



A Manual for Trainers of Social Accountability



Affiliated Network for Social Accountability
in East Asia and the Pacific

... connecting citizens to improve governance

A Manual
for Trainers of Social
Accountability

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Foreword

As development issues become more and more complex, we can no longer rely on just a few individuals or one discipline for solutions. In fact, many of the most relevant innovations today have come from a group of people who are geographically apart, with different educational background, and representing different organizational affiliations; they come together, whether in a coffee shop, in a meeting room, or in cyberspace, to solve problems that they deeply care about. They are called communities of practice (CoP). Gone are the days when development issues are the exclusive turf of the bureaucrats and the technocrats.

In ANSA-EAP, our vision is to build a network of competent and empowered CoPs who are passionate and dedicated to promote capable, effective, and accountable governments through social accountability. This Manual for Trainers of Social Accountability is our way of nurturing the emerging CoPs on social accountability in East Asia and the Pacific. We believe that training and capacity building should be an integral part of strengthening the capacity of both citizen groups and government agencies to create new spaces for a constructive engagement toward good governance.

As explained in the introduction, this Training Manual is designed for trainers and training organizers who are given the special task of delivering basic training on social accountability. It is a guidebook, a reference material, and a toolkit—all in one. As a guidebook, it provides a glimpse of what a training on social accountability should cover, from its fundamental concepts to the step-by-step process of implementing the tools. It is a reference material as it brings together key reading materials and major references on social accountability. It is likewise a handy toolkit for trainers

as it offers practical and easy-to-follow facilitation tips, structured learning exercises, and work templates.

With this Training Manual, ANSA-EAP hopes to create not only a pool of social accountability advocates but a competent and well-equipped cadre of social accountability champions. It is through effective and good management of training that learning and innovations can be potentially mainstreamed and formalized within the organization. And it is in this aspect where the Learning and Capacity Building Component of ANSA-EAP would like to contribute.

Aristotle once said, *"Excellence is an art won by training and habituation. We do not act rightly because we have virtue or excellence, but we rather have those because we have acted rightly. We are what we repeatedly do. Excellence, then, is not an act but a habit."* We at ANSA-EAP envision that the emerging practice of social accountability at present will soon become a "habit" of citizens and government officials, hopefully within this generation.

Angelita Gregorio-Medel, Ph.D.
Executive Director, ANSA-EAP

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- Participants and their respective organizations who have participated in the three runs of social accountability schools in Cambodia
- Mentors and mentees in the Mentoring, Coaching, and Exposure Visits (MCEV)
- SILAKA in Cambodia and the Society for Participatory Research (PRIA) in India, both have served as ANSA-EAP's training partners in Cambodia

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- Members of the training manual review panel: Dr. Grace Gorospe-Jamon, President of the Association of Schools of Public Administration in the Philippines (ASPAP) and Executive Director of the Philippine Social Science Council; Prof. Wilhelmina Cabo, Associate Professor at the National College of Public Administration and Governance, University of the Philippines; and Prof. Eleazar Ricote, President of ASPAP-National Capital Region and Faculty at the Jose Rizal University Graduate School.

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About the Manual

Since 2008, the Affiliated Network for Social Accountability in East Asia and the Pacific (ANSA-EAP) has accomplished a significant amount of work in areas of networking, research, learning and capacity-building, information and awareness-raising, and resource mobilization for social accountability in the East Asia and the Pacific region. The Social Accountability School, in particular, has been instrumental in supporting the emerging practice of social accountability in Cambodia and in consolidating similar practices and experiences of other countries in East Asia and the Pacific. After having three successful runs of Social Accountability School in Cambodia, the network has accumulated a wide knowledge resource base from its pool of seasoned practitioners and participants who brought in new insights, lessons, and field-based experiences on social accountability.

This *Manual for Trainers on Social Accountability* supports ANSA-EAP's goal of building a community of competent and empowered social accountability practitioners, advocates, and champions in the region. This is an introductory learning material aimed at promoting appreciation and understanding of social accountability for those who will encounter it for the first time. They are future training organizers, resource persons, and training facilitators from citizen groups and government agencies who are interested to learn about the scope, basic concepts, and applications of social accountability to promote good governance.

The training manual adheres to the following principles that define ANSA-EAP's Social Accountability School:

Learner-centered. The training manual is a guide for trainers in facilitating a learning process that is inductive, participatory, and grounded on the participants' country and organizational context.

