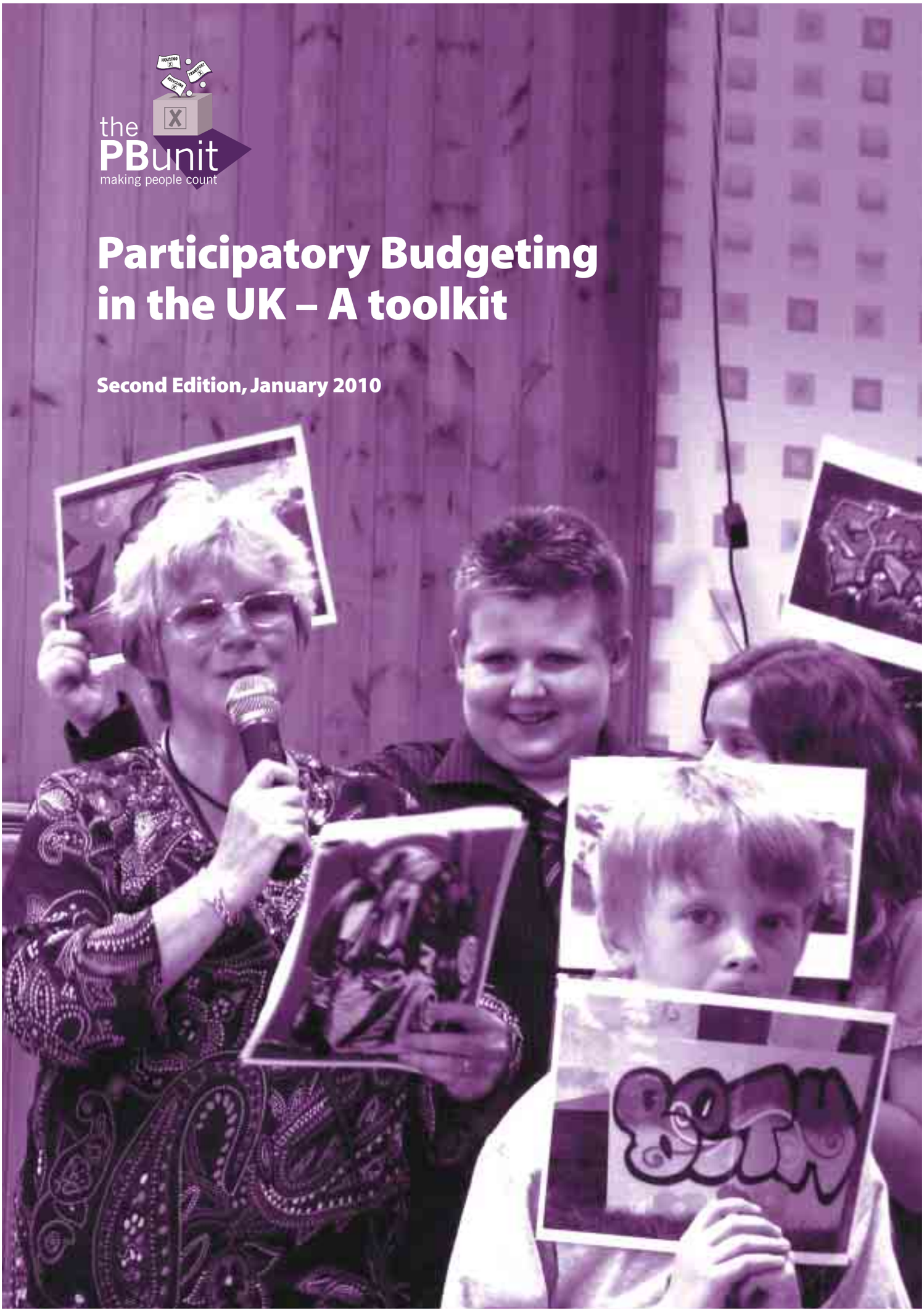
the PBunit
making people count

Participatory Budgeting in the UK – A toolkit

Second Edition, January 2010



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Introduction to the Toolkit

"Every time I scan the toolkit as an aide memoire or help others to use it, I think to write and tell you how valuable it is…so here's five cheers for the toolkit. There are, strangely, relatively few resources to help newcomers into the process, and this is the best of them."

