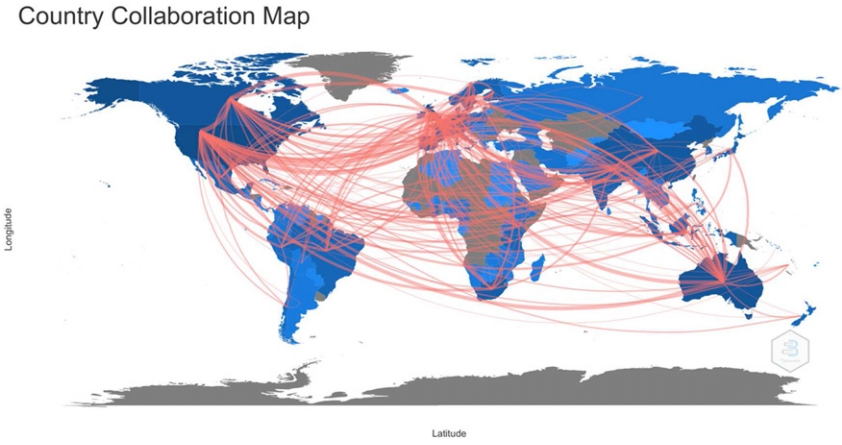
APPENDICES

APPENDIX A: BIBLIOMETRIC DESCRIPTION OF THE COMMUNITY PARTICIPATION AND LOCAL GOVERNANCE LITERATURE FROM WOS (1997–2022)

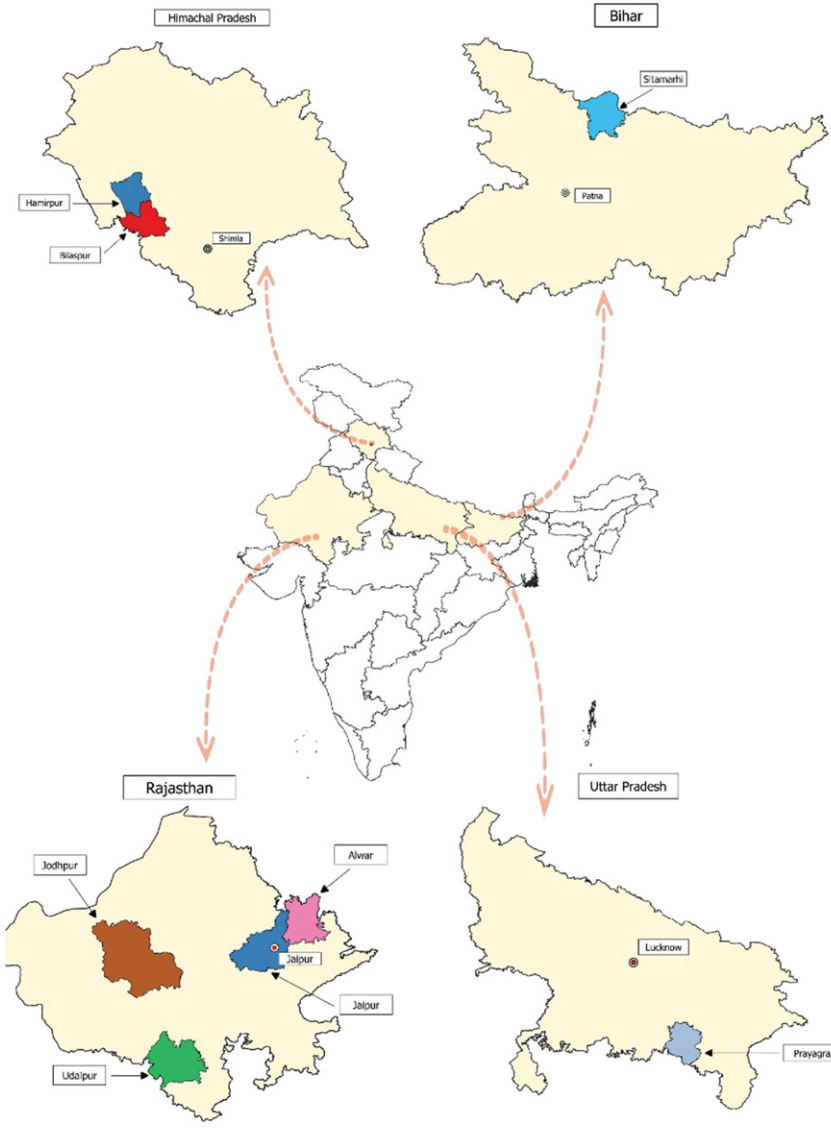
Sources (Journals, Books, etc.)	448
Documents	1,404
Average years from publication	5
Average citations per documents	14
Average citations per year per doc	2
References	73,028
Document types	
Article	1,262
Article; early access	46
Article; proceedings paper	22
Editorial material	8
Review	62
Review; book chapter	3
Review; early access	1
Document contents	
Keywords plus (ID)	2,371
Author's keywords (DE)	4,043
Authors	
Authors	4,145
Author appearances	4,631
Authors of single-authored documents	241
Authors of multi-authored documents	3,904
Authors collaboration	
Single-authored documents	248
Documents per author	0