Learning-in-action. ANSA-EAP's learning and capacity-building programs follow the learning-in-action cycle wherein the learning process takes off from the participant's milieu—learning experiences, local context, current knowledge and attitudes towards social accountability—and linking those more "familiar" starting points with the theoretical and field-based knowledge and experiences of their co-participants, training facilitators, and mentors. To facilitate this learning approach, the training manual features structured learning exercises that can help the participants relate their experiences to the key concepts of social accountability. Each training session ends with a set of guide questions to allow trainers to synthesize the discussions and highlight the most important learning points.

Localizing the learning process. Social accountability does not exist in a vacuum. It is affected by various social, economic, political, and cultural factors. The *Tips for Trainers* will help the training facilitators draw out context-specific factors, which can bring the discussions closer to the governance and development issues in the participants' country or community. Likewise, the said tips are crafted to guide trainers localize key concepts and make learning content and processes culturally-sensitive and appropriate.

The training manual is structured into three parts:

The **introduction** illustrates how ANSA-EAP values capacity-building as a strategy to mainstreaming

and advocating social accountability among citizen groups and government institutions.

The second part features **11 learning modules** of ANSA-EAP's SAS categorized into conceptual framework, methods and tools, and special topics. Here, the participants are introduced to the key concepts, theoretical underpinnings, applications, and barriers of implementing social accountability framework and tools. The *conceptual framework* comprises four sessions namely, introduction to good governance and ethical leadership in governance (a special topic under good governance), citizenship and civic engagement, decentralization of governance, and social accountability. The sessions under the *Methods and Tools* are structured in a systematic fashion following the four phases of Public Financial Management (PFM) cycle. These social accountability tools include participatory planning, participatory budgeting, participatory expenditure tracking, and participatory performance monitoring.

The special topics featured in the training manual are Procurement Monitoring (under participatory expenditure tracking) and Media and Good Governance.

The third part of the training manual is a **Trainer's Guide**. It offers practical information on how to organize, facilitate, and evaluate a social accountability training. It also compiles all the structured learning exercises and sample templates for training needs assessment, trainer's agenda, and training evaluation. The Trainer's Guide also provides information on how to carry out mentoring, coaching, and exposure visits (MCEV). This part draws heavily from ANSA-EAP's experience in conducting MCEV with the participants

of the *Program to Enhance Capacity for Social Accountability* (PECSA) in Cambodia.

The Trainer's Guide concludes with some notes on building a community of social accountability practitioners as one of the key strategies in mainstreaming social accountability in the programs, policies, and organizational processes of citizen groups and governments in the East Asia and the Pacific region.

The training manual also features a number of sidebars designed to guide the trainers on how to conduct and facilitate the training. Here is a description of each tool found in this manual:

As mentioned earlier, this training manual is an introductory learning material intended for future training organizers and training facilitators of social accountability. The Manual is not designed, however, to cover all competency requirements that are necessary to implement social accountability initiatives nor to provide a comprehensive and extensive discussion of social accountability concepts and tools. Likewise, the chapters are relatively short to give the trainers the optimum amount and range of learning content, which in turn, encourages them to make use of other reference materials that may not be cited in this training manual.



Exercises. This signals the trainers that it is time to have an exercise on the topic. It directs the trainers to the particular page in the Trainer's Guide where s/he can find the instructions on how to facilitate the exercise.



Guide Questions. These boxes contain a set of guide questions that a trainer can use to elicit participation from the learners.



Tips for Trainers. Tips and tactics on how to facilitate the sessions effectively are provided.



Tool. These boxes suggest some tools that can help enrich the learning process. These tools may include handouts, guidelines, planning tool, etc.

Introduction

ANSA-EAP Social Accountability School

Poor governance cultivates poverty and inequality. In East-Asia and the Pacific alone, countries stricken by corruption are the poorest in the region. Not many realize that good governance can be achieved by engaging citizens in government affairs. Citizen participation is seen as a “stick” punishing poor-performing government offices and public servants rather than a “carrot” leading to better development outcomes.

It is in this context that ANSA-EAP’s Social Accountability School came to life. Its purpose is to create a cadre of citizens and public officials who uphold the values and principles of social accountability as a building block of good governance. ANSA-EAP defines social accountability as actions initiated by citizen groups to hold

public officials, politicians, and service providers accountable for their conduct and performance of delivering services, improving people’s welfare, and protecting people’s rights.

Through the Social Accountability School, ANSA-EAP is able to promote and integrate social accountability in the advocacies, programs, and activities of citizen groups and government agencies working to improve governance in their respective countries.

