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## **Practitioner's Guide:**

## **Strengthening Local Self-Governance through Community Unions**





Bundesministerium für wirtschaftliche Zusammenarbeit und Entwicklung



FRCS Food Security, Regional Cooperation & Stability, South Caucasus

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# Brief Description



Governments are beginning to **decentralise** some political, fiscal and/or administrative responsibilities to lower level governments and to the private sector. The process is particularly widespread in developing countries, often for different reasons:

- In Africa due to the advent of multiparty political systems
- In South America due to the deepening of democratization
- In Eastern Europe, based on the transition from a command to a market economy
- In East Asia the need to improve delivery of local services to large population in the centralized countries
- In South Asia and Caucasus the challenge of ethnic and geographic diversity, ethnic tensions and the attempt to keep centrifugal forces at bay by forging asymmetrical federations
- In other countries the simple reality is that central governments have failed to provide effective public services.

Decentralisation is a crosscutting reform and it touches upon: the relation between fiscal and financial development, macroeconomic stability, poverty alleviation and the social safety net, institutional capacity, corruption, and governance, investment in infrastructure and the provision of social services.

**Local self-government** is one form in which decentralisation can be undertaken. As directly elected representatives of the people, the local self-government is expected to resolve the problems of community importance. The shift of authority from the upper levels to the lower makes possible the citizens' wider participation in decision-making.

> Central governments are not always willing to delegate sufficient authority and power to the local self-governance. While decision-making authority is often devolved, financial and fiscal authority remains in the ambit of central government. This weakens local self-governments making it easier for the central government administration to "divide and rule", mostly simply through the ad hoc

Picture 1: Local Community



Picture 2: Industry and infrastructure needing rehabilitation



allocation of resources. This can be negated if the local selfgovernments actively cooperate amongst each other and when they are treated as equal partners in the development process by the central government. The methods of federating local self-governments into **community associations, unions or** 

ments into **community associations, unions or councils** has proved a successful approach for further strengthening the process of democratisation, good governance, accountability, transparency and public participation

## Proposed Main Users

## Purpose of the Method



Mayors, councillors, local governments, NGOs, development organisations



Worldwide political changes have given rise to the necessity to address local demands and the need to bring economic and political systems closer to local communities. On the one hand, economic mobility has led to the creation of supernational bodies to manage the growing economic integration amongst nations. On the other hand, more and more **"public" services can be efficiently provided by decentralized** (and often private) organizations. Finally, the sheer collapse of central economic systems has been an important impetus for the emergence of regional and local governments in the political and economic process.

Local self-governments are meant to be more responsive to their citizens and decision-making is to be more transparent and predictable. Opportunities for poor to voice their opinions are to be strengthened. Frail democratic systems should be strengthened in order to render the electoral system to greater accountability. Strong local participation can overcome weak formal election systems, but powerful elites make this difficult in many places. Formation of an association or council of local self-governments is one approach for counteracting the power of the elites and existing central administrations. In many countries the existing legal framework provides sufficient scope for the formation of associations.

Community Unions (CUs) or Community Associations (CAs) can be established under several typology:

- Where communities have been organised into some form of community organisations (CO's);
- Where there are elected representatives at the village or municipal level;
- Where there are elected representatives at the village/municipal level and elected representatives at the district level or subnational level.

Community Unions or Associations (CUs / CAs) are designed to strengthen the individual community or municipalities ability to represent their views and/or to strengthen their bargaining position with the formalised (central) government structures.

Purpose of the Method



A "mobilised" community at the grassroots level has proved to be an important ingredient for successful local self-governance and community unions / associations.

Linking the CU's to decentralised development funds has proved to be an important ingredient for success. Operating in institutional environments where government agencies have singularly failed to improve the living standards of the poor, CU's coupled to development funds (i.e. District Development Funds) put into place mechanisms for channelling resources directly to community groups; they empower these groups to take on responsibilities for such activities as organizing community labour contributions, procuring goods and services and other project management tasks; and they are also important instruments for mobilizing both public and private sector institutions in an effort to improve basic services.

