

# ROMACTED

*Promoting good governance  
and Roma empowerment  
at local level*

## ROMA AND EGYPTIAN RESPONSIVE BUDGETING AT LOCAL LEVEL IN ALBANIA

*Guidelines for Municipalities*



Funded  
by the European Union  
and the Council of Europe



Implemented  
by the Council of Europe





Roma and Egyptian Responsive  
Budgeting at Local Level in Albania

*Guidelines for Municipalities*

**ROMACTED Programme**

Promoting good governance and Roma empowerment at local level

**Joint Programme of the European Union and the Council of Europe**

**Editor:**

Orsiola Kurti  
ROMACTED Project Officer for Albania

**Experts:**

Raimonda Duka  
Rezart Xhelo

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## Table of Contents

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Foreword .....	9
Introduction .....	11
Structure .....	13
I. Roma and Egyptian minorities' responsive budgeting .....	14
I.1 Why have guidelines?.....	14
I.2 Objectives.....	15
I.3 Methodology .....	16
II. International, national, and local commitments .....	17
II.1 Legal framework .....	17
II.2 National strategies and plans .....	19
II.3 Local strategies and plans on the integration of Roma and Egyptian minorities .....	21
III. Why include Roma and Egyptian needs in the budget? .....	23
III.1 Minority needs, policy-budget gap .....	23
III.2 Mainstreaming Roma and Egyptian perspective in the budget, a minority- empowering factor .....	24
III.3 Benefits in applying Roma and Egyptian responsive budgeting.....	24
III.4 Increased accountability and transparency in budget drafting .....	26
III.5 Good practices on Roma inclusion in European countries .....	26
IV. Steps for mainstreaming Roma and Egyptian needs/priorities in LGU budgets	29
IV.1 Drafting a minority responsive local budget.....	29
IV.2 Categorising budgetary programmes according to minority perspective .....	34



IV.3 Determining outputs, outcomes, indicators, and expenditures from the Roma and Egyptian perspective.....	43
IV.4 Ensure inclusion of Roma and Egyptian minorities' needs in the budget .....	50
IV.5 Drafting a declaration on Roma and Egyptian responsive budget.....	52
IV.6 Monitoring policies and Roma and Egyptian Responsive Budgeting .....	56
Annex 1: Conventions, laws, and subordinate legal acts .....	63
Instruments of the UN framework .....	63
Instruments of the Council of Europe framework .....	64
European Union Standards .....	64
Albanian Legal framework .....	64
References.....	65

## Tables

Table 1: Relation between budgetary programmes and inclusion of Roma and Egyptian minorities.....	36
Table 2: 2019-2022 Korça Municipality Plan .....	44
Table 3: Examples from budgetary programmes.....	47
Table 4: Declaration on the Roma responsive budget .....	54
Table 5: Reporting expenditures for Roma and Egyptians in the 2019 budget.	57
Table 6: Factual expenditures for Roma and Egyptians according to budgetary programmes.....	58
Table 7: Different levels of monitoring.....	61



## Abbreviations

CoE	Council of Europe
DIS	Disability
EA	Economic assistance
EE	Elementary Education
EU	European Union
LGU	Local Government Unit
MBP	Mid-term Budgetary Programme
MC	Municipal Council
MFE	Ministry of Finance and Economy
MHSP	Ministry of Healthcare and Social Protection
MoI	Ministry of Interior
NAP	National Action Plan
RB	Responsive Budget
RCC	Regional Cooperation Council
PMT	Programme Management Team
SMG	Strategic Management Group









**Jutta Gützkow**

Head of the Council of Europe Office in Tirana

## Foreword

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As member state of the Council of Europe since 1995, Albania adhered to the human rights principles and obligations under the European Convention for the Protection of Human Rights and Fundamental Freedoms, the Framework Convention for the Protection of National Minorities, the European Social Charter as well as to the European Charter of Local Self-Government.

Our support and cooperation with local authorities in Albania is based on a longstanding partnership for ensuring respect of human rights in practice, with a focus on non-discrimination, respect for difference and diversity, and effective participation of Roma as equal members in the Albanian society. ROMACTED, the joint programme of the European Union and the Council of Europe on promoting good governance and Roma empowerment at local level, has contributed over the past three years to building political will and sustained policy engagement of local authorities to enhance democratic governance and inclusion of Roma communities at the grassroots level.

The “Guideline on Roma and Egyptian Responsive Budgeting at Local Level” is an adaptation to the Albanian local context of the Guidelines for Roma Responsive Budgeting developed by the Roma Integration Action Team/Regional Cooperation Council for central-level governments in the Western Balkans. This adaptation was



carried out under the ROMACTED programme in close collaboration with the seven partner municipalities, the Local Finance Directorate of the Ministry of Finance and Economy and the General Directorate of Policies of the Ministry of Health and Social Protection. It provides a general framework on how Roma and Egyptian responsive budgeting may be applied during the entire budget cycle to assist local government units and Roma civil society stakeholders to promote equal opportunities at local level.

This guideline is further endorsed by the official Guideline No. 10 of the Ministry of Finance and Economy on the “Preparation of the Medium-Term Budgeting 2021-2023” for local self-government units. The ROMACTED programme supported the local planning budgetary cycle during 2020 to ensure proper Roma and Egyptian medium-term planning. In addition, it cooperated with the Albanian School of Public Administration and the Agency for the Support of Local Self Government in capacity building measures.

I am confident that this booklet will find effective use by decision makers at central and local levels as well as representatives of civil society most importantly, the Roma and Egyptian communities, during the policy making processes and the preparation of local budgets in Albania.



## Introduction

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These guidelines introduce Roma and Egyptian responsive budgeting and how it can be implemented in practice at local level in Albania. They were drafted for the purpose of encouraging effective and targeted implementation of Roma and Egyptian minorities' responsive budgeting and to support basic local government units<sup>1</sup> (LGUs) in providing budget transparency to stakeholders. These guidelines exclusively refer to budgetary expenditures and are focused on budgetary funds of LGUs<sup>2</sup> (their own revenues, funds transferred from the state budget, as well as other resources as provided by law).

LGUs have an impact in the fulfilment of obligations towards national minority rights<sup>3</sup>, as this level of government provides services and uses resources for the purpose of minority rights in different areas<sup>4</sup>. Responsive budgeting initiatives involving LGUs and other stakeholders, such as CSOs, researchers, or community-based groups, are more effective and sustainable.

The main local stakeholders include the Mayor, Municipal Council, heads of different departments/directorates, local personnel, local civil society organisations, Roma and Egyptian activists, Roma and Egyptian minorities, etc.

- **The Mayor** is important when it comes to demonstrating political will for the implementation of responsive budgeting and to providing political guidance on the budgeting process.
- **Heads of different departments/directorates** and their technical expertise on strategic planning, budgeting, sector policies, and policies targeting Roma and Egyptian minorities, play an important role for the conduct of responsive budget analysis, enabling the inclusion of Roma and Egyptian integration perspective in the planning and budgeting processes.
- **Local personnel** are guided on how to implement a budgetary process consisting in a variety of tools in order to make a real instrument out of it, so

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1 The Municipality is a basic local government unit

2 Law No. 68/2017 "On Local Government Finances"

3 Law No. 96/2017 "On protection of national minorities in the Republic of Albania," Article 8

4 Law No. 139/2015 "On Local Government", Article 3



as to address the needs of Roma and Egyptian minorities. They also become more responsive and reliable when planning public funds, in line with the needs and expectations of Roma and Egyptian minorities.

- **The Municipal Council and its committees** play an important role when it comes to raising issues on Roma and Egyptian minorities' integration during discussions on the budget and, potentially, inciting changes to the distribution of funds allocated in the budget.
- **Elected representatives of minorities, Roma and Egyptian activists, and NPOs**, - through these guidelines, - will learn how to cooperate with the local government in all budget cycle stages, in order to convey the voices of Roma and Egyptian minorities in the budgeting process. However, it is worth noting that civil society stakeholders and the Municipal Council play different roles in relation to proposing instruments for the purpose of concrete policies and changes, creating budget monitoring mechanisms, or raising awareness on the relevance of planning and budgeting in the framework of Roma and Egyptian minorities' integration.
- **Roma and Egyptian minorities** will benefit from the implementation of these guidelines. They will receive information on the content of the budget, opportunities and limitations, and will be increasingly involved in decision-making on the distribution of public funds. These guidelines are recommended for all abovementioned stakeholders, but especially for the members of the Strategic Management Group (SMG) and members of the Programme Management Teams (PMT) in municipalities. They are aimed at providing them with practical support during the start and conclusion of the responsive budgeting process in their municipalities.

The guidelines will enable local elected officials, local administration personnel, and stakeholders to find practical steps on how to implement responsive budgeting in their units and to understand how to adapt their priorities and distribute them to fulfil their commitments and achieve empowerment and integration of Roma and Egyptian minorities. Proposals, suggestions, and issues raised by minorities will enhance the expenditure planning process in accordance with the needs. The guidelines can also be used as complementary capacity building material for the local personnel. The guidelines were drafted in the framework of the joint project of the European Union and the Council of Europe: "ROMACTED: Promoting good governance and Roma empowerment at local level". This initiative is conducted along with support towards central institutions and local authorities, to apply the Roma and Egyptian responsive budgeting process at the local level.



## Structure

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The guidelines are structured as follows:

### Part I

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Analysis of the needs for guidelines on Roma and Egyptian minorities' responsive budgeting, the objectives of the guidelines, and the methodology used.

### Part II

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Description of the legal framework, as well as national and local strategies and plans that provide for measures on empowering Roma and Egyptian minorities.

### Part III

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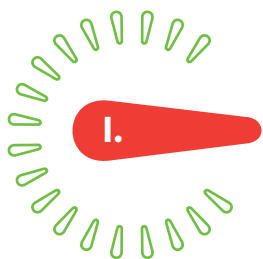
Gap between policies and financial resources when it comes to addressing the empowerment of Roma and Egyptians, mainstreaming the perspective of these minorities in local budgets, the benefits of implementing Roma and Egyptian responsive budgeting, and processes that may improve accountability in budget drafting.

### Part IV

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Steps that may be followed to mainstream the needs of these minorities in municipal budgets.





## I. Roma and Egyptian minorities' responsive budgeting

### I.1 Why have guidelines?

The 2015 National Action Plan on the Integration of Roma and Egyptians pointed out the following:

- Roma and Egyptians face direct and indirect restrictions when accessing public services.
- The level of poverty among Roma minority is twice as high as compared to the other part of the population, while unemployment rate is three times higher than the average.
- Thirty nine percent of Roma dwellings and 21 percent of Egyptian dwellings do not have potable water supply.
- The mortality rate of Roma is at least 10 years of age less on average compared to the non-Roma population and they experience a higher infant mortality rate.
- Roma and Egyptians have an average of 5-6 years school attendance, compared to the national average of 10 years.<sup>5</sup>

Responsive budgeting represents an important mechanism to guarantee higher compliance between economic objectives and social commitments. Roma responsive budgeting is an approach aimed at harmonising policies on the empowerment and integration of Roma and Egyptian minorities, with the financial resources necessary for their implementation. The most widely used argument for responsive budget initiatives is the fact it results in a more effective use of resources.