From 2008 to 2009, ANSA-EAP had three runs of Social Accountability Schools in Cambodia, focusing on how social accountability framework and tools can be grounded and applied in government reforms based on Cambodia’s Strategic Framework for Decentralization and Deconcentration. With its

success in Cambodia, ANSA-EAP adapts a similar kind of learning and capacity-building in other countries in the East Asia and the Pacific region particularly in Indonesia, Mongolia, the Philippines, and Vietnam.

What is ANSA-EAP's learning approach?

ANSA-EAP's Social Accountability School applies the *learning-in-action* approach wherein the learning process begins with the participant's experiences, local context, and knowledge of social accountability. Through ANSA-EAP's learning strategies, the participants are able to learn more effective ways of applying social accountability tools, determine governance issues that can be addressed by social accountability mechanisms, and look for possible solutions. The learning process continues as they apply what they have learned from the Social Accountability School (Figure 1).

The Learning Content

ANSA-EAP Social Accountability School revolves around the following thematic areas on social accountability:

Conceptual Framework

- Introduction to Good Governance (with a subtopic on ethical leadership in governance)
- Democratic Decentralization
- Citizenship and Constructive Civic Engagement
- Social Accountability



Fig. 1. ANSA-EAP SAS Learning-in-Action Cycle

Methods and Tools

- Overview: The Public Finance Management Cycle
- Participatory Planning
- Participatory Budgeting
- Participatory Expenditure Tracking
- Participatory Monitoring

Special Topics

- Procurement Monitoring (under Participatory Expenditure Tracking)
- Media and Governance

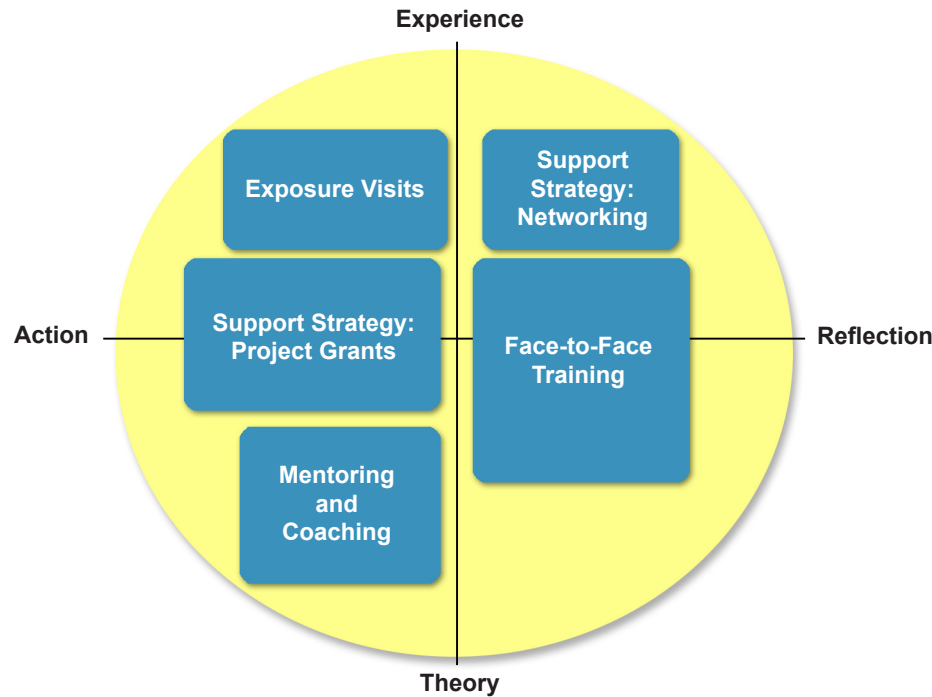


Fig. 2. ANSA-EAP Social Accountability School Framework

The Learning Strategies

The learning strategies of the Social Accountability School combines traditional and innovative learning strategies that build on the participants' experiences, enrich learning with theories of social accountability, and facilitate a cycle of action-reflection-action. (Figure 2).

a. Face-to-face Training

ANSA-EAP's primary mode of learning delivery is the face-to-face training. It provides the

participants an expert opinion, venues for in-depth discussions, and structured learning activities on social accountability. Discussions and presentations are localized through case studies from various countries in the region and the Pacific and from other regions in the world. Such learning brings together the theory and practice of social accountability, making the participants not just receivers of new knowledge but also active agents of learning.

b. Mentoring and coaching

Learning, however, does not end in the training halls. Resource persons guide the participants on the adoption of concepts and tools gained from the face-to-face training. Mentors visit the participants in their communities to help them design and refine project ideas on social accountability. ANSA-EAP also makes use, whenever possible, of new information and communication technologies (ICTs) to connect “mentors” and “mentees.”

c. Exposure visits

Exposure visits allow the participants to learn how social accountability is successfully applied in other localities and countries. It enables them to compare their realities with the situation of their neighbor countries and the sound practices that transpired from such experience in engaging constructively with the government.

d. Support for strategic and social accountability initiative

Project grants

ANSA-EAP espouses the idea of taking the learning forward through field-testing and application of social accountability concepts and tools. Grant schemes, which come either from internal funds or external sources, provide the participants the opportunity to design and implement projects on social accountability.

