposals with appropriate budgeting, and 4) Applying the fund wining project with checking and trailing its performance by civic sector.

With the critical principles above and when PB process is improved to meet the context of the Thai local governance; the researcher finds 7 procedures, i.e. 1) it is the overall forum in the local in order to disseminate data, to propose the projects of the previous year, to present the current budget and to demand explanation of PB. 2) It is the forum in each village or community to deliberate, to opine, to present projects and to select representatives for the supervisory committee. 3) It is the PB Council meeting to prioritize projects and budgets, to vote for the complete project attended by the residents of Thai local governance, the state officers and selecting the PB representatives. 4) It is the Mayor's Offices meeting to structure budget advised by the PB council along with the projects not using PB. 5) It is the local council meeting to deliberate budgets and projects, which use PB, in order to discuss and to finalize budget issues. 6) It involves the project constructions and supervision to recognize their progress, responsibility and adherence to the projects. 7) It involves the meeting to trail and evaluate performance of the projects in order to recognize success, problems, barriers and transparency.

### **8.1.7 PB benefactions**

Findings from research synthesis and literature reviews reveal PB benefactions from abroad applying PB that it is relying on the goals of the persons involved to address what kind of the problems. PB benefactions are helping to reinforce the grassroots democracy, which offers people opportunity of direct involvement in decision-making to spend budgets and the state functioning. PB reinforces good governance on transparency, participation, responsibility, cost effectiveness, and rule of law. PB can also solve democratic deficit in terms of information deficit, transparency, needs and performance of imposing policy under multitude involvers.

In addition, PB also reinforces social capital and civil network which link people in societies together to arrive at social capital. PB promotes active citizen who is conscious of his/her own citizenship, rights and duties. PB helps reinforce creating innovation or new projects with more legitimacy, fairness and transparency. It helps alleviate inequality of rights and liberty particularly among the poor people for their participation. It also improves the public service delivery, people wellbeing, solve environmental problem such as global warming, greenhouse effect. Finally, PB breeds consciousness among people and brings them sense of civic virtues according democracy and knowing how the government works. The grassroots democracy witnesses values and the importance of their own humanness while being patient to hear other contradictory opinions, and being generous to other perspectives. These are the distinctive civil qualification facilitating the success of applying PB.

## **8.2 Elements Reinforcing the Success of People Participation**

From research synthesis, literature reviews and field work survey through in-depth interview, focus group and non-participatory observation, it is concluded that elements reinforcing the people participation success involve geographic context such as being the area of the poor people, inconvenient transpiration, wilderness without adequately good infrastructure of public utility for livelihood, being the arid areas, and being flooded area. These hardships are primarily unavoidable elements and a component to coerce people to participate in order to drive problem-solving. In

addition the population attributes are other factors drawing people to participate, for example, educational level, socialization-favored and consciousness of their own rights and duties.

Besides geographical context and population, there are other factors facilitating people participation success, i.e. 1) opportunity offered by law, the local elected leaders and the conventional authorities. 2) It is the sense of common belonging/ownership to propose problems, opinions and part of the local resource distribution. 3) It involves the civil ability to check various local projects to recognize their justification and transparency. 4) It is the adherence on good governance of the local government which attract people participation on activities unrelated to the security affairs. 5) It needs public relations and providing them to people or there must be channels for people to involve in opining with freedom. 6) People feel reliability, confidence, trust and faith in the administration of the local government and witness the importance of its existence. 7) People gain benefits from their participation and the ability to directly respond to the problems or the needs of people. 8) It is to provide multiple forums and channels of people to access information and to express their opinion, propose problems and needs or claims such as village forums, civic forums, websites, and online media including aggressive approach by arranging mobile public relation services and meeting people in the responsible areas. 9) The fortitude of the civil sector in the local – it leads to network to organize various local activities or there is bargaining, claim and propose opinion through their representatives or the group leaders with continuity and without coercion.