Roma and Egyptian minorities' responsive budgeting is a new approach. One of the Regional Cooperation Council guidelines defines the implementation of this process as follows: "Roma responsive budgeting provides an analysis of the budget from a Roma integration perspective and represents the incorporation of a Roma equality

<sup>5</sup> NAP on the Integration of Roma and Egyptian, pg. 6, 2015



perspective into all policies at all levels and all stages within the budgetary process.<sup>67</sup>

Roma and Egyptian responsive budgeting is an instrument that helps LGUs to plan, programme, and budget programmes and/or projects, which contribute to empower and integrate Roma and Egyptian minorities at a local level. Roma and Egyptian responsive budgeting is not about creating a separate budget for these minorities, on the contrary, it is about an equal budgetary policy that takes their needs into consideration. This feature requires responsive budgeting to be conducted in all budget cycle stages.

Responsive budgeting might also improve the effectiveness, efficiency, accountability, and transparency of LGU budgets. This process may highlight budgetary priorities and discrepancies between what a municipality states is doing and the actual impact of the policies they implement.

The implementation of minority responsive budgets means that the distribution of funds for the integration of Roma and Egyptians is conducted through existing budgetary programmes, based on local and national policies. In the event that special circumstances or relevant gaps are identified, specific budget may be allocated for the implementation of specific projects.

These guidelines are aimed at supporting the implementation of Roma and Egyptian responsive budgeting by illustrating the potential steps, as well as by providing explanations on the assessment of the budget impact for the empowerment of these minorities. The guidelines on Roma and Egyptian responsive budgeting are intended to serve as a general reference framework for local government units, which can facilitate the development of good practices for public finance management, drafting local budgets to practically help them address their priorities and commitments on empowering Roma and Egyptian minorities.

## 1.2 Objectives

The main purpose of these guidelines is to determine a general framework on how Roma and Egyptian responsive budgeting may be used during the entire budget cycle to assist basic local government units to promote equal opportunities on the grounds of the existing legislation on local budget and finances.

Specific objectives of these guidelines include:

67 Regional Cooperation Council, Roma Integration 2020, *Guideline for Roma Responsive Budgeting*, pg.16



- Recommending procedures and steps on how different main stakeholders can support the development of Roma and Egyptian minorities' responsive budgets at a local level.
- Harmonising the local budget with the national action plan and local plans on the integration of Roma and Egyptians.
- Recommending ground standards of minority responsive budgeting, which may help narrowing the gap between national/local commitments and public expenditures, in order to reduce inequalities.
- Illustrating good practices in Roma and Egyptian responsive budgeting, which may be applied in similar circumstances in different local units.
- Enabling practical empowerment in all main sectors (housing, education, employment, and healthcare), with a view to reducing poverty.

### I.3 Methodology

The guidelines were drafted in continuous consultation with the Local Finance Directorate of the Ministry of Finance and Economy and with the General Directorate of Policies of the Ministry of Healthcare and Social Protection. The work started with the structure of the guidelines, which was approved by the implementing team. Then, a first draft was conceived and discussed in the ROMACTED Third Advisory Group Meeting in Tirana. The meeting provided room for discussing the draft, exchanging good practices, and discussing challenges in applying a Roma and Egyptian responsive budget.

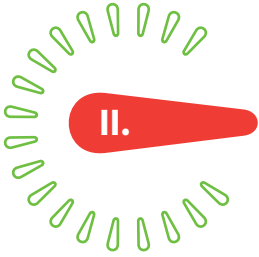
The methodology also included the following elements:

- Review of the current literature on responsive budgeting, with a special focus on Roma responsive budgeting<sup>7</sup>.
- Short semi-formal interviews with budget directorate staff of LGUs involved in the project.
- Analysis of best practices applied by LGUs when drafting the 2019-2021 Mid-term draft budgets.
- In order to make the guidelines more inclusive of the needs and interests of stakeholders, the document was shared with representatives of central institutions and municipalities involved in the project, so as to collect comments, remarks, and suggestions, which were reflected in the final version of the guidelines.

<sup>7</sup> Ref. RCC Guidelines for Roma Responsive Budgeting, 2018







## II. International, national, and local commitments

Even though not directly referenced in the Albanian legislation, Roma and Egyptian responsive budgeting finds grounds in the existing legal basis and in some political documents. The main purpose of this chapter is to concisely present the legislation, strategies, as well as national and local plans aimed at ensuring empowerment and integration of Roma and Egyptian minorities, which may be used as legal grounds for responsive budgeting, as well as to raise very strong supporting arguments for this process.

### II.1 Legal framework

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Human rights represent minimal requirements for a dignified life, applicable for all individuals, regardless of their location. In order to guarantee fundamental human rights and freedoms, the Albanian government has approved a considerable number of legal and subordinate-legal acts that ensure such rights are respected. Ratified international conventions, the Constitution of the Republic of Albania, as well as legal and subordinate-legal acts, represent the grounds for guaranteeing and respecting such rights. (for more, see *the list of acts, annex No.1*)

The Constitution of the Republic of Albania foresees that fundamental human rights and freedoms are regarded as values that comprise the foundations of the entire Albanian legal order. Article 18/1 of the Constitution of the Republic of Albania under the principle of equality, stipulates that “*Each and every one shall be equal before the law*” and Article 18/2 under the principle of non-discrimination, stipulates that “*No one may be unfairly discriminated on grounds such as gender, race, religion, ethnicity, language, political, religious, and philosophical beliefs, economic, educational, and social status, or parenthood*”, and Article 20/1 stipulates that “*persons belonging to national minorities shall exercise their rights and freedoms in full equality before the law*”.



The government has the duty to make sure such equality is applied in practice. These provisions have a special relevance, as the planning and budgeting system is one of the central instruments of the public administration to ensure priorities and policies are duly applied and results are achieved. Therefore, in order to ensure equality for Roma and Egyptian minorities in practice, responsive planning and budgeting are essential. In this context, the Constitution of the Republic of Albania establishes grounds for responsive budgeting. A carefully drafted, implemented, and assessed budget is essential to the fulfilment of all rights of Roma and Egyptian minorities.

Albania has ratified several conventions that comprise legally binding documents pertaining to human rights<sup>8</sup>. Proper sewage systems are indispensable for people to live with dignity and enjoy their right to health, as guaranteed in Article 12 of the International Covenant on Economic, Social and Cultural Rights (1966). However, the construction and maintenance of adequate sewage systems requires infrastructural investments by LGUs. A large part of the Roma minority lives in settlements lacking the necessary infrastructure<sup>9</sup>.

The right to education is essential to equip individuals with the skills necessary to enjoy their right to work, thus providing for themselves and their families (Article 28 of the International Covenant on Economic, Social and Cultural Rights (1966) and Convention on the Rights of the Child (1989), as well as to fulfil their right to access to information and to participate in the country's civic life. Education not only requires well-built and well-equipped classrooms, but also duly remunerated teachers, who are skilled and motivated.<sup>10</sup>

The Law "On protection from discrimination"<sup>11</sup> prohibits discrimination on the grounds of race or ethnicity in the areas of employment, education, access and supply with goods and services available to the public, including housing, social protection, social insurance and healthcare, social advantages, etc. The purpose of the law is to guarantee the right of everyone to "equal chances and opportunities to enjoy their rights and participate in public life"<sup>12</sup>. The main areas where such legal protection is provided include protection from discrimination in employment, as well as during working relations, in the area of education, and of provision of goods and services. The local budget is an important document of LGUs to apply some of these rights in practice.

8 See Annex 1

9 OSFA, Roma decade and the situation of the Roma community in Albania, 2012

10 Realizing Human Rights through Government Budgets, UN Human Rights Office and International Budget Partnership, New York and Geneva, 2017, pg.12

11 The law is in full compliance with the EU Directives in the area of equality; concretely, it is fully approximated to: Directive 2000/43/CE on "Implementing the principle of equal treatment between persons irrespective of racial or ethnic origin"

12 Law No. 10221, dated 04.02.2019 "On Protection from discrimination", Article 2



Since October 2017, Roma and Egyptians are recognised as a special national minority in Albania<sup>13</sup>. Point 2.a of Article 8 of Law No. 96/2017 “*On the Protection of National Minorities in the Republic of Albania*”, stipulates that “*Central and local public institutions shall approve and apply the necessary measures: a) to guarantee comprehensive and effective equality in the economic, social, politic, and cultural life between individuals belonging to a national minority and those belonging to the majority;*”. The effects of this law to the LGU budgets include: distribution of funds and implementation of expenditures for those measures/projects adequate for fulfilling a specific right (for example, to ensure housing, to increase access in pre-school education, to ensure potable water supply, to preserve their tradition and culture, etc.)

The right of children belonging to minorities to use their mother tongue with other members of the community and to develop their culture is guaranteed by Article 33 of the Law “*On rights and protection of children*”<sup>14</sup>. Roma and Egyptian minorities exercising this right requires funding of projects that preserve the cultural heritage of these minorities, funding of the “*Community Centres*” that support different services for these communities, exemption from all financial obligations in order to increase attendance in full time pre-school education institutions for children from Roma and Egyptian families with low monthly income.

## II.2 National strategies and plans

The Albanian government has drafted and approved general, sector, and specific policies for Roma and Egyptians. Some of the strategic documents targeting these minorities include:

**National Strategy for Development and Integration** (NSDI), 2015-2020; it represents the fundamental strategic document, which combines the EU integration agenda with the sustainable economic and social development of the country. In the area of human rights, the aim is for “a society that respects and protects human rights, guarantees the principle of equality, and promotes equal chances and opportunities as an efficient tool for a consolidated democracy and rule of law”<sup>15</sup>.

13 Law No. 96/2017 “*On the Protection of National Minorities in the Republic of Albania*,” approved on 13.10.2017 and rendered effective in November 2017

14 Law No. 18/2017 “*On rights and protection of children*”

15 NSDI, 2015-2020, pg.



**Social Protection Strategy (2019-2022)** is aimed at reducing poverty (especially extreme poverty) by ensuring dignified living for families/individuals and encouraging the development of their capacities and skills, by addressing needs in the context of rehabilitation and social services. It is also aimed at guaranteeing qualitative social services for each and every Albanian citizen, regardless of their income, origin, age, gender, **ethnicity**, education, sexual orientation, cultural identity, political and religious beliefs. The strategy sets forth purposes, objectives, and measures pertaining to three main areas: economic assistance, disability, and healthcare services, which are aimed at *cushioning and reducing poverty, improving the quality of life for persons with disabilities, and ensuring equal access in a functional and integrated healthcare service system.*<sup>16</sup>

**National Action Plan on the Integration of Roma and Egyptians**, (2016-2020), is aimed at increasing access in public services by continuously removing restrictions to Roma and Egyptians. Specific objectives have been determined for this purpose and they include: easier opportunities to equally make use of the civil registry and of justice; full access and inclusion in qualitative education; creation of equal formal employment opportunities; guaranteeing accessible, affordable, and equal healthcare; improvement of housing conditions and increased access to social programmes.<sup>17</sup> The plan includes specific objectives and concrete measures in six priority areas: civil registration, education and intercultural dialogue, employment and training of skills, healthcare, housing and urban integration, as well as social protection, aimed at improving the living of Roma and Egyptians in Albania.