Since community unions often work with elected representatives it is important to assure their legitimacy in representing the communities. Experience shows that representatives of "mobilised" communities effectively practise basic participatory and transparent decision-making processes since they have been extensively trained to apply these methods.

## **Advantages**



- Provides a forum for individual local self-governments to jointly discuss common problems and solutions
- By uniting as a group the union can counteract a strongly centralised public administration
- Is an additional method for fostering greater transparency, efficiency and accountability of local self-governance
- By requiring local self-self governments to prepare development plans using participatory procedures, CU's in conjunction with development funds aim to re-orient mayors to pay less attention to their political "clients" and more to broader community needs.
- By openly including communities in the project cycle, they have helped rebuild some community faith in public institutions to provide essential services, and communities appreciate their own role and responsibilities in these activities
- By using transparent and objective criteria to fund projects, development funds foster accountability by reducing discretion and establishing clear rules of the game that can be enforced.
- By demonstrating the benefits of the CU's and development fund methodology, this has encouraged greater responsiveness amongst many local governments
- Democratises the approach for allocating scarce resources.
- Provides the means by which funds can be delivered rapidly and efficiently to the intended beneficiaries.
- Establishes greater inter-community coordination, prioritisation and implementation of developmental needs.
- Allows for a multi-stakeholder dialogue on development related issues, which in turn is the first step towards some form of strategic regional development.
- Reduces the overall costs of projects through community contributions and competition between communities.

## Limitations



- The union's reliance on "external" funds is difficult to change, especially with the poor tax bases available to them.
- There is a risk that the union's see themselves more in the role of being a "donor" rather than being a service provider.
- Conflicts related to the allocation of limited resources may escalate tensions, such as ethno-political tensions) unless the process of competing for limited resources is not properly managed.
- Not always possible or effective to balance needs of larger towns with small communities.
- Need for strong checks and balances to ensure council mayors do not use the union to promote their own personal interests.
- Central government may gain the impression that the union is in pursuit of regional autonomy.
- Central government and the treasury are often unwilling to channel their development resources through the unions
- Provincial and district administrations continue to want to "control" the unions.

Principles & General Procedures

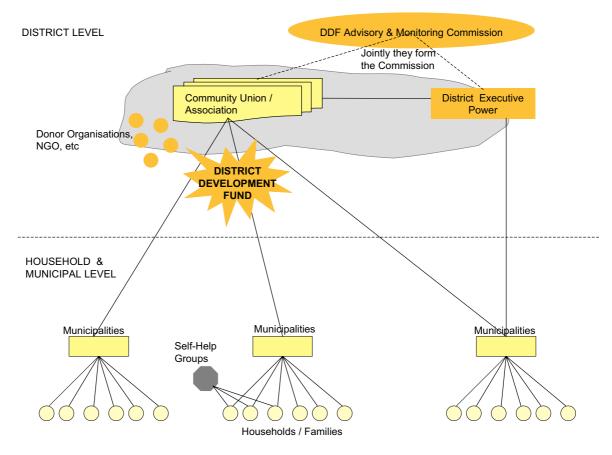


## **Objectives of forming Unions / Associations:**

The main objectives of these unions are to provide a forum for:

- Agreeing upon common development approaches;
- Discussing mutual potentials, problems and sharing approaches for resolving these individually or collectively;
- Developing the capacity to provide specific planning and implementation support services to the communities / villagers / municipalities;
- Developing and implementing an approach for effectively lobbying and interacting with the private sector, NGOs and other development organisations;
- Tapping additional external funds from government, donor organisations or even the private sector.
- Engage elected and appointed government representatives in a constructive dialogue at the local / district level.