Leslie Silverlock, PB Associate

This is the second edition of the PB toolkit. The first was produced in May 2008. Since then, there have been significant developments in PB in the UK, and we felt there was a need for an updated toolkit.

The toolkit is set out into three sections. Section A provides the background and context for PB in the UK, similar to the original toolkit, and includes chapters such as 'what is participatory budgeting', 'the challenges of participatory budgeting', and 'the models of participatory budgeting'.

Section B is the process matrices and case studies. Each stage in the process has a matrix to enable initiatives to chart their progress against best practice. The case studies provide real examples of how best practice can be achieved for each stage.

Section C is the tools. The majority of the tools are either generic for any type of PB model or are focussed on the small grants process. Whilst we appreciate that there are growing number of initiatives looking at more strategic models for PB, currently the tools are not available. However, we have provided some tools and 'think pieces' at the end of the toolkit to help those considering a more strategic approach.

There will also be an online version of the toolkit, which is more than a downloadable file (although this will also be available on our website). Both the paper and the online toolkit versions have their advantages and disadvantages. The paper version is easy to use and photocopy for other members but can become out of date quickly, particularly with the speed of development and innovation in PB. The online version is easily updateable – information can be added and removed easily and kept relevant, however, the pages have to be searched for, downloaded, and printed off for sharing.

We suggest you use whichever version suits you best, or a combination of the two.

If you would like further information or support for a PB project, please contact us and we'll be happy to help in any way we can.

1. What is Participatory Budgeting?

The official definition is:

"PB directly involves local people in making decisions on the spending priorities for a defined public budget. This means engaging residents and community groups, representative of all parts of the community, to discuss spending priorities, make spending proposals and vote on them."

Put simply, PB empowers local people to play a key role in deciding how public money is spent on projects and services in their neighbourhoods. In practice, this can range from funding community and voluntary groups to deliver projects of local value to allowing residents to shape what and how mainstream services are delivered in their areas. The amounts of money involved can be anything from hundreds to many millions of pounds.

For PB to be really effective it needs to be a repeated process rather than a one-off pilot. Through each cycle the process is refined and improved to best serve the particular local area, and thus is it a learning process as well.

PB originated in Brazil in the 1980s but has spread rapidly around the world. Examples include social housing budgets in Toronto, Canada; schools budgets in Poitou-Charentes, France; in Ghana and India to reduce corruption and increase government transparency; in Berlin which has adopted methods that include PB online; and it's now spreading in the UK.

How has it developed in the UK?

Salford City Council was the first local authority to express an interest in PB as early as 2000, but it was 2007 before the first twelve pilot projects were formally announced by the Secretary of State for Local Government. There are now more than 75 areas in which PB initiatives have been, or are being, implemented in England, with more in Wales and Scotland. It is estimated that local people have decided how an amount of money in excess of £20M should be spent on services and projects ranging from street dance workshops in Stockton to additional neighbourhood police officers in Tower Hamlets, from an anti-bullying programme in Southampton to a school gardening project in St Asaph.

PB isn't limited to local authority budgets. Projects have been implemented with funding from Primary Care Trusts, Police Authorities, central government departments, New Deal for Communities, Local strategic Partnerships, housing associations, town and parish councils and schools.

What are the benefits of PB?

1. Strengthening and renewing democracy

PB builds relationships between residents, councillors and officers; providing a greater role for councillors as community leaders and demonstrating a willingness for transparency and accountability to their electorate. This in turn develops mutual trust.

"I don't see it (PB) as a threat. I see it as a real help. I think it enables us all to make better decisions. I don't think everything has to be done simply by those that have been formally elected. I think that helps renew democracy"

John Shipley, Leader of Newcastle City Council

2. Building stronger communities and empowering people

By involving people in making decisions on money, communities come together and individuals meet others from their community, sometimes for the first time. This has had the effect of fostering community cohesion. If people are enabled to vote on how to spend some money, they feel more empowered to go on and do other positive actions, feel more respected by the local public sector and councillors and feel greater ownership of their area and the projects they voted for.

"It's about the community coming together as one. Everyone has an equal opportunity to say how the money will be spent."

Scarborough resident and PB participant

3. Improving services

By involving local people in deciding what public services they need and want in their local area, services can be more responsive and targeted to local need. Residents are often best placed to know what their area needs. This can bring greater efficiencies and develop a sense of shared responsibility between the service providers/commissioners and the residents, for the area.