European integration does not represent only an opportunity for the country, but also a challenge when it comes to fulfilling the structural reforms underway, which will be necessary for adhering and switching to a contemporary market economy and building rule of law, in a similar fashion to a European Union member state. The **Roadmap** on the 5 priorities recommended by the EU demands *“Taking effective measures to reinforce the protection of human rights, including of Roma, and anti-discrimination policies, as well as implementing property rights”*<sup>18</sup>. The roadmap and recommendations of the Albania-EU (2018-2020) public dialogue seminar recommend specific measures for Roma and Egyptians in the area of education, healthcare, labour market, professional training, housing, social protection, etc.<sup>19</sup>

In the meantime, **sector strategies**<sup>20</sup> are mainly focused in providing specialised

16 Social Protection Strategy, 2019-2022

17 Official Journal No. 241/2015, pg. 16411-16412 (National Action Plan on the Integration of Roma and Egyptian, 2016-2020)

18 Priority 5

19 Roadmap on 5 priorities, EU enlargement strategy and main challenges, 2013-2015, pg. 19

20 “National Strategy on Employment and Skills (NSES), “Pre-university Education Development



programmes that facilitate access to the labour market and improve employment opportunities; providing opportunities to pursue compulsory and secondary education for persons who are over the compulsory education age and haven't pursued it yet; expanding psychological services, especially in schools that are also attended by Roma and Egyptian children, and students who risk dropping out of school; facilitating access of groups in need to healthcare services by providing public health services, specific healthcare, and information packages, as well as specific programmes on access to healthcare.

**National Cross-sector Strategy on Decentralisation and Local Government** (2015-2020), Administrative Territorial Reform (2015), Law "On local government,"<sup>21</sup> and the Law "On public finances"<sup>22</sup> have created the grounds and room for further reformation of local government units, administrative reorganisation of municipalities on the basis of the new territorial division, strengthening of local finances, sustainable local economic development, and good governance at a local level.

### II.3 Local strategies and plans on the integration of Roma and Egyptian minorities

In the framework of the ROMACTED Programme, Local Action Plans have been drafted on the Integration of Roma and Egyptian Minorities in six selected municipalities,<sup>23</sup> while a Social Plan was drafted by Roskovec municipality. LGUs have determined their strategic vision and objectives on the integration of Roma and Egyptian minorities for the 2019-2022 period, on the grounds of their need assessments. The needs in the areas of education, employment, housing, healthcare, social protection, as well as other issues were mainly taken into consideration during the drafting of plans. Local plan measures address interventions in almost the same areas as the measures of the **National Action Plan on the Integration of Roma and Egyptians**, which enables LGUs to harmonise local level commitments with the obligations pertaining to the application of the national action plan.

Local plans on the integration of Roma and Egyptians have been costed on the

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Strategy"

21 Law No. 139/2015, "On Local Government"

22 Law 68/2017 "On Local Finances"

23 Elbasan, Fier, Vlora, Gjirokastra, Përmet, Pogradec municipalities



grounds of LGU databases, while the financial resources and financial gap have been identified. Result indicators have been determined for each measure/activity, which helps LGUs plan interventions in certain areas, while considering such indicators.

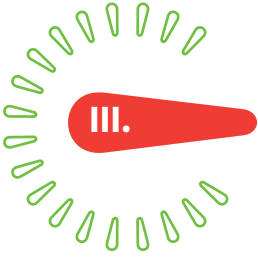
Some other local units<sup>24</sup> have also drafted action plans on the development of the Roma and Egyptian communities. The needs addressed in such plans, mainly cover the same areas, but their implementation pertains to the 2016-2020 period.

Moreover, 24 LGUs have drafted local social plans, which are aimed at different groups and areas, such as child protection, Roma minority, gender equality, social service plans, etc.<sup>25</sup>

24 Shkodra, Berat, Tirana, Durrës municipalities

25 Draft Social Protection Strategy, 2019-2022, pg.22





## III. Why include Roma and Egyptian needs in the budget?

The proximity of the local government to the everyday life of citizens means they have the potential to more swiftly react to the needs of the Roma and Egyptian minorities when it comes to public policies and service provision. This level of government contains a big potential to conduct Roma responsive budgeting, with the inclusion of the local population.

### III.1 Minority needs, policy-budget gap

Public finance theory widely recognises the existence of a gap between the way governments (central and local) plan, how they approve and implement policies, and the way they budget/fund such policies. Drafting and approving policies that increase the access of Roma and Egyptians in social housing projects, that allow the children belonging to these minorities to enjoy equal and qualitative education opportunities, or that allow Roma and Egyptians to be included in employment. Encouraging schemes is one thing, while envisaging funds in the budget so such policies are funded and become feasible, is another.

The gap between approved policies and drafted budgets has been observed in all sectors in both levels of government. In order to narrow this gap, since several years now, political documents are costed. This process identifies the costs necessary for the implementation of policies on the grounds of measurable quantitative indicators; sources of funding for such policies and calculation of the financial gap. Costing strategies and action plans allow institutions to estimate their financial needs for the purpose of existing as well as new policies.

In both levels of government and in different sectors, examples can be found of how different policies targeting Roma and Egyptian minorities have not been implemented, or how they have been implemented partially, because the examination of budgetary and non-budgetary resources available was not performed properly during the budgetary planning process.



### III.2 Mainstreaming Roma and Egyptian perspective in the budget, a minority-empowering factor

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Even though Roma and Egyptians have *de jure* gained equality through anti-discrimination and equal opportunities-inciting legislation, many members of these minorities still do not experience inherent equality in their everyday lives. In order to achieve *de facto* equality, a different approach is needed.

Roma and Egyptian responsive budgeting recognises that these minorities have a different relation with economy. Furthermore, in the event we want to achieve inherent progress in the framework of integration, budget-less policies do not suffice. Responsive budgeting requires budgets to better meet the needs of Roma and Egyptians.

The logic supporting Roma and Egyptian responsive budgeting is that, like all state policies, the budget has a different impact on different social groups, because of their needs, economic conditions, and roles in society. The aim of Roma and Egyptian responsive budgeting is to ensure that measures of LGU budgets (when it comes to expenditures as well as to revenues), take into account the needs of these minorities; and ensure the budget contributes to the reduction of inequality; and provides public services in order for them to empower.

### III.3 Benefits in applying Roma and Egyptian responsive budgeting

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Roma and Egyptian responsive budgeting entails relevant potentials and numerous advantages. The application of responsive budgeting:

- **engages the community in the budgetary process.** Ensuring equal participation in the budgetary process represents a main precondition in this entire process. Moreover, good governance is improved by a transparent local policy development process, with broad participation of the community. The application of responsive budgeting is directly related to the respect and implementation of human rights. Relations with the minority fully depend on respecting human rights. Such is determined by a series of objective socio-economic and political factors. As a country in transition and with a low degree of economic development, formal equality exists in Albania. This means that equal opportunities for marginalised groups are regulated *de jure*, but *de facto* there are no sufficient financial resources to implement specific measures that would lead to their empowerment.





- increases the quality of programmes and services for these minorities.** Responsive budgeting is aimed at measuring the gap between commitments undertaken through policies and resource allocation, and the results achieved through the application of the said policies. Through this approach, the different perspectives of marginalised groups are put forward in all budget drafting and implementation stages. Aimed at improving the distribution of goods and services in a fair and responsive manner for different communities, this process enables a better access and improvement of service quality.
- increases public expenditure effectiveness.** The application of responsive budgeting draws the attention of LGUs to the needs of Roma and Egyptian minorities, while the analysis on the grounds of direct benefits of minorities contributes to more detailed information on the distribution of resources between beneficiaries belonging to the larger part of the society and groups in need. It also helps determining the impact of policies and public expenditures in the improvement of their lives. This approach also provides for better evidence-oriented grounds for decision-makers, thus contributing to ensuring public funds are used more effectively.
- improves the legal and political framework.** The identification of inequalities between minorities and the other part of the population and the approach to address them, will dictate proposals for legal amendments and new policies, comprising an important step in narrowing inequality.
- it can also serve as a tool to **improve the effectiveness** of foreign assistance and of the non-profit sector in favour of minorities. LGUs benefit services and investments in the framework of projects funded by different donors and implemented by international and local organisations. In their budgets, municipalities often plan funds for co-funded projects. Envisaging funds received in the framework of programmes/projects related to Roma and Egyptian minorities from other sources in the budget, would result in increased and improved services for minorities.

### III.4 Increased accountability and transparency in budget drafting

Responsive budgeting is a powerful tool for shedding light upon the gap between national and local commitments on the integration of Roma and Egyptians and the amount of public funds allocated for the fulfilment of such commitments, as well as for achieving integration standards and objectives. By tracing the funds planned and how they are spent, responsive budgeting simultaneously improves accountability



and transparency. Moreover, responsive budgeting promotes the availability of age and gender disaggregated data, and an evidence-based approach in various budgetary programmes.

### III.5 Good practices on Roma inclusion in European countries

Roma comprise the largest ethnical minority in Europe, estimated at approximately 10-12 million. Their situation in some EU countries continues to be critical, as they continue to face discrimination and unequal access to vital services. More Roma are likely to be unemployed and living in poverty, as compared to the non-Roma population. This fact limits their chances of receiving a good education and of having adequate housing. They often live in unsafe conditions, with low access to basic services<sup>26</sup>.

According to the “EUROCITIES” report,<sup>27</sup> in their efforts, municipalities use different methods for Roma integration at a local level. Depending on the resources they have (mainly human and financial resources), municipalities may adopt targeted approaches towards challenges Roma face. In cities, a common approach is to apply numerous and complementary initiatives for the inclusion of Roma at the local level.

The most common approach among local authorities is to approve targeted policies to improve the lives of Roma in special areas, such as education, employment, or housing. Moreover, many municipalities have drafted local strategies or action plans on Roma integration. More than a third of cities have undertaken initiatives or applied projects to improve the access of Roma to public services<sup>28</sup>.

You may find below some examples of good practices among initiatives in European cities<sup>29</sup>.

- More than half of cities<sup>30</sup> have a local strategy for the integration of Roma, which, in many cases, follows the EU-level framework. Other cities that do not have a Roma-specific strategy, cover them through their local strategy against poverty and exclusion.

26 Mapping of the situation of Roma in cities (FINAL REPORT), pg. 3

27 The “EUROCITIES” report analyses the situation of Roma inclusion at the local level, challenges Roma face in 23 European cities in relation to employment, housing, healthcare, education, and basic services. The report also explores how cities react towards such challenges, what initiatives they undertake, how they engage with Roma, and what kind of support they need to be able to further mainstream Roma inclusion.

28 Ibid, pg.30

29 Ibid, pg. 30-32

30 23 cities included in the study



Barcelona has a “Local Strategy for the Roma Community,” which was approved in March 2015. The strategy includes 88 measures in six main areas, of which four are identical to the EU Framework for the Roma (education, employment, housing, and healthcare) and two are new (training of professionals in non-discrimination practices and promotion of Roma culture). Its implementation started in 2016/7, through €420.000 municipal funding.

- Many initiatives have been undertaken by municipalities for the purpose of improving the housing conditions of Roma. Some of the more frequently reported initiatives include: (i) shelters for Roma, along with social service support (short-term housing solutions); (ii) legal consultation on opportunities in the real estate market and on the rights of tenants; (iii) projects on purchase and renovation of dwellings (municipality purchases private property); (iv) housing projects on rehabilitation of public premises that are not used or abandoned (social housing)<sup>31</sup>.