Networking

ANSA-EAP recognizes networks as channels of mainstreaming social accountability into the programs, policies, and ways of working of citizen groups and government agencies in the region. ANSA-EAP hopes to create a vibrant community of social accountability practitioners through the formation of conveners group, formalization, resource mobilization, and pilot testing of social accountability tools.

Session 1

Introduction to Good Governance

Learning Objectives

At the end of the session, the participants should be able to:

- Define good governance;
- Discuss the fundamental principles, indicators, and characteristics of good governance;
- Identify the key agents and their roles in good governance; and
- Explain the link between good governance and social accountability.

Core Messages

- Good governance refers to the sound and competent management of a country's resources and affairs. It is a prerequisite to a society where

people's basic needs are met sufficiently, where caring communities are nurtured, and where relationships between its members are anchored on justice and equality.

- The three fundamental principles of good governance are transparency, participation, and accountability. Transparency means information on government programs and transactions are readily available, accessible, and understandable to the public. Participation entails active involvement of citizens in government processes and decision-making. Accountability means that government representatives and bodies are responsive and answerable to the public from which their authority is derived.
- The two key agents of good governance are the government and citizens. Citizen groups usually

act in collaboration with or with support from the private sector, which thrives in a well-governed environment, and the media, which helps make information available to the public.

- Social accountability is the constructive engagement between citizen groups and the government for the purpose of checking and monitoring the conduct and performance of public officials and service providers in their use or allocation of public resources.
- To effectively address governance issues, initiatives to strengthen public accountability must be a joint effort of the government and citizens. Hence, a constructive civic engagement with the government can result in a more capable, responsive, and accountable system of governance.

I. Definitions and Key Concepts of Good Governance

What is governance?



EXERCISE 1.1: Governance Circles on page 190 in the Trainer's Guide.

The term *governance* is defined by many development organizations in many ways. Below are some of these definitions:

United Nations Development Program (UNDP):
The existence of a network of institutions of

government coupled with laws and regulations that together create and maintain a social environment in which human development takes place and for all groups in society. Good governance is thus, a subset of governance, wherein public resources and problems are managed effectively, efficiently, and in response to needs of society.

World Bank: The traditions and institutions by which authority in a country is exercised for the common good. This includes (1) the process by which those in authority are selected, monitored, and replaced (the political dimension), (2) the capacity of the government to effectively manage its resources and implement sound policies (the economic dimension), and (3) the respect of citizens and the state for the institutions that govern economic and social interactions among them (the institutional respect dimension).

Japan International Cooperation Agency: Governing functions that a government should possess in order to work toward such goals as maintaining a unified state, defending its territory or developing its economy. Such governing functions are needed to achieve the objectives of self-reliance, sustainable development, and social justice.

Australian Agency for International Development: Set of economic, administrative and political processes through which a government meets its objectives.

Ateneo School of Government: The science of decision-making and the exercise of power and authority in which society manages its development process and resolves conflict.

What about good governance?



Tip for Facilitators

Try to know the local constructs or terminologies that would represent the concept of good governance in your participants' country or locality.

Good governance refers to the sound and competent management of a country's resources and affairs. ANSA-EAP conceptualized good governance as a prerequisite to building a *good society* where people's *basic needs* are met sufficiently, where *caring communities* are nurtured, and where relationships between its members are based on *justice and equality*. This conceptual framework is further discussed in the succeeding sections.

II. Fundamental Principles of Good Governance

La Viña (2008) outlines the three fundamental principles of good governance as follows:

- **Transparency.** Information on government programs and transactions are available, accessible, and understandable to the public.
- **Participation.** Citizens actively participate in government processes and decision-making, directly or indirectly through groups.
- **Accountability.** Government representatives and bodies are responsive and answerable to the public, from which their authority is derived.

Guide Questions



- What are the citizens' roles in governance?
- How should citizens play that role?
- How can participation in governance be made ethical?