Figure 1: Interaction between CUs / CAs and communities / district institutions



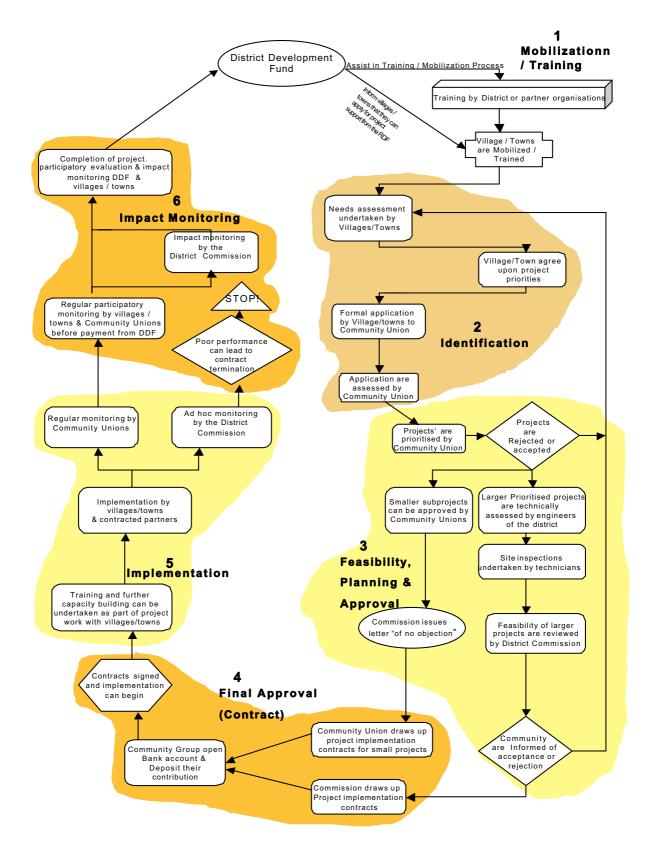
Principles & General Procedures



#### **Principles:**

- Group strength: Individual community organisations or municipalities are weak on their own since public administrations and politicians can "divide-and-rule" them. As a group they are strong. The bargaining power of the villagers, community organisations or municipalities will be significantly enhanced through the creation of an union. The union will be able to exert an influence on the decision-making process in order to ensure that transparent procedures and good governance are practised.
- ▶ **Dialogue:** Villagers, community organisations and municipalities will participate in different partnership models, not only with the public sector but also the private sector, the NGOs and donor organisations. They need to have their own forum to engage these organisations in a dialogue.
- Transparency: A clear public monitoring process is linked to a "guidelines and rules based approach: This helps to ensure the transparency of processes within and between the organisation's members.
- Accountability: Public auditing ensures that rules and procedures are respected throughout the operational stages of the municipal, village or community organisations activities.
- Efficiency: Community organisations will wish to keep project costs to a minimum; not least because they are expected to contribute a significant amount of the resources required (i.e. in cash or kind). Efficient design specifications are needed that ensure low investment and also low operational and maintenance costs.

Figure 2: Process for the community to access the district development fund



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## **Basic model:**

A basic model that is applicable in most scenarios involves six main steps. There are two crucial ingredients that have proved to be important in the approach described in the six steps: well organised communities at the village, municipal or town level and the introduction of a development fund. Once a union is operational then a twice-annual planning and implementation cycle can be applied. The steps for this are described in the section "putting it all together". Finally, variations on the basic model are possible, depending upon the social and political setting. The modification for such models is briefly described at the end.

#### Step A: Community mobilisation

Where local self-governance exists there is often no formal community organisational structures within the municipality or district. Mobilisation of the community and the creation of community organisations should be undertaken prior to establishing any form of unions. They form the basic grass-roots organisational units with a strong interest in undertaking development activities. Community mobilisation should be undertaken as a basic step towards greater local self-governance. The process of forming community organisations varies from anywhere between several months and many years. It depends upon the level of mobilisation to be reached and the speed with which the communities adapt to the concept.

At times, mobilised communities do not take cognisance of locally elected mayors, councillors or officials. The reasons for this is that community mobilisation is often supported by non-governmental organisations who are not always in favour of formal links with government structures. For development to be effective there is a need to carefully interlink mobilised community structures with local self-governance. Community unions provide an ideal forum for precisely this type of linkages.

#### Step B: Initial issues to be clarified

- Legal basis: What needs to be determined for forming legal organisations within the framework of decentralisation and local self-governance?
- Democratic elections: If the community unions are to be created from the elected municipalities are free and fair elections to be held? Do councillors and mayors represent the views of the communities?