In Glasgow, the house purchasing programme was initiated to address the bad conditions of dwellings in a neighbourhood with newly arrived, high density, Roma population. The two-year programme includes the purchase and renovation of properties that are mainly occupied by Roma and are owned by private owners. The Glasgow city council and the Scottish Government allocated £ 13 million to the pilot project. After the success achieved in the pilot stage, the scheme prolonged for another 4 years, through a £ 40 million fund.

- Some cities have adopted an integrated approach for the inclusion of Roma. They apply multidimensional programmes to address the multitude of challenges pertaining to Roma poverty and exclusion.

Grenoble has created an integrated approach for the inclusion of Roma and migrants. People who live in unsafe conditions receive housing support, healthcare, education, and employment. For example, families are provided with temporary housing, along with support for employment and to receive non-temporary accommodation.

- Some cities have created programmes to train their administration personnel to work with Roma. Often, the training is focused on non-discriminatory access in services.

31 Ibid, pg.21

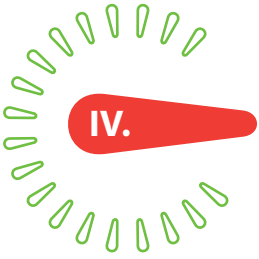


The Municipality of Dortmund has developed a two-fold bachelor study programme in social work, which is focused on poverty and emigration, in cooperation with the University of Applied Sciences. Students are trained to do social work with refugees and migrants, - such as Roma, - and become “integration assistants.” The programme follows the two-fold training model, with 50% of the time studying in university courses, and 50% by learning while working as social workers in the public and private sectors, or in NPOs.

The majority of initiatives for the inclusion of Roma at the local level are funded by municipal budgets, while a minority also received national or EU funds. Almost half of the cities (10 out of 23) have a specific budget allocated for Roma inclusion. This allows them to fund their cities’ initiatives to cope with the challenges Roma face, as well as to provide support for activities organised by Roma organisations. In general, cities have a local integration strategy for Roma, as well as a separate budget for its purpose. The other 12 cities fund their work on Roma inclusion by planning funds from the municipal budget for the inclusion of marginalised groups, or from their general budget on social services, or even from budgets specific to education and healthcare.<sup>32</sup>

32 Ibid, pg. 33





## Steps for mainstreaming Roma and Egyptian needs/priorities in LGU budgets

### IV.1 Drafting a minority responsive local budget

All local level stakeholders must understand that Roma and Egyptian responsive budgeting is not related only to the budget. The responsive budgeting process must, first of all, start with the inclusion of the needs of these minorities in all policies, programmes, and plans that impact decisions on the approval of the budget. Drafting “Local Plans for Roma and Egyptian Integration” and Social Plans, in some local units, is a step in the right direction. Eventually, this approach should also be considered by other municipalities. In the meantime, the Ministry of Finance and Economy, along with other ministries responsible to address the needs of Roma and Egyptian, must issue instructions to reflect the priorities of these minorities in budgetary programmes.

Drafting a Roma and Egyptian responsive budget goes through three main stages, as follows<sup>33</sup>: (i) Policy and budget analysis from the perspective of minorities; (ii) Changes in programmes and budgets on the grounds of budget analysis results, so as to make it more Roma and Egyptian sensitive; (iii) Systematically mainstreaming minority responsive budgeting in the local planning and budgeting processes (figure 1). Knowing and facing the situation and mainstreaming minority responsive budgeting in the planning and budgeting processes would provide the conditions for a systematic and constant analysis of policies and budgets from the Roma and Egyptian perspective, which would be followed, if necessary, by adaptation of policies and budgets.

All stages are equally important, and they are closely intertwined with each other, but they shouldn't be perceived as consecutive stages. The work on budget drafting may start from analysis or from systematic mainstreaming of minority responsive budgeting in the planning and budgeting process. However, it is worth noting that responsive budgeting includes all stages.

33 Adapted from GRB manual for Municipalities, UN Women 2015, pg. 50-66



**Figure 1: Main working stages of minority responsive budget drafting**



**Policy and budget analysis** from the minority perspective, in order to create good grounds for further activities aimed at improving the situation of Roma and Egyptians. In order to conduct a systematic analysis, several steps are recommended. This approach may be used in many areas; however, its details may be different according to the area or sector for which specific analyses are conducted.

The main questions to be answered during the analysis include: What is the impact of policies and relevant budgets in the integration of Roma and Egyptian minorities? Does the application of policies affect the reduction or increase of inequalities, or it has no effect? The main steps to conduct the analysis are as follows:

- Step 1: Collecting information (data) on policies and programmes;
- Step 2: Identifying Roma and Egyptian needs in each sector;
- Step 3: Analysing all activities from the perspective of Roma and Egyptian minorities;
- Step 4: Analysing approved budgets from the perspective of Roma and Egyptian minorities;
- Step 5: Drafting recommendations.

**Collecting information on policies and programmes** – The first step serves to clarify what you want to analyse; a specific sector, programme, public service, investment, or a cash transfer. The steps the analysis goes through are flexible and may be adapted on the grounds of the analysis' focus. In the event you want to analyse a sector (e.g. local public services, pre-university education), the analysis will be slightly more complex, as it may involve more different services, investments, etc., making them be more detailed or specific.

In order to explain the steps, we will examine a programme<sup>34</sup>. A first important step is to collect all data relevant to the programme and have a full picture. If you are an official responsible of the programme, this will prove to be an easier task. This entails answering the following questions:

<sup>34</sup> The steps are the same and the word *programme* may be replaced by *sector*, *specific service*, and *investment*



- What are the objectives of the programme?
- Are there specific objectives pertaining to the integration of minorities or to specifically improve the situation of Roma and Egyptian?
- What are the main activities of the programme?
- How can the programme contribute to the achievement of integration of Roma and Egyptians? What is the budget available for the programme and what activities are going to require expenditures?

**Identifying Roma and Egyptian needs** – this step involves the analysis of the Roma and Egyptian situation in the specific sector. The aim of the analysis is to have a summary of the situation of minorities in the specific programme, in order to identify their needs and priorities, which must be addressed by public policies. For example, if you analyse the housing programme, you will focus on the situation of Roma and Egyptians in regards to housing, e.g. number of families that live in inadequate housing conditions (shacks), number of homeless families, in which administrative units they are located, what percentage lives in dwellings without access to water supply and sewage systems, what percentage lives in informal buildings, etc.

For the purpose of this step, you may use quantitative data, as well as qualitative information available from different sources, e.g. from the relevant municipal departments responsible of the programme, from INSTAT (Albanian Institute of Statistics), e.g. census data, from different research reports and studies conducted by academia, other research institutions, international and local organisations, etc. Information may also be collected by contacting sector experts, people who know their situation well, e.g. service providers, neighbourhood representatives, or elected officials. In cases when there is very little information available, - and if possible and adequate, - you may organise meetings with minority representatives in order to learn more about their situation.

Some of the main questions at this point, include:

- What is the situation of Roma and Egyptians (and of their subgroups: women/ men, young, elderly) in the analysed sector?
- What are their interests, needs, and priorities?
- Are there needs that must be taken into account?
- What are the existing inequalities between the larger part of the population and the Roma and Egyptian minorities?
- What are the main challenges pertaining to the integration of minorities in the sector?



On the grounds of the data analysis, identify the main Roma and Egyptian issues that must be addressed by local policies. By doing so, specific objectives may be set, which may contribute to the integration and empowerment of minorities in the specific sector or programme.

**Analysing all activities from the perspective of Roma and Egyptian minorities** – on the grounds of the general analysis of the programme and on the data collected about the situation of the targeted group, you may conduct an analysis from the perspective of minorities, using different analytical instruments.

- *Analysis of beneficiaries and users of public services* (e.g. how many Roma and Egyptian families have benefitted from rent bonus, how many benefitted from investments for the improvement of housing conditions, what is the number of Roma families that benefit from the economic assistance programme, etc.) In the event the programme doesn't have direct beneficiaries, because it is focused in investments, like transport, the questions we may answer include: *Do Roma have access to public transport? Are there potential obstacles for Roma and Egyptian students to use this service? Are there specific services provided for this category?*
- *Public services' user satisfaction analysis* – LGUs must analyse whether Roma and Egyptians are satisfied with the quality and quantity of the activities provided (e.g. waste management, infrastructure, potable water supply, social care, etc.) Some of the methods to collect opinions of beneficiaries include questionnaires, group discussions, and observations conducted by NPOs. Some of the questions we may raise include: *How satisfied are Roma and Egyptians with the quality of the services provided? Does the quantity of services provided meet their demand? Do services comply with the needs of Roma and Egyptians?*
- *Decision-making analysis* – municipalities must analyse the decision-making process as regards the needs of minorities. *How are they conveyed to the municipal decision-making bodies? Are Roma and Egyptian represented in the municipal council? Who has an influence in decisions on programmes and services that are directly related to the integration of minorities?*

**Analysing approved budgets from the perspective of Roma and Egyptian minorities** – the user and beneficiary analysis is interrelated to the budget analysis. This can be done by assessing whether the planned budget takes into consideration the needs of Roma and Egyptians. This includes analysing the different needs and checking whether the programme meets them by providing specific services. Some of the questions to be raised, include: *Is the available budget sufficient to apply the programme, taking into account the number of beneficiaries in the targeted group? Is*





*the available budget sufficient to ensure services and activities that meet the needs of Roma and Egyptians? What was the programme budget in the previous year? Has there been an increase or decrease? Have the planned funds been fully spent?*

**Drafting recommendations** to address the needs of Roma and Egyptians within the programme, on the grounds of results' analysis. In this stage, it is important for recommendations to be as concrete as possible and for activities to be determined, in order to address the identified needs. Some of the questions include: *What are the needs to be addressed? Which specific objectives must be included in the relevant programmes? What changes of activities are necessary to better fulfil specific objectives? What changes in planned budgets are necessary to better meet the objectives?* It is also recommended to determine the indicators necessary to measure the progress with the achievement of objectives.

**Inclusion of Roma and Egyptian needs in policies and budgetary programmes** is achieved by reflecting recommendations and necessary changes of activities, programmes, or plans in local policies, on the grounds of sector analysis and changes in the budget.

Step 6: Reviewing policies and changes to the budget;

Step 7: Monitoring and assessing the process.

An essential component of the work on Roma and Egyptian responsive budgeting is to go from analysis to **changing** policies, activities, and resources in order to achieve the desired results. On the grounds of recommendations, it is necessary to identify what is to be changed, in which planning and budgeting stage, and who is responsible in the municipality to work on the changes. Changes and adaptations may be necessary as regards different aspects, such as policies, programmes, or specific sector activities, as well as funds to be planned in the next year's budget or in the mid-term budget.

On the grounds of result indicators and indicators that measure the application of activities and planned budgets, a **monitoring mechanism** may be established for the application of policies on the integration of Roma and Egyptian minorities. A special group of indicators may be identified in special sectors, so as to organise specific monitoring.

The third stage is related to **systematic mainstreaming of minority responsive budgeting** in the planning and budgeting process. The application of Roma and Egyptian minorities' responsive budgeting in the municipality is aimed at making sure that the consideration of minority needs is fully mainstreamed in the planning and budgeting processes, in order to make them more responsive. The aim is to have a systematic analysis of policies and budgets from the minority perspective in all



sectors. This doesn't imply that every activity or expenditure item in the municipality must be analysed, but that, in all sectors, analysis of the main programmes and policies from the minority perspective should be conducted.