III. Indicators of Good Governance

Initiated by the World Bank, the Worldwide Governance Indicators (WGI) Project covers more than 200 countries. It is based on more than 350 variables, obtained from a global survey and dozens of institutions worldwide. The Governance Indicators capture the following six key dimensions of good governance, with two indicators each for the political, economic, and institutional dimensions of governance (<http://info.worldbank.org/governance/wgi/index.asp>):

1. *Voice and accountability*—measuring political, civil, and human rights
2. *Political instability and violence*—measuring the likelihood of violent threats to, or changes in, government, including terrorism
3. *Government effectiveness*—measuring the competence of the bureaucracy and the quality of public service delivery
4. *Regulatory burden*—measuring the incidence of market-unfriendly policies
5. *Rule of law*—measuring the quality of contract enforcement, the police, and the courts, as well as the likelihood of crime and violence

6. *Control of corruption*—measuring the exercise of public power for private gain, including both petty and grand corruption, and state capture

on voice and accountability and government effectiveness. Countries with high voice and accountability index (i.e. closer to 1.0) tend to have high government effectiveness index as well.

Table 1 shows the governance index of some countries in East Asia and the Pacific specifically

Table 1. Governance Index of Six Countries in East Asia and the Pacific Region on Government Effectiveness and Voice and Accountability.

Country	Governance Indicator	
	Government Effectiveness	Voice and Accountability
	2008	2008
Cambodia	0.26	0.50
India	0.36	0.56
Indonesia	0.40	0.56
Mongolia	0.21	0.75
Philippines	0.35	0.44
Vietnam	0.31	0.06

Data Sources: data on government effectiveness are from the World Economic Forum Global Competitiveness Survey (www.weforum.org); data on voice and accountability are from Cingranell-Richards (CIRI) Human Rights Database (www.humanrightsdata.org).

Tips for Trainers



Do a quick survey of the local words or indigenous concepts that represent the principles and indicators of good governance in the participant’s country or locality. Try to differentiate the meanings of these local words from their English counterparts. For example, the Filipino phrase “Isang Bagsak” is used in trainings and seminars to mean group consensus and agreement. This phrase can be synonymous to the Western concept of civic engagement where the government and citizens arrive at a consensus. However, in “Isang Bagsak,” the government and citizens are regarded as a single entity in contrast to the dichotomous perspective reflected in the concept of “civic engagement” where there is the “supply-side” and the “demand-side” of good governance.

Aside from the three fundamental principles of transparency, participation, and accountability, the “rule of law” is an important characteristic that defines a well governed society. It pertains to the adherence of society to existing rules and regulations that ensure the protection of citizen’s rights. The rule of law is particularly important in achieving a transparent and accountable

government in cases where the elite groups and the government abuse power through domination and violence. This is particularly true in some developing countries where law enforcement agencies such as the police and army succumb to control and coercion by elite groups and the government to advance interests that are unfavourable to the citizens (ADB 2003).

Tips for Trainers



Analyze and discuss the concepts of good governance within the context of lived realities and socio-political and cultural milieu of your participants. As you can see, the concepts and principles outlined here illustrate the “ideal” situation of a well-governed society. In reality, there are many issues confronting both the government and citizens that challenge universally accepted concepts and principles of good governance.

Always bring back the discussions to the nuances of how the concepts of good governance as defined by development organizations in the West are redefined, operationalized, and challenged by citizen groups and governments in the developing countries in the East Asia and the Pacific region. For instance, the concept of citizen participation in the Philippines maybe very different from the Cambodians’. In this particular case, citizen participation can be best understood by looking at the unique history and political situation of the country which largely define the type and spaces of engagement between the government and the citizen groups.

IV. Key Agents and their Roles in Good Governance



EXERCISE 1.2: The RICE Exercise (role, interest, contribution, effect) on page 190 in the Trainer’s Guide

Good governance is driven by two key agents:

- a. Government with its three branches (executive, legislative, and judiciary)

In order to promote good governance, the government is expected to:

- Promote transparency in all operational activities especially in establishing accounting standards for performance monitoring and public finance management;
- Establish democratic institutions that engage civil society organizations in planning, monitoring, and evaluating government services, projects, and programs; and
- Mainstream social accountability mechanisms

in government's functions, service delivery processes, and development projects.

- b. Citizen groups include community service organizations, nongovernment organizations, and community associations as well as the private sector, academia, the media, research and development institutions, religious groups, and other nongovernmental entities.

According to the World Bank (2003), citizen groups must be proactive in demanding good governance from public officials to:

- Improve public expenditures in social programs by bringing in knowledge of what the citizens need;
- Enhance the quality of public services through social accountability mechanisms;
- Monitor how the government makes use of public funds by incorporating citizen feedbacks to budget proposals; and
- Enhance public expenditure effectiveness through participatory tracking and monitoring systems.