## Principles & General Procedures



- Political will: The community members and elected councillors/mayors need to demonstrate the political required will to form a union. Since the union is likely to become more influential is there a perceived need to secure the willingness of the community representatives to form such a union?
- Government cooperation: Does the government administration demonstrate the necessary political will to allow local self-governments to form and operate as a union? Forums for coordinating government and local self-government activities are required, for example district or regional development committees. Are the development committees willing to coordinate government sector, private and NGO development initiatives to avoid overlaps and duplications?

## Step C: Formation of community unions

- Statutes: Does the community union have a set of statutes to regulate their affairs? Are there any such statutes that could be adapted and modified for the local situation? The statues should consider addressing the management, decision-making structure and process, participation processes of the members and so on. For day-to-day operations the union will require funds. The members need consider whether or not a monthly or annual subscription should be paid by all members to cover the running expenses of the union.
- Legal formation and registration: Is it necessary to legalise the union by registering it with the appropriate ministry (i.e. Ministry of Justice, etc.)? This may qualify the union to handle public and private resources. In many countries the form of registration is also important: the union can become a non-profit organisation, an NGO, or even a limited private company.
- Executive / management body: In order to manage the day-to-day affairs the union should consider hiring staff, including a executive director or general manager. It is advisable that the union itself recruit and pay for the person. Consideration should be given by the union to ascertain whether the costs for the person can be covered through the subscription fees or whether other sources of funds need to be tapped.
- Formal inauguration of the union: Should the launch of the union be a formal affair? Possible media coverage may help the union it making its presence known in the region and amongst key stakeholders (i.e. government organisations, NGOs, donor organisations).
- Provision of continuous support: The extent to which community unions require support in terms of organisational development, training and capacity building has to be carefully ascertained. This support can be gradually reduced as the community unions grow in strength. Some form of continuous support services should be considered whereby thoughts should be given to determining how in future this support could be provided by the community unions.

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### Step D: Creation of a District Development Fund

Local self-governments, municipalities and communities are plagued by a chronic shortage of financial resources. Although they are allowed to collect taxes, fees and levies, these revenues barely cover the salaries and minimal operational costs of the local self-governments.

District development funds usually have two goals: increasing sustained access of the poor to local services and infrastructure, and empowering *communities* through participation in the selection, implementation and ongoing operation and maintenance of development projects. They target resources by providing direct financing for community projects designed to have a quick impact on improving basic services and reducing poverty. To promote timely support to communities, funds typically utilize procedures that provide a waiver from standard government procurement and other regulations. By connecting the supply side of the government and civil society to the demand of communities through a transparent set of rules, the Fund also contributes to transparency and good governance. The participation of the private sector in the financing and implementation of the process will also contribute to the coordination of private and public sector efforts to reduce poverty.

- Access to additional resources in form of a development fund has proved a key ingredient for the success of the unions. Decisions taken by the unions can be implemented by communities, towns and municipalities through the resources provided in the **District Development Fund (DDF)**.
- The necessary legal mechanisms for establishing the fund have to be undertaken, this depends on the legal status of the community unions.
- Consideration has to be given to ensure ways of scaling-up operations to support all the communities in the union.
- The sustainability of the fund and the services provided by development fund have to be carefully considered and planned right from the beginning.
- Rules and procedures have to be developed to ensure that a participatory planning process is followed that gives voice to all in members of the community union.
- The conceptual approach should also take into consideration how best to eventually integrate development funds into systems of intergovernmental fiscal relations.
- Development of an operations manual for the District Development Fund (DDF): Regulation of the DDF may require an operations manual. Wherever possible, the manual should be as simple as possible, a rulebased approach has proved successful and delegation of decisions at the lowest level can greatly help in reducing unnecessary bureaucracy.