However, the conclusions from the focus group and the non-participatory observation are people participation is unlikely perfect because there are limitations such as inconvenient transpiration, disability, poor skills of communication, disability to access information, preoccupation on earning living, not having consciousness of rights and duties, and short of sacrifice. In addition, the local government is poor in the aggressive public relation with multiple channels. This might come from restrictions on budget and personnel because offering people opportunity to participate demand higher costs, time spending and patience to the contradictory opinion of the participants.

### **8.3 Approaches of Applying Participatory Budgeting (PB) with the Thai Local Governance**

It is concluded from the study that there are four procedures. First, it needs to explore and understand the PB knowledge to find its lessons and experiences of its applications around the world while it is necessary to adjust PB to meet the Thai local governance. Second, it is the fieldwork survey and data collection on elements reinforcing the people participation success. Third, in-depth interviews, exploring overall PB context and feasibility are conducted while recommendations from the personnel from the central administration and supports and promotion of the local governance including recommendations from the perspectives of the local governance specialist on PB. Fourth, it is to propose the approach to apply PB in the Thai local governance.

Consequently, applying PB with the Thai local governance requires main players like the government, the local government, civil sector business or private sector, NGOs and CSOs. **1) The government** – the roles and authority of the government are promoting and supporting PB application by enacting laws, rules and ministerial announcement to be the principle and practice clearly modeled and with common understanding for its application. The government agencies involved like Ministry of Interior and Bureau of Budget have to agree and finally catalyze it into law. Using PB requires integrated mechanism of many agencies related in order to bring unity and reduce repetitive works. **2) The local government** – it has to understand PB concept and consent to apply it, to witness its values and its importance. In addition, the local government has to facilitate and supervise the method of people participation without coercion or mandate. Though PB and people participation are successful in other aspects, the local leaders have to offer people opportunity to participate. **3) Civil sector** – people must have motivation, witness benefit and importance of the concept and participation because if we have common needs; it leads to synergy and people will be conscious of their rights and duties of their participation while adhering to laws. Therefore, cognition is the right way of the concept and to what extent people want to participate, whether they want to participate or not. They need deliberation. **4) The business/private sector** – It help driving PB as taxpayers to promote transparency and reduce corruption and tax spent with

efficiency. **5) NGOs** – they become the intermediary between the local government and people and might be the compromisers between the public sectors or participants, and promote civil latency and transparency of the local government. **6) CSOs** – they share the part in catalyzing to start PB which allows them opportunity to build networks with growing number of social and political supporters. Civic network offers fortitude, bargaining power and drive policy to begin in the locality in order to solve problems and troubles of the local people.

## **8.4 Recommendations on Policy**

The results of the study of “Implementation of the Concept of Participatory Budgeting (PB) in the Thai Local Governance” and their conclusions bring recommendations for policy as follows:

8.4.1 This study reveals that applying PB in the Thai local governance requires major players - the government, the local government, business/private sector, NGOs and CSOs. As of the government, its roles and authority of the government are promoting and supporting PB application by enacting laws, rules and ministerial announcement to be the principle and practice clearly modeled and with common understanding for its application. The government agencies involved like Ministry of Interior and Bureau of Budget have to agree and finally catalyze it into law. Using PB requires integrated mechanism of many agencies related in order to bring unity and reduce repetitive works. In its application, the government should enact laws or policy with clear procedures in order to arrive at functional framework with the same direction. It creates common understanding and endorses people participation in the PB process and its application will be corresponded with the decentralization policy where the central administration decentralize its missions to the local government. It is also corresponded with the national reforms demanded the rise of the civil politics, to reinforce grassroots democracy through civil empowerment in decision-making on budget which is originally decided by the government.

8.4.2 This study discloses that in the local government context, there are many factors reinforcing PB application success from many investigated agencies. They are corresponded with PB in many countries gained from syntheses. Factors reinforced PB

application with the Thai local governance are 1) parties involved witness PB values and benefits, 2) geographic context and population attributes, 3) offering opportunity by laws and local leaders, 4) civil fortitude and civil network, 5) having multiple channels and ability to access and recognize information, 6) general environments of politics, economy, social, customs and culture in the local context, 7) clarity of decentralization policy, and 8) civil voices are heard from the public sector.