Minority perspective responsive budgeting requires the involvement of all the municipality's main departments and sectors. Responsive budgeting is not an issue that belongs only to the Social Services Directorate, in which the needs of Roma and Egyptians may be more visible. In general, it is supposed that, in all sectors, the needs of the Roma and Egyptian minorities are relevant and have been identified, and there will be only some sectors without a direct or indirect relation to the budgetary programme with the participation of Roma. Therefore, it is important for all departments to work to include the minority perspective in planning and budgeting.

Last but not least, performance-based budgeting provides many opportunities to apply minority perspective responsive budgeting.

## IV.2 Categorising budgetary programmes according to minority perspective

Prior to drafting the objectives for the integration of Roma and Egyptians and conducting a detailed analysis on responsive budgeting, expenditures may be categorised in budget lines according to their purpose and relevance to the integration of these minorities. Some budgetary programmes have a visible or potential impact in the integration of Roma and Egyptians. On the other hand, there are budgetary programmes that at best impact indirectly or do not have a tangible impact.

According to international experience and practices followed for gender responsive budgeting, categorisation of budgetary programmes may be conducted in different methods. You may find below two methods used for the classification of budgetary programmes.

(i) *G+<sup>35</sup> scale method*, which is based on a classification system that prioritises budgetary programmes with higher impact in minority integration. The criteria that may be used to select programmes include having a transformational capacity; having the ability to impact at a large degree, and be able to reduce inequality. According to the impact scale, programmes may be classified as having:

35 Andalusia Case; for more, see Quinn. SH Gender Budgeting: practical implementation; CoE 2009, pg.21



- **low impact (g<sub>1</sub>):** This category may include those programmes with or without impact at all. In cases of no impact, classification is made for those programmes that do not have a direct effect on people, or which have a low indirect effect. In cases of impact, this includes programmes that impact people at a minimum level.
- **medium impact (G):** this includes low-impact programmes, with limited transformational capacities, or low functional relevance.
- **high impact (G<sup>+</sup>):** programmes of a high interest, due to their transformational capacity, impact, and known functions.

(ii) *method of categorising expenditure items in accordance with relation to inclusion.*<sup>36</sup> For this purpose, one can use the categorisation of budget programmes in accordance with the “Guidelines on Roma responsive budgeting.”<sup>37</sup>

- Category 1: Programmes that are directly related to Roma inclusion
- Category 2: Programmes that are indirectly related to Roma inclusion
- Category 0: Programmes not related to Roma inclusion

Categorising budgetary programmes according to both methods doesn’t change the programme classification. ***The second method is recommended for LGUs, as it creates links between budgetary programmes of the central level and budgetary programmes of municipalities.*** You may find below an analysis of the categorisation of several budgetary programmes on the grounds of the relation between the programme and the inclusion of minorities.

The categorisation of specific budgetary programmes may be explained as follows.

- **Social housing** implies the administration and planning of social programmes on housing, with the purpose of creating opportunities for adequate and affordable housing. This is an example of a budgetary programme that is directly related to the application of Roma inclusion policies, as the law on social housing envisages some programmes, such as: rent bonus; projects for the improvement of housing conditions for poor and disadvantaged communities; programmes on the development of housing-purposed areas; construction of transitory shelters, which may be funded by LGUs, funds from the state budget or donors, which directly impact the housing conditions of Roma and Egyptian minorities.

<sup>36</sup> Austria Case; for more, see Guidance Gender Budgeting in Public Administration;

<sup>37</sup> RCC, Guidelines for Roma Responsive Budgeting, pg. 15



- **Elementary education, including pre-school education**, enables the construction and maintenance of school and pre-school structures. This budgetary programme is directly related to policies on increased access of Roma and Egyptian minorities in the education system, as it is aimed at creating optimal conditions through reconstruction and maintenance of buildings, activities of children cultural centres, different extra-curricular activities, etc.
- **Local water utility services** cover the potable water supply for residents and businesses in the LGU territory. This programme allows the maintenance or improvement of water supply systems and it may be considered as a budgetary programme that is indirectly related to the implementation of Roma and Egyptian inclusion policies. In the event LGUs identify projects that are directly aimed at these minorities, such as: subsidy of the water supply meter and contract fees for the categories in need<sup>38</sup>; or the reconstruction of the water supply network in Roma settlements, it may be considered as a directly related budgetary programme.
- **Social care for families and children** covers the provision of financial or of in-kind support for the social protection of families, children, and marginalised persons. This budgetary programme is directly related to the policies on the improvement of Roma and Egyptian inclusion in social protection programmes.
- **Local Urban Planning** covers measures on planning and construction of adequate dwellings in the local unit. This programme includes the development, update, coordination and monitoring of urban development plans; issuance of permits for new constructions; procurement of the necessary land for construction of dwellings; elimination of deteriorated buildings when it comes to housing provision, etc. This may be considered as a programme that is indirectly related to the inclusion of Roma. Some municipalities contain informal dwellings of the Roma minority or their concentration in suburban areas of the city and their needs must be taken into account while urban plans and detailed urban plans are drafted.
- **Primary healthcare services** cover the construction, rehabilitation, and maintenance of the primary healthcare service buildings and the organisation of educational and promotional activities at the local level. This programme can be considered as having a direct relation, as its implementation increases and improves the access of the population as a whole, but especially of marginalised groups. The improvement of infrastructure eventually

38 Mid-term Draft Budget 2019-2021, Municipality of Shkodra, pg. 316



enhances the access of Roma and Egyptian minorities to the service. In the meantime, the educational and promotional activities may include only these 2 minorities, or all marginalised groups.

Table 1 shows the categorisation of budgetary programmes in LGUs, according to their relation to inclusion. Categorisation may differ depending on the objectives that LGUs have determined in their strategies as well as on the activities planned.

Table 1: Relation between budgetary programmes and inclusion of Roma and Egyptian minorities<sup>39</sup>

Budgetary programmes	Relation to inclusion		
	Direct (1)	Indirect (2)	Not related (0)
P.1 Planning, management, administration			0
P.2 Financial and fiscal issues			0
P.3 Civil status			0
P.4 Domestic debt service payment			0
P.5 Local police services			0
P.6 Firefighting and rescue			0
P.7 Relations with the community	1		
P.8 Economic development assistance		2	
P.9 Market service, accreditation, inspection		2	
P.10 Agricultural services, food inspection and security, and consumer protection			0
P.11 Irrigation and drainage infrastructure management			0
P.12 Forest and pasture management			0
P.13 Road system (rural + urban)		2	
P.14 Public transport		2	
P.15 Development projects		2	
P.16 Tourism development			0
P.17 Waste management service	1		
P.18 Sewage water and system management		2	
P.19 Environment protection programmes			0

39 List of 36 programmes presented by MFE for the local government



P.20 Environmental awareness			0
P.21 Local urban planning		2	
P.22 Development programmes		2	
P.23 Local public services		2	
P.24 Potable water supply		2	
P.25 Street lighting		2	
P.26 Primary healthcare services	1		
P.27 Sports and advertisements		2	
P.28 Cultural heritage, artistic and cultural events		2	
P.29 Elementary and pre-school education	1		
P.30 General education (pre-university)		2	
P.31 Vocational education			0
P.32 Social care for persons with sickness and disability	1		
P.33 Social care for the elderly		2	
P.34 Social care for families and children	1		
P.35 Unemployment, education, and training	1		
P.36 Social housing	1		
Reserve fund			

Source: Performance monitoring compliance report at a municipality level, MFE, October 2019, pg.11

In order to implement Roma and Egyptian responsive budgeting, different approaches may be used:

1. Objectives of local plans on the integration of these minorities and planned activities to be reflected in respective budgetary programmes, and to identify and plan budgetary funds in order to achieve such objectives.
2. Systematic examination of all budgetary programmes with the aim of making the necessary changes and identifying projects through which better results can be achieved for Roma empowerment and integration.
3. Examination of the result indicators and targeted indicators over several years, in order to identify indicators through the use of which we may assess the impact of different budgetary programmes on the integration of Roma and Egyptian minorities.



In the first case, attention is mainly focused on the identification of new budgetary objectives; while in the second and third case, the focus lies in activities and existing budgetary measures so as to observe what can be improved in order to have a Roma responsive budget, by adapting the structure or implementation of activities.

All LGUs that have approved “Local Plans on the Integration of Roma and Egyptian” and “Local Social Plans,” must follow the first approach, thus include, - in their respective budgetary plans, - objectives, activities, and projects planned. On the other hand, other municipalities may use the other two approaches in order to make their budgets responsive of minorities.

Below, you may find some examples pertaining to the abovementioned approaches, which suggest how to intervene in budgetary programmes, in order to make them sensitive to minorities. Interventions are proposed to reword objectives, indicators, and determine targets at a budgetary programme level.

The first three examples belong to “category 1” of budgetary programmes. In example 1, the local government unit has approved the “Roma and Egyptian community development plan”<sup>40</sup>. The objective, measures, indicators, and targets are included in the 2019-2021 Mid-term Draft Budget. In the meantime, the “No. of families that receive services in the Centre” indicator is a general one. In this example, the municipality must include an additional minority-sensitive indicator, such as: “No. of Roma and Egyptian families that receive services in the Community Centre against the total No. of families receiving service,” which may be shown in the “targets” section as percentage.

In example 2, the budgetary programme objective is not minority-sensitive, but the measure determined for the achievement of the objective is sensitive towards the Roma minority. The municipality has planned interventions in the pre-school education infrastructure, in a building attended by children belonging to the Roma minority. In this case, they followed the second approach, thus identifying a project. LGUs must be careful when drafting result indicators and determining targets, which should also be sensitive towards the Roma minority.

Example 3 also shows a situation in which the objective and measure is not minority-sensitive, but the attention is focused on the result indicators and targets in the course of time to identify indicators through which to be able to assess the impact of different budgetary programmes in the integration of Roma and Egyptian minorities.

The other two examples have been taken from “category 2” budgetary programmes. Example 4 identifies a project and reviews the indicators and targets. On the other hand, example 5 shows an improvement of result indicators and targets over a period of time.