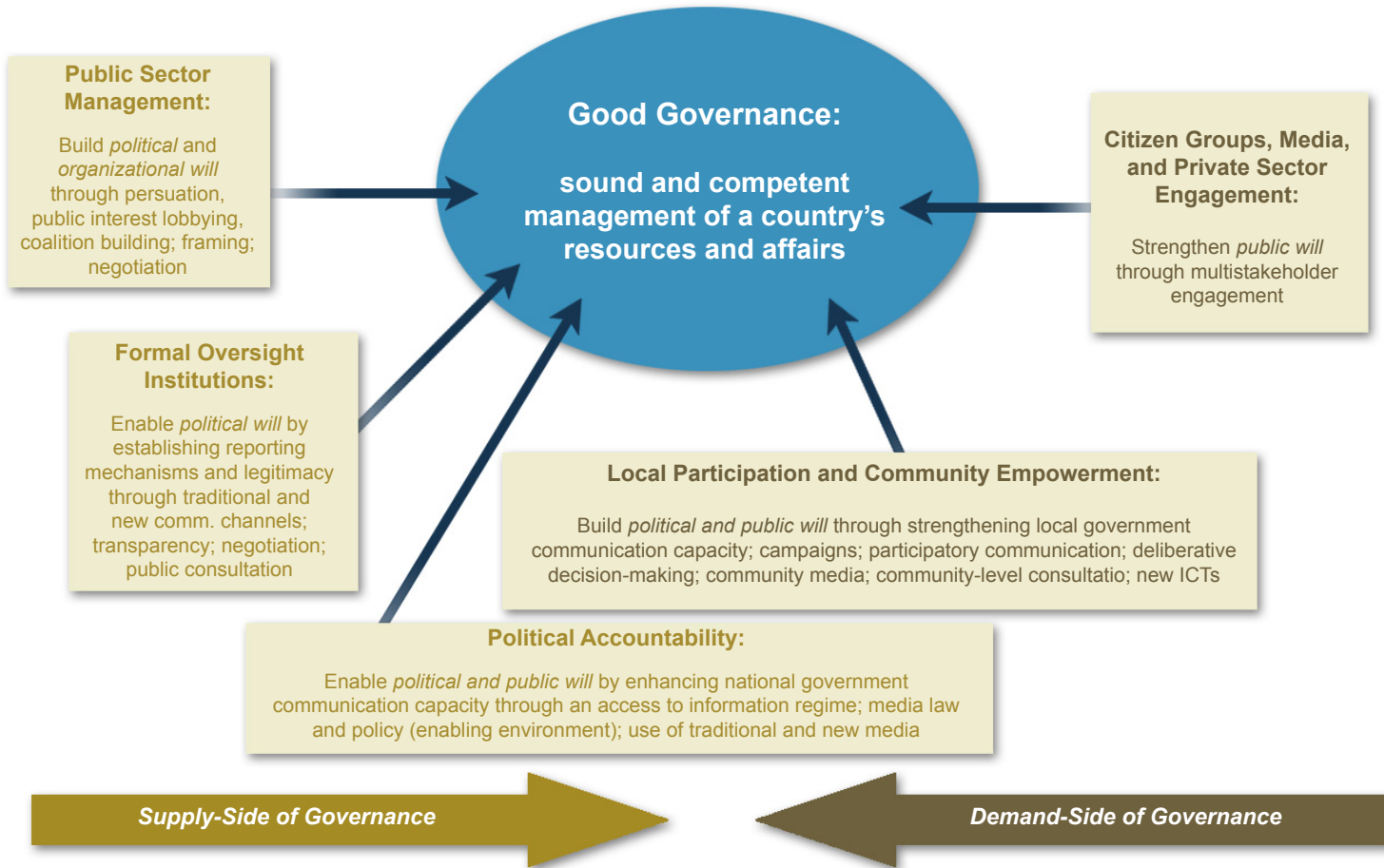
Other Agents in Good Governance

Citizen groups usually collaborate with and find support from the private sector, which provides income to the government and livelihood opportunities to citizens and the media, which help make information available to the public among other things (refer to Session on Media and Governance).

V. Social Accountability: the Demand-Side of Governance

In Figure 3, good governance results from active participation and involvement of the key agents of governance: the government and citizen groups. The former being the supply-side of governance and the latter being the demand-side of governance.