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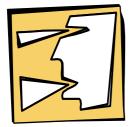


## Step E: Organisational requirements

In order to allow for interaction between the community unions and the governments service providers, donors and NGOs some form of informal organisational arrangements may prove useful. Making use of existing structures rather than installing new ones is advisable, whereby this depends upon the functionality of the existing formal or informal organisational structures. The following maybe prove useful in developing formal or informal structures:

- Community Union Secretariat: task could be to act as the secretariat for the union. If the CU's to employ one person from their own funds to manage day-to-day operations of the CU's such a person maybe well suited to act as the secretariat.
- A inter-disciplinary Technical Working Group (TWG) should be considered in order to technically appraise the development projects and monitor the technical work of the unions.
- Since the organisations is composed of many members it seems only natural that some form of general assembly will be required. This proposed general body provides the forum where all representatives of the union regularly meet to discuss and agree upon the unions' activities.
- District Development Fund Advisory and Monitoring Commission. In order not to alienate the government it is often advisable to create a forum in which the unions, the government and the stakeholders can meet at regular intervals. The creation of a DDF Advisory and Monitoring Commission may provide precisely such a forum in which the community unions, Government officials, NGOs and donor organisation can select and finally endorse the community union selection of projects. In order to reduce bureaucracy and unnecessary controls, the proposal to allow the unions to decide upon projects up to a certain investment limit may prove very helpful. Small projects below a defined financial limit would be submitted to the commission for information, larger projects involving government financial contributions would require formal approval by the commission.

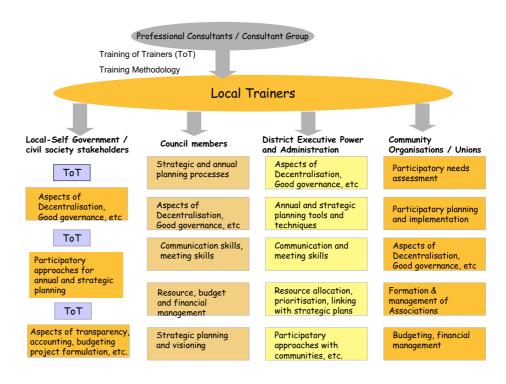
Principles & General Procedures



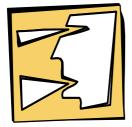
## **Step F: Capacity building**

- Current field experience shows that capacity building has to be undertaken at all levels: at the village / town level, at the village council level (i.e. municipality) at the district level. In addition, its has proved necessary that capacity has to be developed at the local, district and national level so that training can be provided through appropriately qualified personnel. Training is only one aspect of capacity building, the others include physical infrastructure such as office space, personnel, office materials and supplies, etc. and technical advice and professional support services.
- Figure 3 provides an illustration of a multi-level and multi stakeholder capacity building and training approach required in order to develop community unions in conjunction with the development fund approach. It also illustrates how the creation of local training capacity can ensure that training can be provided continuously. This is important given the fact that local self-governments are regularly elected and new councillors and mayors will require training when they are elected.
- A few examples of training topics includes: Essential elements of decentralisation and municipal management and administration, administration and management issues of local self-governments, major features of the district / municipal planning system, basic elements of the district / municipal financing procedures and approaches, project identification and selection, project planning and implementation, issues of transparency and good governance, and so on.





Principles & General Procedures



## Putting it altogether: Annual Planning Process

A regulated project approval and implementation cycle is generally recommended, not least because public sector funds have to follow strict annual planning and allocation process. Funds are not available at any time as is often the case in donor supported development projects. In order to react to unforeseen circumstances and in order to take into account seasonal factors such as agricultural cycles, project approvals should be undertaken twice a year. Steps 1-7 described below and depicted in figure 4 are to be repeated twice-a-year

#### Step 1:

Community Organisation could be requested to submit one or possibly two project proposal each to be funded from the District Development Fund. Communities would have to determine and prioritise their development needs. They need to assess their own developmental needs and experience has shown that communities who have been mobilised best do this.

#### Step 2:

- Project proposals collected at the village / municipal level could undergo an initial analysis. While the communities / villagers have prioritised their needs and requirements, a brief prioritisation may prove necessary at the village council level, especially if the council is made up of more than one village. The active participation of the community representatives is recommended.
- It may prove efficient and effective if all villages / municipalities submit their prioritised projects to the Community Union Secretariat. They in turn can categorise projects according to sectors and can then forward the applications for a more rigorous technical assessment by the Technical Working Group (TWG).