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40 Municipality of Shkodra, 2017-2020 Roma and Egyptian Communities Development Plan



Example 1: “Social care for families and children” Programme, Shkodra Municipality, 2019-2021

Objective	Measure	Result indicators	Targets			
			2018	2019	2020	
Create equal opportunities and non-discrimination on grounds of disability, gender, age, origin, ethnicity	Full operation of the Roma and Egyptian community centre and continuation of planned activities	No. of families that receive service in the R&E Community Centre No. of R&E families that receive services in the CC against the total No. of families receiving service	Approximately 100 families are expected to benefit services provided by the centre 50% R&E families receiving service	Approximately 110 families are expected to benefit services provided by the centre 55% R&E families receiving service	Approximately 120 families are expected to benefit services provided by the centre 60% R&E families receiving service	Approximately 120 families are expected to benefit services provided by the centre 65% R&E families receiving service

Source: Shkodra Municipality, MDB 2019-2021, pg. 616

Example 2: “Pre-university education” Programme, Fier Municipality, 2019-2021

Objective	Measure	Result indicators	Targets			
			2018	2019	2020	
Provision of qualitative premises and buildings for the conduct of educational process of the pre-university system	Reconstruction of Roma Kindergarten in Levan	No. of children to attend the new premises; No. of R&E children to benefit from improved infrastructure; No. of children per group	- In 2018, the kindergarten was attended by only 20 children, none of whom belonged to the Roma minority.	Approximately 40 children are expected to attend the kindergarten 50% R&E children per 12-15 children per group	Approximately 50 children are expected to attend the kindergarten 55% R&E children per 16-18 children per group	Approximately 60 children are expected to attend the kindergarten 60% R&E children per 18-20 children per group





Example 3: “Social care for families and children” Programme, Vloara Municipality, MDB 2020-2022<sup>41</sup>

Objective	Measure	Result indicators	Targets			
			2018	2019	2020	2021
Improvement of infrastructure to create suitable conditions for the attendance and feeding of children in nurseries.	Full capacity operation of nurseries in the municipality's territory	Number of R&E children receiving service in the city's nurseries No. of R&E children receiving service against total number of R&E children	60 children receive service	60 children receive service	60 children receive service	60 children receive service
			5 % R&E children aged 0-3 years receive service	5 % R&E children aged 0-3 years receive service	7 % R&E children aged 0-3 years receive service	10 % R&E children aged 0-3 years receive service

Example 4: “Cultural heritage and artistic activities” Programme, Korça Municipality, 2019-2021

Objective	Measure	Result indicators	Targets			
			2018	2019	2020	2021
Increased number of cultural activities organised by the Centre for Arts and Culture	Organisation of the week of Roma and Egyptian culture (tradition, culture, artisanal products, language, music, etc.	Number of activities organised; Number of R&E benefiting from activities; General number of persons participating in activities	300 persons participate in activities; 80% of R&E benefit from activities	350 persons participate in activities; 77% of R&E benefit from activities	400 persons participate in activities; 75% of R&E benefit from activities	450 persons participate in activities; 70% of R&E benefit from activities

41 Indicators and targets have been adjusted for the purpose of these guidelines



Example 5: “Street lighting” Programme, Cërrik Municipality, 2019-2021

Objective	Measure	Result indicators	Targets			
			2018	2019	2020	2021
Public premises have lighting, so to enable security in the community	Installation, operation, maintenance, improvement lighting for streets and public premises;	Surface of public premises covered by lighting; Lighting coverage of neighbourhoods where Roma and Egyptian minorities live	60% of public premises have lighting	65% of public premises have lighting 5% of premises where Roma minority lives have lighting	65% of public premises have lighting 30% of premises where Roma minority lives have lighting	70% of public premises have lighting 50% of premises where Roma minority lives have lighting



### IV.3 Determining outputs, outcomes, indicators, and expenditures from the Roma and Egyptian perspective

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When setting objectives, we must ensure that they clearly reflect the expected achievement until the end of the year and in the mid-term. They should also be measurable and assessable. Specific objectives in areas included in local plans (e.g. education, housing, healthcare, employment, etc.) must be reflected as objectives in the mid-term budgetary programme. Other budgetary programmes (such as public services, water supply, lighting, etc.) may be worded on the grounds of the needs' analysis conducted for the respective programmes.

Each objective may have one or more outputs. An output can be considered as having been fulfilled or caused by a budgetary fund. Outputs are goods and services to be produced in order to contribute to the achievement of mid-term objectives and long-term targets.

For each of the objectives in different budgetary programmes (e.g. pre-university education, housing, transport, social care for families and children, etc.) one or more outputs and/or activities must be determined targeting Roma and Egyptian minorities, which must be fulfilled in order to contribute to the achievement of mid-term and long-term objectives.

Expenditures related to different activities may be determined according to the following methods.

1. For all activities included in action plans, consideration should be used on the costs estimated and approved by decision of the Municipal Council. Eventually, this amount may change in the event the Municipality changes its targets for the budgetary year.
2. For other activities, the expenditures of the previous year are taken into account, which may be adjusted on the grounds of the targets determined in the action plan.
3. The total project costs should be determined.

Detailed integration-related objectives, targets, activities, and indicators on some activities of the 2019-2020 Korça Municipality Plan are shown in table 2.



Table 2.<sup>42</sup> 2019-2022 Korça Municipality Plan

Specific objective	Activity	Output	Target	Indicators	Budget
<b>Area 1: Education/Strategic objective: Improvement of the education situation of R&amp;E minorities</b>					
1.1 Easier access to education services	1.1.1 Financial support for children of the R&E minorities who live in families in economic difficulties	Children of the 6-15 age group who attend elementary education.	- 95% of children enrolled in elementary education - 75% of R&E children enrolled in elementary education R&E dropout is reduced by 5%	- Number of R&E children aged 6-15 - % of R&E children attending elementary education	1,200,000
<b>Area 2: Employment and economic empowerment/Strategic objective: Economic empowerment of R&amp;E minorities in Korça Municipality, through integration and harmonisation of interventions on qualifications, employment, and social protection programmes</b>					
2.2 Higher employment of R&E minorities through encouraging mechanisms for employers and formalisation of productive activities	2.2.4 Support for the establishment of a "business incubator" in the "Old Bazar" area:	R&E jobseekers employed through encouraging schemes	The aim is for 15% of the newly employed to belong to R&E minorities 80% of businesses employ persons belonging to marginalised groups	Number of beneficiaries Revenues generated by such businesses	24,400,000

42 Outputs, targets, and indicators have been adjusted for the purpose of these guidelines

**Area 3: Housing/Strategic objective: Improvement of housing conditions for R&E minorities in Korça Municipality, through sustainable interventions**

3.1 Improvement of conditions in existing dwellings of R&E minorities in Korça Municipality	3.1.3 Rehabilitation and adjustment of the sewage system in areas with R&E population (priority neighbourhoods: <i>Ish-gjeologjikja, Ndërtimi, Bujqësorja</i> )	Families benefiting rent bonus Investments for reconstruction of dwellings and infrastructure for poor communities	70% of R&E families who have applied for social housing schemes have improved living conditions	Number of projects implemented Number of R&E families benefiting from the rent bonus Number of beneficiaries of investments % of R&E benefiting from investments	1,900,000
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**Area 4: Healthcare / Strategic objective: Improvement of health and access to healthcare services for members of R&E minorities in Korça Municipality**

4.1 Increased awareness and access to healthcare services for members of R&E minorities	4.1.2 Vaccination of all children (also those who are not registered)	Children of the 0-18 age group, vaccinated.	All children of the 0-18 age group, vaccinated.	Number of cases identified Number of cases addressed	800,000
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While drafting the budget, members of the Programme Management Teams must consult the action plans in order to identify which aims, specific objectives, activities, and projects will be included in the mid-term budget.

Indicators are also necessary to measure whether the set objectives have been achieved. Indicators may be factor indicators, output indicators, and outcome indicators.

- **factor indicators:** number of R&E families who have benefitted housing bonus, number of families who have benefitted economic assistance, number of staff trained to provide services to groups in need;
- **output indicators:** Number of staff trained against the general number of staff that needs training; number of R&E families that have received housing bonus against the general number of families that have benefitted housing bonus; number of R&E families that have received housing bonus against the general number of R&E families that have applied for a housing bonus;
- **outcome indicators:** percentage of Roma and Egyptian who found a job against the general number of those who have attended a vocational training course; percentage of Roma families who have sustainable housing, due to the implementation of social housing programmes.

Municipal staff, as per department, must identify and estimate **the indicators** that will help monitor and assess the degree programme or project outcomes are achieved, and to what extent the targeted outcomes are achieved.

Table 3 provides some examples from budgetary programmes. These examples easily show the relation between the aim, specific objective, and activity. In the budget planning stage, it is important to determine targets on the grounds of indicators (factors, outputs, outcomes) determined in the action plan. Upon identification of the activity/project to be funded, targets must also be filled in. Targets can be measurable, reflecting the specifics of challenges for different programmes.



Table 3: Examples from budgetary programmes

**Budgetary programme: Social housing**

Aim	Objective	Project	Result indicators	Targets <sup>43</sup>			
				2019	2020	2021	2022
Improving housing conditions for R&E minorities in Korça Municipality through sustainable interventions	Improving conditions of existing dwellings of R&E minorities	Paving/greening/lighting of inner streets in neighbourhoods with R&E concentration	Number of implemented projects; Number of beneficiary families; % of Roma families benefiting; Number of beneficiaries; % of the Roma minority benefiting against total No. of beneficiaries	A project will be funded; x R&E families benefit X % of R&E minorities have improved living conditions	A project will be funded x R&E families benefit X % of R&E minorities have improved living conditions	A project will be funded x R&E families benefit X % of R&E minorities have improved living conditions	A project will be funded x R&E families benefit X % of R&E minorities have improved living conditions

Source: Local Plan for the Integration of Roma and Egyptian Minorities, Korça Municipality, 2019-2022

43 Targets are missing in the Action Plan and they must be reviewed in each budgetary year by the Municipality



**Budgetary programme: Social care for families and children**<sup>44</sup>

Aim	Objective	Project	Result indicators	Targets			
				2019	2020	2021	2022
Cushioning and reducing poverty, encouraging employment	Support and empowerment of families in need	Determining kindergarten and nursery quota for children who need protection (especially children in street situations, Roma/Egyptian),	DMC on quota determination Number of children benefiting from quota against the number of children in need of this Service	1 DMC on quota determination At least 5 children X % of children in need that benefit service <sup>2</sup>	1 DMC on quota determination At least 5 children X % of children in need that benefit service	1 DMC on quota determination At least 5 children X % of children in need that benefit service	1 DMC on quota determination At least 5 children X % of children in need that benefit service

Source: Social Plan, Roskovec Municipality, 2019-2022

44 If the number of children in need of this service is 20, the target will be 20% of children in need to benefit this service





### Budgetary programme: Public transport

Aim	Objective	Project	Result indicators	Targets			
				2018	2019	2020	2021
Providing citizens with a qualitative public transport service	Provision of full access in public transport for pupils, students, and special categories that benefit in accordance to legal provisions	Subsidy of urban transport expenditures for all categories that benefit in accordance to legal provisions	No. of categories supported by transport expenditures % of Roma and Egyptian against the total of beneficiaries	70 % of categories in need, supported; 20% of the total supported, Roma and Egyptian	75 % of categories in need, supported; 23% of the total supported, Roma and Egyptian	80 % of categories in need, supported; 27% of the total supported, Roma and Egyptian	85 % of categories in need, supported; 30% of the total supported, Roma and Egyptian

Source: MDB 2019-2021, Shkodra Municipality, pg. 217<sup>45</sup>

### Budgetary programme: Elementary education, including pre-school education

Aim	Objective	Project	Result indicators	Targets			
				2018	2019	2020	2021
Provision of elementary and pre-school education, in order to increase percentage of literacy	<ul style="list-style-type: none"> <li>Improved accommodation and education quality in public kindergartens;</li> <li>Increased accommodating capacity in pre-school cycle institutions (public kindergarten).</li> </ul>	Partial reconstruction of kindergartens Regular maintenance of pre-school education buildings	No. of reconstructed buildings Percentage of R&E children attending pre-school education against total of children.	40 children, 5% children of the Roma minority	60 children, 10% children of the Roma minority	60 children, 15% children of the Roma minority	60 children, 20% children of the Roma minority

Source: 2020-2022 Draft Performance Plan, Belsh Municipality

45 Targets changed



## IV.4 Ensure inclusion of Roma and Egyptian minorities' needs in the budget

Local administrations and the Municipal Councils must identify the priorities pertaining to Roma and Egyptian minorities that are in line with their local and sector policies and must draft budgets that address such priorities. Priorities must be reflected when setting the budgetary ceilings of sectors during the midterm budgeting and annual budget drafting. LGUs may achieve this by:

- reviewing priorities and reallocating resources;
- applying Roma and Egyptian responsive budgeting;
- estimating costs, taking into account the distinctions between these minorities and other groups that benefit services.