Therefore the PB catalyst existing in the local government, Department of Local Administration Promotion: Ministry of Interior can deploy these factors to promote and drive PB by demanding it as the PB plan to avail all the local government to apply. To promote the local government to apply PB; the agencies involved with awarding the local government on good governance like the Office of the Prime Minister or award from the King Prajadhipok's Institute **should set criteria of participatory budgeting award** with regulations or to reward the successful local government in applying PB in order to be the spiritual supports for people and the local personnel and it shall being another way promote the good image of the local government.

8.4.3 This study reveals that PB process is corresponded with the local development and the annual fiscal budget plan of the Thai local governance and contains 7 procedures, 1) the overall forum in the local in order to disseminate data, 2) the forum in each village or community to deliberate, 3) the PB Council meeting to prioritize projects and budgets, 4) the Mayor's Offices meeting to structure budget, 5) the local council meeting to deliberate budgets and PB projects, 6) the project constructions and supervision of the projects, and 7) meeting to trail and evaluate the success of the projects. Consequently, the local government can apply these seven procedures which could be in the model of **One Local Government One PB** as the pilot project and experimentation. Upon gaining positive result, then it can be expanded to other projects. In addition, **the PB committee or council** to coordinate and educate persons involved.

## 8.5 Recommendations for Practices

The results of the study of “Implementation of the Concept of Participatory Budgeting (PB) in the Thai Local Governance” can be concluded with recommendation for practices worth the local government and stakeholders as below.

8.5.1 This research finds that the important factors reinforcing people participation in the Thai local governance are 1) geographical context and population attributes, 2) opportunity offered by law, the local elected leaders, 3) sense of common belonging/ownership, 4) the civil ability to check, 5) good governance of the local government, 6) public relations and providing them to people, 7) people feel reliability, confidence, trust and faith in the administration of the local government, 8) It is to provide multiple forums and channels of people to access information, 9) The fortitude of the civil sector in civic sector. Applying PB should be in area-based budgeting (ABB) – be it by readiness of each area and the local people because the models of the Thai local governance are diverse with different size, latency and each area owns different important factors reinforcing PB. Therefore, each local government should have its own method and practice to apply PB by its context and participatory process of each area.

8.5.2 This study finds that the challenges to PB success in the Thai local governance are **1) the central government** – factors from the central government will be the barriers in applying PB. That is there is no clear financial decentralization policy. It proves that in the past the Thai rural areas have not been distributed with 35% of the budget as in the enactment. **2) The local government** - budget distribution requires model and clear methodology; if the local government personnel have no cognition, then it will be difficult to proceed. **3) The people** - those who are short of enthusiasm for participation, short of consciousness to realize their rights and duty or problems and barriers from transportation, pay unimportance to participation because preoccupying in earning their living. **4) Participatory budgeting** - the study shows that PB has no clear and tangible assessment criteria, and too many meetings; these might affect time frame and expenses if it were applied.

Therefore, applying PB has to be started with clarity of decentralization particularly financial power. The local government needs to create model and methods to mechanize people to participate by its own context, readiness and latency. As of the

people, they need to have the spirit of participation, consciousness of their citizenship rights and duty and readiness to be enthusiastic citizen. As of PB, it is necessary to clearly and tangibly specify the measurement index while having many ways for participation such as e-participatory budgeting and so on.

## **8.6 Recommendations for Further Study**

8.6.1 PB is successful in Porto Alegre, Brazil but it is not officially applied in Thailand. Therefore, next research should be a participatory action research (PAR) to enable to authentically access problems and needs of applying PB with the local government and the local people where the local people synergize their brainstorming, collaboration, collective decision-making and collectively receiving gains from PB which will create the learning process of people coupled with the learning of the local government.

8.6.2 The next researches should include quantitative methodology to gain the overview of the process and or the level of people participation in the local government and there should be researches conducted with the unrewarded local governments in order to recognize the people participation and to compare them with the rewarded local governments. Then finally, the results would be the lessons learned for the unsuccessful local governments on their people participation.