In a time of financial restraint and tough budget choices, PB can also be used to prioritise budgets and target resources more effectively at key services. Involving the community in prioritising resources not only gives them greater understanding of the financial situation, but enables them to be part of the solution.

"I approached this as a local officer would, who thought I was in charge and I knew best. I was very firmly told by the residents that I wasn't in charge and I didn't know best – and they were absolutely right."

Stuart Pudney, Deputy Chief Executive, North Yorkshire Police Authority

1. Securing stakeholder buy-in

Getting buy-in from the various people involved is crucial. Without their commitment to the project, it's likely to fail. Some will be easier to convince than others. Sometimes having a key figure 'champion' of the project can help in convincing others. Stakeholder groups to consider getting involved include:

- Senior managers
- Officers from front line services who would be involved in delivering successful projects
- Councillors
- Partner organisations
- Community activists and leaders
- Community groups
- Community development workers
- Networks that engage with 'hard to reach' groups



Voice your choice, Eastfiled

Good practice matrix:
Securing stakeholder buy-in

	Identifying Key champions	Converting the sceptics	Building consensus
Best practice standards	Many champions actively promoting PB. Project is large scale, with significant budgets and widespread awareness beyond the area (possibly nationally).	The majority of the sceptics are converted or silenced and the majority are now listening to the PB champions and involved in spreading awareness.	Widespread consensus is reached, the project has broad appeal at least across the area and probably beyond.
	A few key champions identified, at least 1 with sufficient interest for the project to be of medium scale and reasonably widespread awareness across the area.	A few key sceptics are converted and others pacified. The majority no longer listen to the sceptics and are open to the project.	Consensus is fairly broad and sufficient to give the project a profile locally.
Minimum standards	1 or 2 key champions identified, however they have little influence and the project is small scale with only very local awareness.	Some sceptics are converted or pacified and their voices are less heard by the majority although buy-in is still low.	Some level of consensus is achieved but is insufficient to give the project any kind of profile.
On the fringes of PB	No key champions are identified – project struggles to get off the ground.	Sceptics remain unconvinced and their voices are listened to by the majority. Project struggles to get any significant buy-in.	Any level of consensus remains unachieved and there is general unawareness or confusion about the project.

Stakeholder buy-in case study: Voice Your Choice in Eastfield, Scarborough

Residents of Eastfield voted on how £32,000 should be spent on projects addressing crime and community safety issues.As well as local people voting for projects at the 'Decision Day' in June 2009, residents played a key role in the design and delivery of the process.This is a great example of a locally owned, 'resident led' participatory budgeting (PB) exercise, and of genuine partnership working between residents, elected members and officers.

This is a great example of genuine partnership working between residents, elected members and officers.

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

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

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

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

Two immediate responses were

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

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

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

The group then went on to plan and deliver the process effectively.
Other examples of local ownership included:

- Asking pupils from local schools to design logos/publicity materials
- Residents volunteering for key 'professional' tasks eg design and running of computerised voting system, providing on site catering facilities
- Outreach to the wider community – over half of the voters who completed evaluation forms said this was the first community event of any type they had attended

In addition to a core group of 5 to 6 residents involved throughout the process, and over 100 other local people involved in voting, publicity, project support. The key statutory partners were North Yorkshire Police Authority, Scarborough Borough Council, North Yorkshire County Council plus elected members from all tiers.

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

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

The project demonstrated the benefits of creating an environment where residents feel valued, listened to, and in control.

What is your proposal?

How will it improve community safety?

What involvement would there be from local people/ community groups?

There are three pots of cash up for grabs, £3000, £7000, £10,000. Please indicate how much you think it will cost for us to help solve your safety issues by ticking one of the three amounts.

☐ £3000 ☐ £7000 ☐ £10000

Please return to: 198 Claybank St, Heywood, OL10 4TL
For any further information please call on 01706 691040
Or email: heywoodsyoungspirit@live.co.uk

ROCHDALE METROPOLITAN BOROUGH COUNCIL

catch 22

Feel Safe in Heywood

How should you spend £20,000 on improving community safety in your area? You decide!



Give us your ideas and make a difference in your area



For details on how to get your hands on some of the cash see inside

Have your say

We think it's important that everyone living in Heywood is safe and feels safe. We want to work with you to tackle the negative effects of crime and disorder in your local community.