Authors per document	3
Co-authors per documents	3
Collaboration index	3

APPENDIX B: COUNTRY COLLABORATION ON SCIENTIFIC RESEARCH ON PARTICIPATION AND LOCAL GOVERNANCE



APPENDIX C: MY FIELD SITES IN INDIA



NOTE ON METHODS AND ANALYSIS

Selection of Sample Units and Variables

The study used vacant seats in PRI elections to measure the democratic deficit in electoral participation. The first indicator was the number of contestants for each electoral seat in the villages. This second indicator measured the degree of democratic contest for the Pradhan (village council chief) and village council membership positions. These indicators reflected the level of engagement in local polls, i.e. whether the PRI system achieved the constitutional mandate of filling all of the seats (Pradhan and other members) in each village council.

The proportion of vacant positions and contestants in elections at the village level was used as a proxy to measure the community representatives' participation in the villages' PRI elections. After adding vacant and uncontested positions, the Allahabad district falls near or above the upper quartile (Q3) in all three indicators: vacant, uncontested positions and both (vacant and uncontested combined). The high proportion of empty and uncontested seats indicates that PRIs cannot ensure participation at the village level's first electoral stage (i.e. low involvement). Due to this democratic deficit, the district of Allahabad was chosen for further examination at the level of blocks and villages.

Selection of Blocks, Villages, and Households

The 20 blocks of the Allahabad district were divided into three quartiles based on their performance in the employment guarantee scheme (Mahatma Gandhi National Employment Guarantee Act – MNREGA). The scheme has a mandate of bottom-up planning through village meetings. Hence, the ratio of households (HHs) that applied for a job vs people getting a job was used to proxy participation in open meetings across these blocks. From each quartile, one block was randomly selected. Three blocks were selected out of the three strata of 20 blocks using stratified random sampling. Two villages were then chosen at random from the lists of each block. Hence, a total of six villages were selected for the HH interviews. During the fieldwork, it was found that one village had no meeting, so another village was selected from within the same block, bringing the total count to seven villages.[1]

From these seven villages, I interviewed the head of the HHs from 135 HHs. A diverse pool of HHs was purposively selected from each village, containing HHs supporting the political party of the chief of the village

1 Further detail on these selections is available on the Harvard repository (Singh, 2021) and related published work (Singh & Moody, 2021).

(Pradhan), as well as HHs supporting the opposition leader. Since open meetings and participation in these meetings are the dependent variables in this study, when the information on the meeting was saturated from a village (e.g. 8–10 HHs reported no meeting or shared a similar experience in open meetings), another village was selected.[2]

The study recorded gender, caste segregation and elite-brokerage relationships in interviews and village observations, as caste, education and gender are widely discussed in the relevant literature (Chattopadhyay & Duflo, 2004; Sanyal & Rao, 2018). The study reported the community narratives from the sample of seven villages, highlighting their satisfaction and concerns with PRIs. These narratives help explain and contextualize the data collected on vacant positions at the GP level in PRI elections.[3] Questions were posed regarding the frequency of open meetings, HH attendance and meeting participation. The interviews also contained two open-ended questions concerning the participatory local governance mechanisms of PRIs: (i) 'What are the problems with the Panchayat system?' and (ii) 'In your opinion, what should be done to improve the system so that people can participate in the open meetings?' Respondents were also given the ability to report inactive village councils, no/or low frequency of meetings. I conducted interviews with 135 HHs and translated them into English for this write-up.