To effectively address governance issues such as inefficiency, non-responsiveness, weak accountability, and abuse of discretion, initiatives to strengthen accountability cannot be confined to one set of actors or one type of actions alone. Public accountability must be reinforced across multiple dimensions, empowering and developing the capacity of all stakeholder groups.



Source: CommGAP Concept Note titled "Communication and Governance"

Fig. 3. Supply-side and Demand-side of Governance

Linking Social Accountability and Good Governance

As evidenced, the existence of mechanisms of social accountability can lead to significant changes in both the decisiveness and accountability of governments. In terms of decisiveness, or fulfilling expectations, vertical mechanisms enable civil society and government to work towards:

- Improving public expenditure targeting of social programs through improved knowledge of citizen needs.
- Enhancing the quality of services delivered through the issuing of citizens' report cards.
- Improving the allocation of budget resources through the incorporation of citizen feedback on budget proposals.
- Enhancing public expenditure effectiveness through participatory tracking and monitoring systems.

These mechanisms also lead to a better management of expectations. They provide civil society with a more realistic understanding of budgetary constraints and the difficult choices inherent in deciding where best to allocate scarce resources and how best to meet the needs of a diverse population.

In conclusion, social accountability can play an important role in the creation of more transparent and representative governments and aid public institutions in meeting the expectations of the population.

Source: Social Development Family in the Environmentally and Socially Sustainable Development Network of the World Bank (March 2003) "The Role of Civic Engagement and Social Accountability in the Governance Equation." Social Development Notes No. 75, March 2003.

Synthesis

- What makes a government capable, responsive, and accountable?
- In what ways can citizens help promote a transparent and accountable government?
- Can you give context-specific indicators of good governance in your locality or country?

Reading Materials

- ANSA-EAP (2008) "Good Governance, Social Accountability and Decentralization,"
- PRIA (2008) "Understanding Good Governance"
- Social Development Family in the Environmentally and Socially Sustainable Development Network of the World Bank (March 2003) "The Role of Civic Engagement and Social Accountability in the Governance Equation." Social Development Notes No. 7, March 2003

- Empirical Studies of Governance and Development: An Annotated Bibliography¹

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¹ This document is Annex 2 of "Background Note on Governance Indicators Informal Board Seminar," July 1, 1999. Contact Eric Swanson (DECDG) for additional information on the background note. Information taken from Burki, Shahid Javed and Guillermo Perry. 1998. *Beyond the Washington Consensus: Institutions Matter*. World Bank, Washington, DC, and other sources.

Special Topic

Ethical Leadership in Governance

Learning Objectives

At the end of the session, the participants should be able to:

- Understand the relationship between ethics and governance;
- Describe the nature of an ethical dilemma in governance;
- Enumerate the two dimensions of ethics;
- Name the elements of the ALIR Imperatives of Ethical Reasoning; and
- Illustrate the step-by-step process in resolving ethical dilemmas

Core Messages:

- Ethics guides government officials in choosing the right thing to do when confronted with a dilemma in governance.
- Ethical standards can be applied both in the process and content of governance. The process refers to the ways government and citizens interact as they attempt to influence one another. The content, on the other hand, refers to the proposed changes that government and citizens intend for the society.
- The ALIR Imperatives of Ethical Reasoning is a set of ground rules to dealing with ethical dilemmas particularly in governance. The set of fundamental principles or criteria that integrate the process of dealing with ethical dilemmas in

governance include (1) democratic accountability of administration, (2) the rule of law and the principle of legality, (3) professional integrity and (4) responsiveness to the citizens.

I. Ethics, Citizen Groups, and Good Governance

Citizen groups are often faced with various forms of ethical issues in the process of engaging constructively with the government. These ethical issues impinge on the ability of citizens in accessing information, in making their voices heard, and consequently, precluding their ability to effectively engage with the government in the process of negotiation for change. Some of these ethical issues include:

- Making use of citizen participation as a mechanism to legitimate government policies and actions for their own ends (cooptation); and
- Convincing citizen groups to be involved or hide corruption/fraud and other similar unethical practices

A set of criteria for ethical decision-making, such as the ALIR Imperatives for Ethical Reasoning, can guide both the government and civil society in the conduct of engaging various stakeholders, particularly citizen groups, in putting in place social accountability mechanisms particularly in tracking the allocation and expenditure of public resources.

However, a set of criteria for ethical decision-making requires a critical mass of practitioners composed of governments and citizen groups that support and adapt to it. This would eventually formalize and integrate a particular set of ethical principles to the

norms and ways of doing public sector accountability among public institutions and civil society alike.