Neighbourhood policing teams, together with your local council, are working to address local concerns such as antisocial behaviour, criminal damage and burglary.

£20,000 can make a real difference in your area, helping to make people feel happier, more secure and safe. We are asking local people, community groups, schools, businesses, youth groups, friends and neighbours to come up with ideas of how the money can be spent to improve the safety of local people. Even better, local people will decide which projects receive funding and will get to vote for the ones they think will benefit the community the most.

There are three pots of cash up for grabs; £3000, £7000 and £10,000. You can bid for a portion of the money; we are open to suggestions so over to you!

All entries will be checked to ensure they are suitable and applicants will then be invited to the 'Feel safe in Heywood' event at 2pm Saturday 28 March at St James Church, Heywood; where a host of members from a wide range of community and voluntary groups in Heywood will cast the deciding votes.

Be quick – applications must be returned by Friday 20 March 2009. Complete the application form on the opposite page NOW.



Application Form

First name: Surname:

Address:

Postcode:

Tel no: Email:

Are you representing a group?

- ☐ Yes (please state name of group)
- ☐ No

What is your community safety issue?

Who and where does it affect?

Tool P: **Acorns ballot paper (outside)**

FREEPOST RLUH-LCZK-KKYH
Ballot c/o Democratic Services (RAM/LB)
Legal and Democratic Services
North Lincolnshire Council
Pittwood House
Scunthorpe
DN16 1AB

BALLOT PAPER

HAVE YOUR SAY IN...

acorns
Your Voice
Your Choice



RIDDINGS - WESTCLIFF - MANOR FARM - RIDDINGS - WESTCLIFF - MANOR FAR

Use your vote!
Have your say on how £20,000 of community safety money is spent in the Acorns and enter a free draw to win a £100 shopping spree
March 18 – 30, 2009
Acorns Neighbourhood Management (01724) 749076

Tool P: **Acorns ballot paper (inside)**

MOISTEN HERE

MOISTEN HERE

FOLD HERE

MOISTEN HERE

FOLD HERE

Your Voice Your Choice X

You can decide how £20,000 is spent in your neighbourhood. Each project is worth £5,000. Decide which 4 projects will be of most benefit to your community and mark them with an X.

All residents aged 18 years and over who live in the Westcliff, Riddings and Manor Farm areas are entitled to vote. Additional ballot papers can be obtained by contacting Acorns on (01724) 749076 and we will send one out to you, or come to one of the consultation road shows listed in your newsletter.

Making your choice

- Read about all these projects in your Acorns Your Voice Your Choice newsletter
- Speak to any of the projects directly by using their contact details in the newsletter and ask your questions
- Come along to any of the consultation road shows listed in your newsletter for more information

How to vote

- Put an X in four boxes alongside the projects you want. You must not vote for more than four projects or your ballot paper will be spoilt and your vote will not count.
- To make sure your vote is valid and counted you must enter your name and address and signature.

Enter your vote

- By FREEPOST – seal this ballot paper and pop it in the post **(no stamp required)**. Ballot papers must arrive by 12 noon on Monday March 30th when the ballot closes.
- In person – Pop your ballot paper in any of the ballot boxes at:
  - Westcliff Drop-In Centre in the Precinct
  - Riddings Drop-In Centre on Willoughby Road
  - Acorns Neighbourhood Management office in the North Lincolnshire Homes Housing Office at 65, Enderby Road.
- In person – at any of the mobile consultation stations across the estates during the voting period (see your newsletter for more information)

Choose four projects:

- ☐ **Project A** – Fairplay Football – North Lincolnshire Fairplay Football
- ☐ **Project B** – Mixed Junior Football – Scunthorpe United Community Sport & Education Trust
- ☐ **Project C** – Fire Prevention – Humberside Fire & Rescue Service
- ☐ **Project D** – Cycle Safety – Humberside Police Acorns Neighbourhood Policing Team
- ☐ **Project E** – Door Alarms – Humberside Police Acorns Neighbourhood Policing Team
- ☐ **Project F** – ASBO Turnaround – New Westcliff Residents Association
- ☐ **Project G** – Neighbourhood Clean-Up – North Lincolnshire Homes
- ☐ **Project H** – Young & Old together – Riddings Action Group
- ☐ **Project I** – Scunthorpe Sea Cadets
- ☐ **Project J** – Youth Activities – Westcliff Drop-In Centre .