Summary of Key Variables

Variables	Latent and Indicator Variable Description	Mean	Standard Deviation	Presence of Variable	Range
Higher caste	Presence of higher caste	0.44	0.499	75(44.4%)	(0,1)
Gender	Gender of the head of the HH	–	–	Male 83%	–
Village	Type of the village (new/Old)	–	–	New 40.7%	–
Labour class	HHs reporting labour as primary occupation	0.48	0.502	48%	(0,1)

2 Mostly, there was a low frequency (0–2 against 7–8) of open meetings in each village, and vocal participation or interest in meetings was limited to a few households (supporters of *Pradhan* or poor people seeking benefits of a scheme). So, to have a variation in responses, a new village was selected for HH interviews after getting similar responses of no meeting or no vocal engagement from a set of 8–10 sampled HHs in a village.

3 Details on the questionnaire are available in the related published work (Singh, 2021).

(*Continued*)

Variables	Latent and Indicator Variable Description	Mean	Standard Deviation	Presence of Variable	Range
Age	Log scale of age	1.69	–		(1.4,2)
Highest education level	Education of adult with highest education level	8.33	5.86		(0,19)
Income	Log scale of income	3.96	–		(0,6.3)
Source of scheme access	Accessing information through social network	0.89	0.315	Villagers 84(62.2%)	(0,1)
Proportion of bonding ties	Ratio of individual ties and no of HHs in contact with the respondent	0.15			(0.01,0.8)
Participation	Participation in meetings			69(51.1%)	
Giving suggestions	Suggestions in meetings			21(15.6%)	

To handle the data and conduct analysis, SPSS and R studio were used. CSS selectors, an add-on in the Chrome web browser and R studio, helped curate the data from the State Election Commission and census websites.

Readers can visit my website and refer to online tutorial for a better understanding of data entry and analysis (chi square test) that I used for my PhD data.[4]

The field experiences that I have used here was part of my job in civil society organization and academic institutions.

During my Master's (2007–2009), I was extensively engaged in self-help group formation, survey and training of officials for Allahabad district (now Prayagraj), Uttar Pradesh, for the employment guarantee programme (Mahatma Gandhi National Rural Employment Guarantee Act) in India.

As a Research Assistant, I had conducted field visits in five minority concentrated districts of Uttar Pradesh in 2009.

I conducted interviews and focus group discussions with a range of community, viz. affected people, female sex workers and transgenders in Jaipur, Alwar, Jodhpur and Udaipur districts of Rajasthan (2011–2013). I conducted

4 https://muditsingh.netlify.app/tutorials/data-analysis-with-spss/

the similar field activity and imparted training to youth and women in the Himalayan region of Himachal Pradesh (2010–2011).

In Bihar (2009–2010), I stayed with the community for various days intermittently while conducting project-related activities during my tenure with Samta Gram Seva Sansthan (Posted through Ministry of Rural Development, Government of India). The field area in Bihar was Sitamarhi district to the extreme north of the state of Bihar bordering Nepal.

Currently, as a Postdoctoral Fellow (2021- till date), I have conducted interviews and coordinated field visits in Singrauli coal field area, Obra thermal power (Sonbhadra District) and that in Kanpur District of Uttar Pradesh as part of energy transition project at Indian Institute of Technology Kanpur.

APPENDIX D: PANCHAYAT POLL DATA EXTRACTED FROM THE STATE ELECTION COMMISSION OF UTTAR PRADESH

S.N.	District	GP Wards	Uncontested	Contested	Vaccant
1	Agra	9,253	6,589	1,085	1,579
2	Azamgarh	23,002	12,872	2,512	7,613
3	Aligarh	11,464	6,229	1,940	3,294
4	Allahabad	21,161	12,254	3,071	5,768
5	Ambedkarnagar	11,428	6,671	1,700	3,052
6	Amethi	8,620	4,669	2,686	1,264
7	Amroha	7,325	3,625	2,174	1,525
8	Auraiya	5,909	3,732	830	1,347
9	Budaun	12,874	7,253	3,226	2,395
10	Baghpat	3,337	2,071	967	299
11	Bahraich	13,829	8,053	3,701	2,075
12	Balia	12,213	7,430	3,080	1,701
13	Balrampur	10,053	5,831	2,257	1,954
14	Banda	6,185	4,189	1,708	288
15	Barabanki	14,583	7,908	4,435	2,196
16	Bareilly	14,921	8,765	4,346	1,808
17	Basti	14,529	8,954	1,374	4,188