#### Step 3:

- Without undergoing a thorough technical and financial feasibility assessment it becomes impossible to determine which project maybe eligible for funding by the community union. The TWG is best placed to undertake this assessment and they may decide to co-opt technical specialists from the sectoral line agencies administration to assist in the task (i.e. agricultural specialist, infrastructure specialist).
- The technical work group should provide a recommendation as to which projects are technically and financially feasible.
- A glance as to whether or not the projects proposed are in-line with any possible strategic vision and plan that may exist for the districts is also recommended. Generally, projects supported through public resources should be in-line existing policies and strategies.

Figure 4: Steps for annual planning process for the basic model

#### STEP 1:

Community Organisations apply for 1-2 projects each that they want funded from the DDF

#### STEP 2:

Collected by Community Union / Association Secretariat and categorised according to sectors

#### STEP 3:

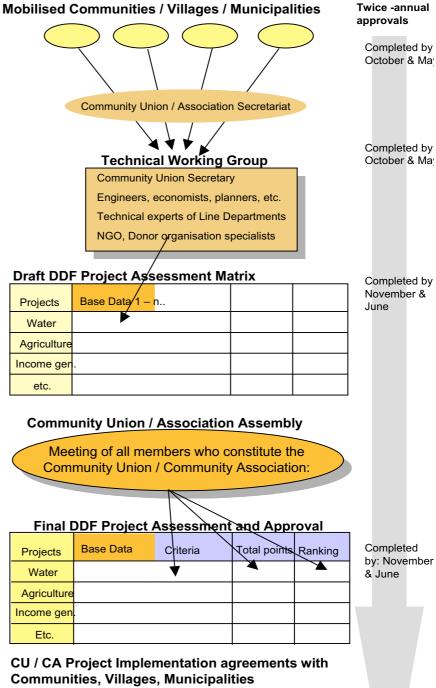
Technical Working Appraisal Group assesses the Community Projects and determines their technical and financial viability

#### STEP 4:

After accepting the feasibility, all of the information from proposed Projects is inserted into the DDF assessment matrix in preparation of the main meeting of the Community Union / Association. Only basic data are inserted i.e. number of beneficiaries, costs, etc.

#### STEP 5:

During the twice annual CU / CA assembly meeting a transparent ranking process using agreed upon criteria will be applied. All members of the CU / CA are expected to participate. The voting rights will be determined in the DDF manual



#### STEP 6:

The CU / CA draws up implementation agreements (using standard format) with the respective village, municipality

#### STEP 7:

CU / CA Secretariat monitor and evaluate the implementation process and would be assisted in this task by the TWG members

CU / CA Project Implementation agreements with **Communities, Villages, Municipalities** 



Implementation starts: February & August

## Principles & General Procedures



#### Step 4:

- The TWG inserts all the basic information contained in the project application form into a **decision-making matrix**. Information to be inserted includes all the basic statistics of the town / municipality such as the population size, number of expected beneficiaries, etc. The TWG does not prioritise the projects; they merely insert the basic data needed for the community union to undertake the necessary prioritisation.
- The matrix is then submitted to a general meeting of the community union.

#### Step 5:

- During the workshop of the CU all project applications will undergo a rigorous ranking and prioritisation process based upon a **points based** ranking system
- At the end of the meeting the projects that receive the highest ranking will be selected. A link between available resources and projects approved has to be achieved at the meeting / workshop.
- In the model where there is an Advisory and Monitoring Commission (compare figure 5), the projects selected by the community unions would be submitted for final approval by the commission. Projects below a predefined financial limit would be submitted to the commission for information. Bigger projects would require formal approval of the commission. The composition of the commission should reflect the financiers of the district development fund. This is usually at least tri-partite: community members, local self-governments and/or central governments, and, donors and non-governmental organisations.

#### Step 6:

The CU's would then sign implementation agreements with the municipalities or villages. The agreements detail the project to be jointly financed from the fund, the implementation and monitoring modalities.

#### Step 7:

- The secretariat of the CU's can be used to monitor the implementation of the projects and they could also report the progress of work to the community union. The completion of a project has to be assured prior to a municipality being eligible for further support from the DDF.
- The secretariat and where applicable, the commission would also need to undertake impact monitoring.