Name (print) _____

Name (signature) _____

Address _____

_____

_____

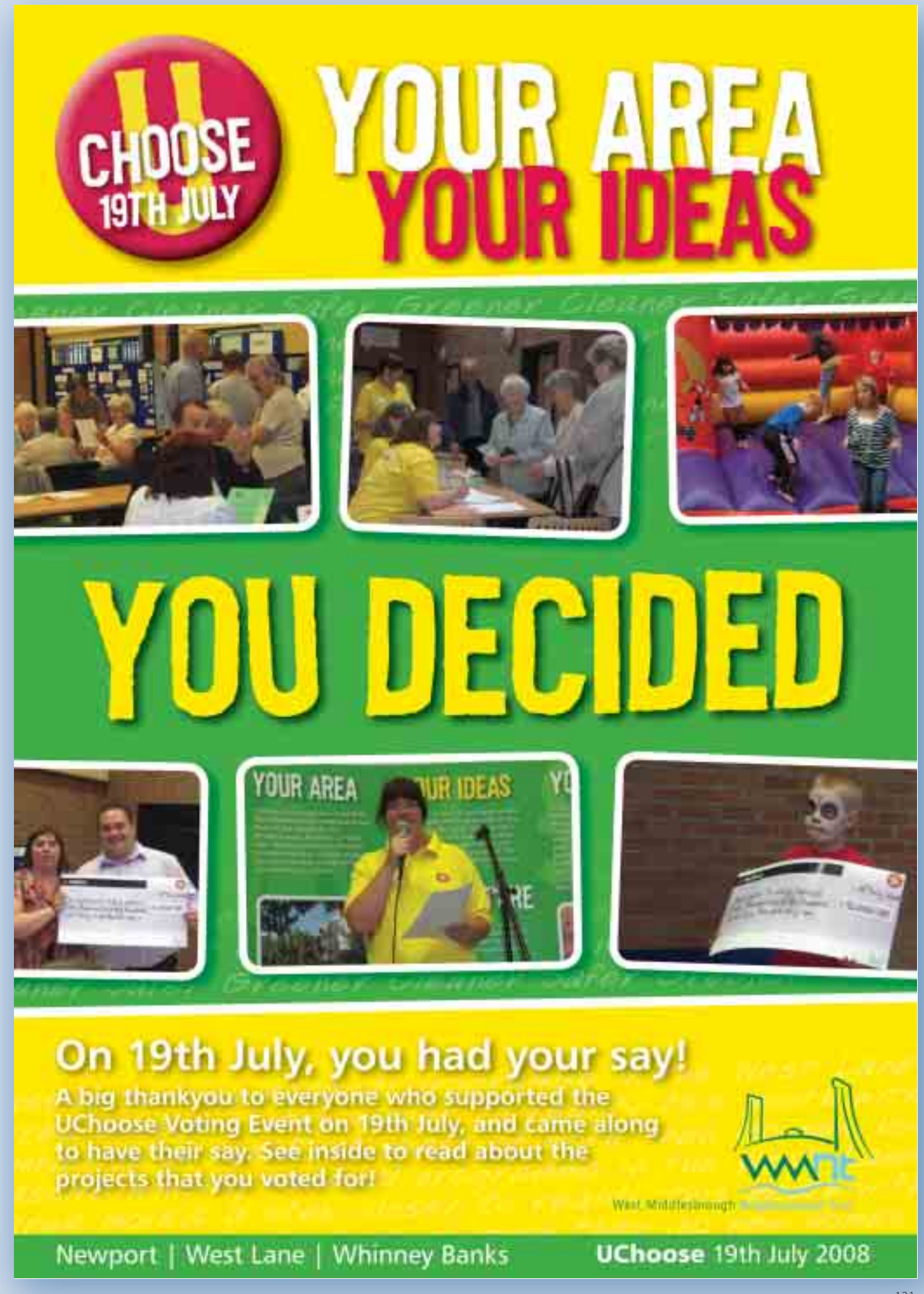
_____

Post code _____

How long have you lived at this address? _____

All valid ballot papers will be entered into a free draw to win £100 in shopping vouchers.
Terms and Conditions of Entry: The draw will take place at the Acorns Neighbourhood Management Annual General Meeting on Monday March 30th at 6pm at Kingsway Business Centre, Kingsway, Scunthorpe. A winner will be drawn at random and will be notified in writing. You must be willing to take part in any associated publicity. NO cash alternative offered. Incomplete or defaced ballot papers will be disqualified from the draw.