(*Continued*)

S.N.	District	GP Wards	Uncontested	Contested	Vaccant
18	Bhadohi	7,047	4,519	1,392	1,135
19	Bijnor	14,106	8,436	3,045	2,622
20	Bulandshahr	12,219	7,044	2,739	2,431
21	Chandauli	9,124	5,619	2,282	1,223
22	Chitrakoot	4,247	2,664	749	834
23	Deoria	14,686	9,310	2,249	3,127
24	Eta	7,280	4,821	1,623	834
25	Faizabad	10,555	5,773	2,727	2,054
26	Farrukhabad	7,439	4,269	1,787	1,381
27	Fatehpur	10,624	7,646	2,745	233
28	Firozabad	7,282	3,888	836	2,558
29	Gautam Budhh Nagar	1,957	935	170	852
30	Ghazipur	15,667	8,817	2,419	4,431
31	Ghaziabad	2,156	1,202	514	440
32	Gonda	13,012	7,754	3,324	1,931
33	Gorakhpur	17,186	9,425	4,352	3,400
34	Hathras	5,942	2,759	444	2,737
35	Hameerpur	4,301	2,533	1,104	653
36	Hapur	3,633	2,150	897	586
37	Hardoi	16,760	8,846	6,023	1,796
38	Itawa	5,911	3,472	564	1,875
39	Jalaun	6,939	4,141	523	2,275
40	Jaunpur	22,003	13,177	2,903	5,912
41	Jhansi	6,170	4,006	1,458	706
42	Kasganj	5,421	2,917	939	1,565
43	Kannauj	6,392	3,906	1,382	1,104
44	Kanpur	7,446	4,374	1,449	1,623
45	Kanpur Dehat	8,060	4,930	1,099	2,021
46	Kaushambi	6,500	3,313	2,162	1,021
47	Kushinagar	14,517	7,527	5,977	1,013
48	Lakhimpur	15,077	8,243	5,452	1,380
49	Lucknow	7,256	3,007	3,602	647
50	Lalitpur	5,192	3,139	1,612	441

(*Continued*)

S.N.	District	GP Wards	Uncontested	Contested	Vaccant
51	Maharajganj	11,897	5,705	5,413	779
52	Mahoba	3,397	2,445	737	215
53	Mainpuri	7,112	4,040	1,299	1,773
54	Mathura	7,175	4,445	1,180	1,550
55	Mau	8,598	5,632	1,622	1,342
56	Meerut	6,414	3,811	1,621	982
57	Mirzapur	10,471	6,424	3,290	757
58	Muradabad	7,576	3,498	3,044	1,032
59	Muzaffarpur	6,726	3,498	2,491	710
60	Pilibhit	8,881	4,622	3,248	1,010
61	Pratapgarh	15,731	8,767	3,152	3,811
62	Raebareli	12,429	7,246	3,552	1,631
63	Rampur	8,564	3,830	3,952	782
64	Saharanpur	11,255	6,216	4,092	946
65	Sambhal	7,010	3,074	2,206	1,643
66	Sant Kabir Nagar	9,480	5,472	1,523	2,485
67	Sitapur	20,228	11,577	5,681	2,965
68	Shahjahapur	13,071	6,702	3,578	2,784
69	Shamli	3,126	1,410	1,385	331
70	Shravasti	5,144	2,819	1,128	1,195
71	Sidhharthnagar	14,207	7,923	3,057	3,197
72	Sonbhadra	7,881	3,155	4,450	276
73	Sultanpur	12,174	7,863	2,093	2,216
74	Unnao	12,958	7,125	2,967	2,866
75	Varanasi	9,928	5,714	1,771	2,440