LGUs must consider drafting Roma and Egyptian responsive budgets by applying some of the best practices, such as:

Municipalities may consolidate the inclusion of Roma and Egyptians in the **participatory budgeting** process. The decentralisation and administrative reform have created room for more participation of minorities, in order to better consider the more pressing needs and priorities of citizens in different areas. According to the law on local finances, municipalities must consult mid-term budgetary programmes and annual draft budgets with the community and stakeholders<sup>46</sup>. Inclusion may be achieved by organising consultations/meetings with members and leaders of Roma and Egyptian minorities. Meetings are called and organised by the municipal staff and they should be used to discuss mainly on capital investments and social policies with direct and indirect impact on the integration of minorities.

In administrative units with higher concentrations of Roma and Egyptian minorities, such as in Elbasan, Fier, Korça municipalities, special meetings must be organised with the participation of the community, with due consideration to representation according to gender and different age groups. Civil society organisations must also be invited in such meetings. The municipal staff must make sure the notification is published timely and is conveyed to the community in different ways, such as: notifications in the local media, posters in the proximity of neighbourhoods where minorities live, door to door notifications, etc. In administrative units with a low number of minorities, due consideration should be made that Roma and Egyptian minorities are also represented in meetings with the community. In such units, a

46 Article 5, Law No. 68, dated 27.4.2017 "On local government finances"



large role can be played by civil society organisations for the identification and selection of minority representatives to participate in the meeting.

Local authorities must consult with Roma and Egyptian minorities from the first stage of the mid-term budget drafting (March-June), in order to ensure that equality, empowerment, and integration will be taken into account and reflected in the budget approved at the end of the year.

Meetings on the budget should be facilitated by experts and should be interactive. After a concise presentation of the budget, the meeting should be followed by a questions and answers session, where participants can exchange with local government authorities and make comments, suggestions, and proposals.

Municipalities may need to analyse the existing policies and budgetary programmes from the minority perspective. Identified gaps must be addressed, and methods and tools must be found to reduce existing inequalities. LGUs must undertake actions on the grounds of Roma and Egyptian integration assessment, which are aimed at creating a budgeting strategy that is responsive to the needs of these minorities.

**Making interventions in different steps of the budget cycle.** LGUs must make targeted assessments for Roma and Egyptian minorities in different steps of the budget cycle, such as:

- *planning aims and objectives.* Specific objectives of budgetary programmes should be reviewed. Specific objectives approved in integration plans may become part of budgetary programme objectives (e.g. pre-university education, housing, social care, etc.) In other programmes, specific objectives may be reworded to address needs of minorities (e.g. transport, waste management, etc.)
- *budgetary ceiling approval.* In this stage, more funds may be envisaged for existing and new policies aimed at Roma and Egyptian minorities.
- *Determining measures/activities for the achievement of objectives.* Projects and measures targeting these communities should be identified in budgets, preferably with the same denomination as in integration plans.
- *Monitoring result indicators.* Minority-sensitive indicators should be identified in this stage, statistics alone are not sufficient.



## IV.5 Drafting a declaration on Roma and Egyptian responsive budget

Municipalities may draft a Declaration on minority responsive budget, which is part of the budget materials submitted to the Municipal Council for Approval.

The Declaration may have the form of a table or a short report, where LGUs present their policies, programmes, and respective budgets related to the empowerment and integration of Roma and Egyptians. The Declaration must describe in general how LGU programmes and budgets contribute to the integration of these minorities and may be also considered as an accountability report of LGUs in relation to the objectives set for the integration of Roma and Egyptian minorities.

*When should the concise budget of LGUs be ready?* LGUs must draft and distribute the concise budget prior to approving the draft budget for the consecutive year. The concise budget provides minorities with the necessary information to participate in hearings on the budget and to discuss on how the local budget addresses their needs. This document must be distributed at least one week prior to the hearings.

It is very important to bear in mind that information on the budget is often difficult to understand and this especially applies to Roma and Egyptian minorities who are not used to the budgetary process terminology. The concise budget is not aimed at a comprehensive discussion of the local government budget, but at emphasising the most important information in an understandable way for citizens.

*How can it be applied?* The Declaration on Roma responsive budgeting must be included in the budget report. It should include information on the needs identified as relates to Roma and Egyptian minorities during budget planning<sup>47</sup>, which are the budgetary programmes/activities that address needs, what funds are envisaged in the budget, and for which period.

**Example:** The municipality has discovered that the level of participation of Roma children in pre-school education is low and, after analysing the causes, it results that the kindergarten in the vicinity of the settlement has a low capacity. The Municipality has decided to reconstruct the existing kindergarten and increase its capacity by 30%.

47 Local Plan on the Integration of Roma and Egyptian Minorities, Social Plan, etc.



**Example:** The Municipality has identified that 10 families of the Roma minority live in inadequate housing conditions. In their dwellings, they lack access to potable water, there is no sewage system, and the shacks have been built unprofessionally. The land where these families live is owned by the municipality. The latter has drafted a project on the reconstruction of these dwellings, which will be submitted to the MFE, applicable to 2021. The draft budget envisages a municipal contribution at the amount of 20% of the project's total value.

You may find below a simple general template of the declaration, for which all municipal directorates must provide information. Along with the information pertaining to objectives and measures, each department must provide information on the situation of Roma and Egyptians in the respective sector, number of beneficiaries of measures to be implemented, and result indicators.



Table 4<sup>48</sup>: Declaration on Roma responsive budget

Programme	Specific objective	Planned measure or project	Result indicators	R&E Beneficiaries	Budget
Social housing	Providing social housing for categories in need	Improved housing conditions for the Roma community in AU "X"	10% of Roma families benefit sustainable housing No. of applications for government-funded programmes on social housing	26 beneficiary families	1,900,000 (co-funding)
Social care for families and children	Coverage of the municipality's territory with social services as much as possible, in line with the interests and needs of the community.	Identification and protection of children in street situation.	Number of children in street situation supported % of R&E children supported	100 children in street situation	1,000,000
Elementary and pre-school education	Increased participation of Roma and Egyptian children in elementary and pre-school education	Provision of meals for elementary and pre-school education	% Roma and Egyptian children benefiting from the service; Enrolment of Roma children in pre-school education increases by 7%	200 pupils in elementary education and 30 in pre-school education	4,200,000
Water supply	Potable water supply for the city and Municipality's administrative units	Subsidy of the water supply meter and contract fees for the categories in need.	Number of families in need % of R&E families benefiting subsidy % of Roma families with access in potable water	500 families	210,000

48 This table shows a template of how a simple declaration can be drafted



This represents an important instrument that may be used to divide expenditures into relevant set categories/projects and to explain the effect they have on these minorities. The project impact must be reflected in the target and result indicators.

For the purpose of informing minorities, **leaflets** or **brief summaries** introducing the LGU budget may also be produced. The concise budget must provide the revenues and expenditures, as well as the concrete results of the use of public funds, expressed in goods and services provided to minorities. The concise budget may be an annual publication provided to Roma and Egyptian minorities, informing them on public fund expenditures, and also encouraging their involvement in monitoring achievements and results.

Reading the concise budget, Roma and Egyptian minorities may get more informed on budget revenues from local resources (fees, taxes, other revenues) and from the state budget, as well as understand the resource limitations of LGUs. On the other hand, Roma and Egyptian minorities may gain more awareness on the needs of their community and become informed on which are the indispensable expenditures to be made and how they relate to the priorities for empowering and integrating these minorities. However, the use of this instrument is challenging for municipalities, as they must use a language that is simple and understandable for the larger part of minorities.

The main information that may be included is as follows:

- sources of revenues (preferably a graphical presentation);
- expenditures according to programmes (graphical presentation in %);
- list of investment projects funded (partially or fully) from the local government budget, for Roma and Egyptian minorities;
- information on how needs of minorities are addressed by programmes providing services or subsidies: (community centres, EA, disability, employment, kindergartens, etc.)
- Information on the draft budget hearing.

The participation of Roma and Egyptian minorities consists in attending the hearings on the draft budget and in making proposals and suggestions on the allocation of funds to objectives and measures that empower these two minorities.



## IV.6 Monitoring policies and Roma and Egyptian responsive budgeting

The budget implementation monitoring process is essential, as it allows not only the direct assessment of the Roma and Egyptian responsive budget implementation, but also the implementation of the local plan on the integration of Roma and Egyptian minorities. Monitoring may be conducted by *internal* and *external stakeholders*. In both cases, it is important that the relevant reports are provided to citizens and published on the Municipality's webpage.

Monitoring is the process of constantly checking the fulfilment of specific objectives. In general, there are different approaches on local budget monitoring, but in the templates below, we will mainly focus on how budgetary resources are used to promote equality between minorities and the other part of the population, so as to promote the empowerment of Roma and Egyptian minorities and the fulfilment of their rights.

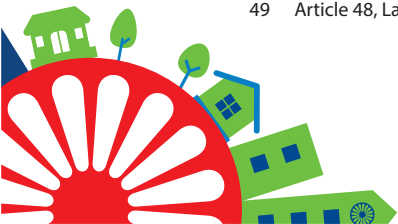
Budget monitoring is closely related to monitoring policies and activities, as it is important to bear in mind why and how the funds are really used. Monitoring activities is often challenging, because municipalities can perceive it as a "threat" or an inspection.

Monitoring may be conducted by LGUs (*internal stakeholders*) and civil society organisations (*external stakeholders*). LGUs must understand the ultimate purpose of monitoring, which is of interest for the local administration. In the meantime, by monitoring activities, NPOs contribute to ensure efficient and effective use of public resources and good governance.

The role of LGUs in monitoring and reporting on the implementation of the local budget is stipulated by the Law "On local finances."<sup>49</sup> The Law regulates as follows:

1. Local government authorising officials submit to the relevant council, - as many times as requested, but no less than three, - four-month monitoring reports on the budget implementation, in accordance with the specifications of the Minister of Finances instruction on budget implementation monitoring.
2. Monitoring of strategic development plans' implementation is conducted by monitoring the implementation of the annual budget.
3. Budget implementation monitoring reports are published by the authorising official on the official webpage of the relevant unit, within 30 days after the conclusion of the reporting period, and a copy is sent to the Ministry of Finance and Economy.
4. Interim reports, in the event the Ministry of Finance and Economy identifies issues

<sup>49</sup> Article 48, Law No. 68/2017 "On local finances"





In the monitoring reports, LGUs must also include data on the implementation of Roma and Egyptian responsive budgets. Table 5 shows a simple template of four-month monitoring reports.