Tool V: **U Choose (Middlesborough) feedback leaflet (page 1)**



Tool V: **U Choose (Middlesborough) feedback leaflet (page 2)**



CHOOSE U

YOUR AREA YOUR IDEAS YOU DECIDED

The weather didn't dampen the community spirit of West Middlesbrough residents and these are the projects which you voted for. Work on all the projects will be starting almost immediately and we'll be following their progress and reporting back to the community.

NEWPORT PRIMARY SCHOOL

To install a bike shelter and provide safe cycle workshops for the children as well as safety equipment.

FUNDING: £10,000

"It is nice to see that so many people care about this area!"

NEWPORT CHILDRENS CENTRE

To purchase and install two awnings in the outdoor play area to provide shade for children.

FUNDING: £2,500

TOWN RESIDENTS INDEPENDENT COMMUNITY

To purchase greenhouse and gardening equipment to develop a children's vegetable garden.

FUNDING: £1,207.64

"This is a really unique project. I hope it is very successful."

"It is good to see so many people attending, and choosing the projects. It really helps when people decide what will benefit their own community."

LONGFORD ST/MEATH ST RESIDENTS

To purchase planters, seating, water butt, plants and compost for alleyway project, and decorative ironwork for inside of alleygates.

FUNDING: £2,080

NEWPORT GARDENING CLUB

To purchase tools and equipment, fund educational courses, course equipment, and public organic food event.

FUNDING: £3,980

"Well done for taking the time to improve the area."

ST CUTHBERTS YOUTH & COMMUNITY CENTRE

To create an outdoor decked seating area, and improve flooring in the main hall, and redecorate generally.

FUNDING: £5,928

Tool V: **U Choose (Middlesborough) feedback leaflet (page 3)**



ARCHIBALD PRIMARY SCHOOL
To install a bike shelter and provide training, locks and helmets for school children to ride their bikes to school.

FUNDING: £5,250

BELL ST/AYRESOME GRANGE ROAD RESIDENTS
To clean up alleyway and purchase plants, planters, hanging baskets, and trellis for climbing plants.

FUNDING: £3,461.20

BELL ST/AYRESOME GREEN RESIDENTS
Landscaping of open space at back of houses including planting, painting, flower baskets.

FUNDING: £2,346.28

WEST LANE RESIDENTS
To purchase and install two litter bins and one dog fouling bin and bag dispenser on West Lane.

FUNDING: £1,000

"I was pleased to be able to vote on what I feel is important, and to be involved in saying where I think the money should be spent."

WHINNEY BANKS PRIMARY SCHOOL
Clean out and restock the school pond and improve the access for children and wildlife.

FUNDING: £1,890

PLAYGROUP NETWORK
Improve access to children's toy library loan service and to replace existing fixed window with an opening uPVC one.

FUNDING: £2,690

"An event like this makes a real difference to West Middlesbrough residents."

WHINNEY BANKS RAINBOWS/BROWNIES GROUP
To purchase Brownie resources such as books, uniforms and badges, as well as contribution towards bus hire for summer trip.

FUNDING: £500.00

ST MARTINS CHURCH
To purchase gardening equipment, tools, trees and shrubs.

FUNDING: £1,272.98

YOUNG PEOPLE OF WEST MIDDLESBROUGH
To set up "Youth Bank", a young person's participatory budgeting scheme similar to UChoose.

FUNDING: £6,000

ACKLAM GRANGE SCHOOL
To develop a Young Fire Marshalls fire safety magazine for all WMNT residents, in association with Just 4 Youth.

FUNDING: £790.00

U CHOOSE 0800 083 3731 WWW.WMNT.CO.UK

Tool V: **U Choose (Middlesborough) feedback leaflet (page 4)**



PB Unit
C/o Church Action on Poverty
3rd Floor
35 Dale Street
Manchester
M1 2HF

Tel. 0161 236 9321 ext. 2
Fax. 0161 237 5359
Email. mail@participatorybudgeting.org.uk

Communities and Local Government

CHURCH ACTION ON POVERTY

the PBunit
making people count