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#### **Model variations:**

- Where an elected assembly of community representatives exists at the village level, the community union is composed of these representatives. In this model the elected mayors of the villages and towns would submit project proposals that are the result of community participatory exercises to the District Development Fund. The community union would be administering the DDF. As government officials and other stakeholders contributing to the fund do not directly participate in the decision making process of the community union, the model requires the formation of a District Development Fund Advisory and Monitoring Commission. The commission provides a forum where all stakeholders of the fund can meet and undertake joint decisions regarding the fund.
- In countries where there is both an elected village / municipal councils and also elected district level councils the need for a separate community union is advisable. In this case the approach would be to link the District Development Fund to the District Council. A commission of the council with an expanded membership to include all representatives from the villages / municipalities, NGOs and donor organisations still could be created, namely a District Development Fund Advisory and Monitoring Commission.
- The formation of a District Development Fund Advisory and Monitoring Commission is advisable. The objective of the DDF Advisory and Monitoring Commission is to provide a forum in which the community unions, government officials, NGOs and donor organisation endorse the community union selection of projects. Small projects below a defined financial limit could be submitted to the Commission for information, larger projects involving government financial contributions may well require formal approval by the commission.
- The Advisory and Monitoring Commission can also act as a "referee" in the event of a dispute either within the community union or between the union and government organisations or the union and the individual communities.

Figure 5 depicts the changes that could be made when there is an elected village and / or district assembly. In both cases, the differences to the basic model would be the formation of a District Development Advisory and Monitoring Commission. The commission could provide a forum to integrate the various stakeholders involved in the District Development Fund e.g. Government, municipalities/towns and donors / NGOs. Other changes include using the elected district assembly as the main decision making body rather than creating a community union.

Figure 5: Steps for annual planning for model variations

#### STEP 1:

Community Organisations apply for 1-2 projects each that they want funded from the DDF

#### STEP 2:

Collected by Community Union / Association Secretariat and categorised according to sectors

#### STEP 3:

Technical Working Appraisal Group assesses the Community Projects and determines their technical and financial viability

#### STEP 4:

After accepting the feasibility, all of the information from proposed Projects is inserted into the DDF assessment matrix in preparation of the main meeting of the Community Union / Association. Only basic data are inserted i.e. number of beneficiaries, costs, etc.

#### STEP 5:

During the twice annual assembly meeting a transparent ranking process using agreed upon criteria will be applied. All members of the assembly are expected to participate. The voting rights will be determined in the DDF manual

#### STEP 6:

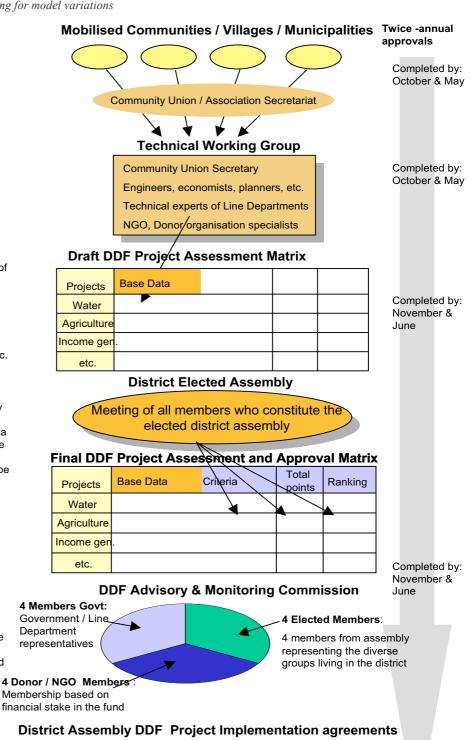
The DDF Advisory & Monitoring Commission composed of 12 members undertakes final approval of the projects above the spending limits set and they may also be involved in monitoring and evaluation.

#### STEP 7:

The CU / CA draws up implementation agreements (using standard format) with the respective village, municipality

#### STEP 8:

CU / CA Secretariat monitor and evaluate the implementation process and would be assisted in this task by the TWG members



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Implementation starts: February

& August

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