Table 5: Reporting expenditures on measures targeting Roma and Egyptian minorities in the 2019 budget

Specific Objective	Measure / activity / project	Budget in Lek	Factual expenditures	Fulfilment in %
Providing social housing to categories in need	Improvement of housing conditions for the Roma community in AU "X"	1,900,000	0	0%
Coverage of the municipality's territory with social services as much as possible, in line with the interests and needs of the community.	Identification and protection of children in street situation.	1,000,000	300,000	30.0%
Increased participation of Roma and Egyptian children in elementary and pre-school education	Provision of meals for elementary and pre-school education	4,200,000	1,000,000	23.8%
Potable water supply for the city and Municipality's administrative units	Subsidy of the water supply meter and contract fees for the categories in need.	210,000	120,000	57.1%

*Note: Reporting is related to the declaration on responsive budgeting*



When it comes to the factual budget report, LGUs must report in detail on the implementation of expenditures for each budgetary programme, as well as on the achievements of the programme, on the grounds of the approved indicators. Table 6 shows an expenditure reporting template, taking into account the relation of each programme with the inclusion of Roma and Egyptian minorities.

Table 6: Factual expenditures for Roma and Egyptian minorities according to budgetary programmes

Budgetary Programs	Relation	Expenditures 2019	Weight in %	Expenditures targeting R&E	Weight in %
P.1 Planning, Management, Administration	0	272,039	9.9%	0	0.0%
P.2 Financial and fiscal issues	0	0	0.0%	0	0.0%
P.3 Civil status	0	14,900	0.5%	0	0.0%
P.4 Domestic debt service payment	0	0	0.0%	0	0.0%
P.5 Local police services	0	21,201	0.8%	0	0.0%
P.6 Firefighting and rescue	0	46,771	1.7%	0	0.0%
P.7 Relations with the community	1	0	0.0%	0	0.0%
P.8 Economic development assistance	2	8,924	0.3%	3,724	0.5%
P.9 Market service, accreditation, inspection	2	500	0.0%	100	0.0%
P.10 Agricultural services, food inspection and security, and consumer protection	0	2,424	0.1%	0	0.0%



P.11 Irrigation and drainage infrastructure management	0	44,364	1.6%	0	0.0%
P.12 Forest and pasture management	0	20,076	0.7%	0	0.0%
P.13 Road system (rural + urban)	2	168,529	6.1%	38,000	5.2%
P.14 Public transport	2	13,494	0.5%	4,000	0.5%
P.15 Development projects	2	0	0.0%	0	0.0%
P.16 Tourism development	0	6,370	0.2%	0	0.0%
P.17 Waste management service	1	202,228	7.3%	50,000	6.8%
P.18 Sewage water and system management	2	15,000	0.5%	5,000	0.7%
P.19 Environment protection programs	0	0	0.0%	0	0.0%
P.20 Environmental awareness	0	0	0.0%	0	0.0%
P.21 Local urban planning	2	2,146	0.1%	560	0.1%
P.22 Development programs	2		0.0%	0	0.0%
P.23 Local public services	2	79,030	2.9%	10,000	1.4%
P.24 Potable water supply	2	53,761	2.0%	23,300	3.2%
P.25 Ndriçimi rrugor	2	95,832	3.5%	15,000	2.0%
P.26 Primary healthcare services	1	1,500	0.1%	200	0.0%



P.27 Sports and advertisements	2	116,283	4.2%	0	0.0%
P.28 Cultural heritage, artistic and cultural events	2	84,613	3.1%	8,000	1.1%
P.29 Elementary and pre-school education	1	263,450	9.6%	56,000	7.6%
P.30 General education (pre-university)	2	46,565	1.7%		0.0%
P.31 Vocational education	0	65,332	2.4%	0	0.0%
P.32 Social care for persons with sickness and disability	1	20,026	0.7%	5,000	0.7%
P.33 Social care for the elderly	2	0	0.0%	0	0.0%
P.34 Social care for families and children	1	1,065,736	38.7%	500,000	68.2%
P.35 Unemployment, education, and treatment	1	0	0.0%	0	0.0%
P.36 Social housing	1	16,062	0.6%	14,000	1.9%
Reserve fund		4,949	0.2%	0	0.0%
<b>Total</b>		<b>2,752,105</b>	<b>100.0%</b>	<b>732,884</b>	<b>100%</b>
<i>Relation: Direct (1); Indirect (2); Not related (0)</i>					

When it comes to what NPOs must monitor in detail and their approaches, it depends on their priorities and on the specific purpose of the monitoring. Monitoring may be conducted in different levels. Table 1 provides examples of questions that may be used by NPOs to monitor all levels.



Table 7: Different levels of monitoring<sup>50</sup>

Level	Activity monitoring – examples of questions
<b>Decision-making</b>	<ul style="list-style-type: none"> <li>• <i>Who is involved in decision-making pertaining to policies and budgets envisaged for minorities?</i></li> <li>• <i>How and at what extent are Roma and Egyptian minorities represented in decision-making?</i></li> <li>• <i>Have civil society stakeholders, especially those that represent perspectives of Roma and Egyptian minorities, had the opportunity for meaningful participation in the budgeting process?</i></li> </ul>
<b>Factors</b>	<ul style="list-style-type: none"> <li>• <i>What funds have been allocated for specific activities you wish to monitor?</i></li> <li>• <i>What funds have been allocated as compared to the previous year?</i></li> <li>• <i>What funds have been allocated for activities targeting minorities, when it comes to issues that pertain to the empowerment of Roma and Egyptian minorities, etc.?</i></li> <li>• <i>How have the allocated funds changed as compared to the previous year?</i></li> <li>• <i>What is the percentage of budget for Roma and Egyptian minorities as compared to the general budget? Are there sufficient funds to implement the activities?</i></li> <li>• <i>Have the funds allocated to this year's budget been spent?</i></li> <li>• <i>What is the staff available for the implementation of the policies? Are there members from Roma and Egyptian minorities?</i></li> <li>• <i>Are there strategies and action plans on the empowerment and integration of Roma and Egyptians and are they sufficiently funded?</i></li> </ul>
<b>Outputs</b>	<ul style="list-style-type: none"> <li>• <i>What are the services provided, cash transfers paid, etc.? What are the investment projects? Is the service quality adequate to meet the needs of Roma and Egyptian minorities?</i></li> <li>• <i>How many Roma and Egyptians, women and men, benefit from services, investments or cash transfers? Who is able to use them, and who is not?</i></li> <li>• <i>Do services, investments, cash transfers, etc. address the most relevant gaps and inequalities faced by Roma and Egyptian?</i></li> </ul>

50 Adjusted according to GRB, Manual for CSOs, UN Women 2015



**Results and impact**

- *Are services, investments, and cash transfers contributing to the improvement of the living standards of these minorities? Do they maintain poverty at the same level, or do they increase it?*
- *How is the situation changing when it comes to the main existing inequalities? For example: Is there an improvement in the housing conditions? Are Roma youth better educated? Are there many Roma youth employed and generating income?*
- *How are budgets (and policies) contributing to guaranteeing the rights of minorities?*
- *Do budgets (and policies) contribute to cushioning the poverty of Roma and Egyptian minorities?*

*Source<sup>51</sup>: The questions have been adjusted for the purpose of Roma responsive budgeting*

NPOs may face numerous challenges when planning to monitor budgets, e.g. limited resources, lack of knowledge to conduct detailed analyses, lack of evidence and data, and especially lack of access in budget-related information.

There is no easy solution to overcome this, but it is important for NPOs to bear in mind that, by creating alliances and partnerships with other NPOs and stakeholders, they may become able to overcome such challenges.

When it comes to studies, NPOs may engage academics/researchers who can conduct detailed analyses. When it comes to the lack of data and statistics, during initial research, you may hear there are no statistics available on Roma and Egyptian. Even though this may occur at a large extent, a closer look could prove to be valuable. Maybe the department responsible of collecting service user data could give you initial data.

As a start, you may use the data available and the initial monitoring results could serve to emphasise the data gaps and the need to collect additional data. In this case, advocating for data and statistics to be collected and provided by the municipality could be one of the next activities, in the context of advocacy on monitoring results.

51 GRB, Manual for CSO, UN Women 2015



## Annex 1: Conventions, laws, and subordinate legal acts

### Instruments of the UN framework

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1. Universal Declaration of Human Rights (UDHR), 1948
2. International Covenant on Civil and Political Rights (signed in 1966; entered into force in 1976. Ratified by Albania in 1991)<sup>52</sup>
3. International Covenant on Economic, Social and Cultural Rights (signed in 1966; entered into force in 1976. Ratified in 1991)<sup>53</sup>.
4. Convention on the Rights of Persons with Disabilities (CRPD)<sup>54</sup>(approved on 13 December 2006; entered into force on 3 May 2008; ratified in 2012.<sup>55</sup>
5. Convention on the Elimination of all Forms of Discrimination Against Women (CEDAW)<sup>56</sup> (approved on 18 December 1979; entered into force in 1981; ratified in 1993).<sup>57</sup>
6. International Convention on the Elimination of All Forms of Racial Discrimination (approved in 1966; entered into force in 1969; ratified in 1993).<sup>58</sup>
7. Convention on the Rights of the Child (CRC)<sup>59</sup> (approved in 1989; entered into force in 1990; ratified in 1992)<sup>60</sup>

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52 Law No. 7510, dated 08.08.1991

53 Law No. 7511, dated 08.08.1991

54 Convention on the Rights of Persons with Disabilities

55 Law No. 108, dated 15.11.2012

56 Convention on the Elimination of all forms of Discrimination Against Women

57 Law 1769/ 9.11.1993

58 Law No. 7768, dated 09.11.1993

59 Convention on the Rights of the Child

60 Law dated 27.02.1992



## Instruments of the Council of Europe framework

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1. European Convention for the Protection of Human Rights and Fundamental Freedoms<sup>61</sup> signed in 1950 and entered into force in 1953. Ratified by Albania in 1996<sup>62</sup>
2. Protocol 12 (2000) to the Convention for the Protection of Human Rights and Fundamental Freedoms, (ratified by Albania in 2004 and entered into force in 2005).
3. European Social Charter (Revised) <sup>63</sup> (signed in 1998 and ratified by Albania in 2002)
4. Framework Convention for the Protection of National Minorities; ratified by Albania in 1999.<sup>64</sup>
5. Convention on preventing and combating violence against women and domestic violence,<sup>65</sup> ratified by Albania in 2012.

## European Union Standards

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1. European Union Charter of Fundamental Rights (Charter)

## Albanian Legal framework

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1. Constitution of the Republic of Albania
2. Law No. 10 221 of 2010, "On protection from discrimination"
3. Law No. 96/2017 "On the Protection of National Minorities in the Republic of Albania"
4. Law No. 68/2017 "On Local Government Finances"
5. Law No. 18/2017 "On rights and protection of children" Law No. 139/2015 "On Local Government"

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61 ECHR was signed in November 1950 and entered into force in September 1953, following its 10th ratification by Grand Duchy of Luxembourg

62 Law No. 8137, dated 31.07.1996, "On the ratification of the European Convention for the Protection of Human Rights and Fundamental Freedoms," as amended.

63 Law No. 8960, dated 24.10.2002

64 Law No. 8496, date 03.06.1999

65 Law No. 104 dated 11.08.2012 'On the Ratification of the Council of Europe Convention "On preventing and combating violence against women and domestic violence"





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