8.6.3 Preparing PB is an area-based budgeting which significantly emphasizes hearing the voice and the problems of people and enables to integrate working of many agencies. Therefore, next researches should investigate possibility in preparing PB in other state agencies which are not the local government and might be the agencies of either provincial level or the departmental level with latency with better administration than the local ones.

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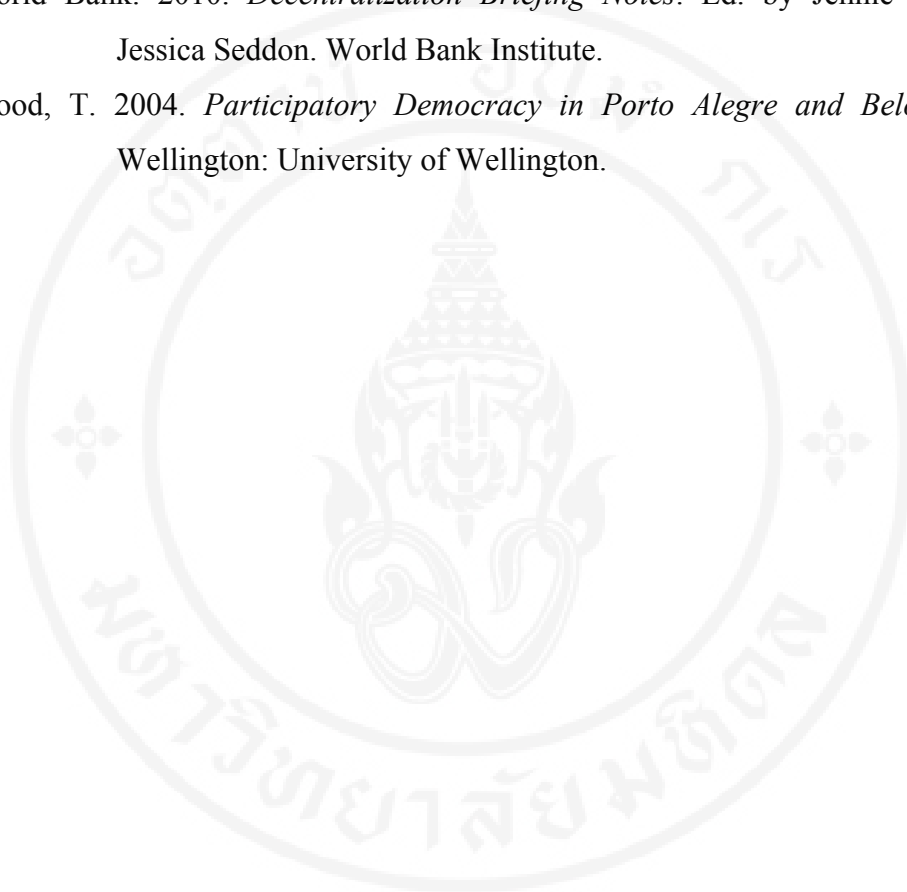
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**APPENDIX**

### SEMI-STRUCTURED INTERVIEW

#### Questions on participatory budgeting applied in the Thai local governance

1) How does the financial decentralization policy affect the budgets of the local administration organizations?

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2) In what process and procedure can people participate? And how can they do?

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3) How can people have opportunity / should have opportunity to present their problems, needs, claims, and other opinions in the local government process?

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4) How can the local people participate in decision-making on budget approval and budget execution?

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6) How does people participation in the local government PB affect the policymaking of the local government?

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7) How should her be mechanization or instrumentation to facilitate PB in the local government?

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8) How should political institution and the local finance be restructured so that the population voice will be important in the local government budgeting?

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9) What are the elements reinforcing PB to happen in the Thai local governance?

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10) What should be the cost effectiveness of the PB process and procedures for the Thai local governance?

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**BIOGRAHPY**

|                            |   |
|----------------------------|---|
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