II. The Nature of an Ethical Dilemma in Governance



Introduce the concept of ethics and dilemma by conducting Exercise 1.3: Creating a Better World Exercise on Page 191 in the Trainer's Guide.

When confronted with a dilemma, what is your moral or ethical compass?

Dilemma is something wider and more demanding than a problem. It implies that the satisfaction of one option can only be made if the other is sacrificed. There is no "clear solution" to address a dilemma because the "solution" reached would be no more than a splitting of the different aspects of one issue.

Ethics, on the other hand, comes from the Greek word "ethos," which means a "dwelling place" that later evolved to "a person's fundamental orientation towards life". In Latin, ethos is "mos" or "moris," the origin of the English word for moral or morality. In Roman times, there was a shift of emphasis of ethics from being an internal character to an overt behavior focusing on acts, habits, and customs. In philosophy, ethics is concerned with the intent, means, and consequences of moral behavior.

Ethics guides government officials in choosing the right thing to do when confronted with a dilemma. Ethics, however, is not necessarily about following

the rule of law, science, religion, or socially and culturally accepted norms.

Because of the problematic nature of an ethical dilemma, moral and ethical standards are often regarded as constraints and limitations. These are not seen as legitimate objectives to be pursued in public service. Thus, moral and ethical standards tend to be overlooked or even ignored in actual decision-making process. As a result, administration and management become divorced from ethics and morals (La Viña 2008).

III. Two Dimensions of Ethics

Ethical standards can be applied both in the process and content of governance.

1. Process

This is concerned with the ways government and citizens interact as they attempt to influence one another. Does one act ethically in one's relations with another player while attempting to influence them? How? Through coercion or persuasion? Majority vote or consensus?

2. Content

This refers to the proposed changes that government and citizens intend for the society. Are the changes (decisions, policies, positions) that one supports morally acceptable?

IV. The ALIR Imperatives of Ethical Reasoning

The ALIR Imperatives of Ethical Reasoning is a set of ground rules in dealing with ethical dilemmas

particularly in public administration. The advanced set of fundamental principles or criteria that integrate and rearrange the process of dealing with ethical dilemmas in governance are: (1) democratic *accountability* of administration, (2) the rule of law and the principle of *legality*, (3) professional *integrity*, and (4) *responsiveness* to the citizens.

1. Accountability

- The obligation of a subordinate to answer to his superior for the exercise of authority in line with his delegated responsibility and for the performance of duties assigned to him.
- In a democracy, those who work in the public sector are guided by and subordinated to political authority (those elected by the people to govern). However, this loyalty of public service providers to the elected political authority is grounded on the obligation of the latter to be accountable and answerable to the will and general interest of the public.

“When poor citizens are empowered, whether on their own or in alliance with others, their demand for accountability can make politicians respond in ways that compensate for weaknesses elsewhere in the service delivery chain.”

-World Development Report 2004, p.78

2. Legality

- Since the source of all power is the people, then all power must be exercised in the name of and for the general interest of the people.

- Unethical conduct – bribery, theft, favoritism, abuse of power – consists in the violation of law that puts someone above or beyond the law.
- Consistent and fair enforcement of the law should be the first priority of an ethics reform strategy.

3. Integrity

- Integrity is derived from the Latin word integer, which means 'complete' or 'whole.'
- Integrity comprises the personal inner sense of "wholeness" deriving from honesty and consistent uprightness of character.
- It often refers to a refusal to engage in lying, blaming or other behavior generally seeming to evade accountability.

4. Responsiveness

- Public institutions should be responsive to society and pay attention to the needs and demands of the people.
- It is also about facilitating constructive communication between the citizens and the government, with the former providing information not only about their needs and demands but also feedback and criticisms on the latter's performance.

V. A step-by-step process in resolving ethical dilemmas

Below is a 7-step guide to resolving ethical dilemmas in governance:

STEP 1. Gather the facts.

- Gather and clarify the facts of the case in question.
- Questions that should be asked are:
 - "What do we know?"
 - "What do we need to know?"
 - "What individuals and groups have an important stake in the outcome? Are some concerns more important? Why?"
 - "What are the options for acting? Have all the relevant persons and groups been consulted? Have we identified creative options?"

STEP 2. Determine the ethical issues.

- Ethical issues should be stated in terms of competing interests, goods, or values – a "dilemma statement."
- Could this decision or situation be damaging to someone or to some group? Does this decision involve a choice between a good and bad alternative, or perhaps between two "goods" or between two "bads"?
- Is this issue about more than what is legal or what is most efficient? If so, how?

STEP 3. Determine the principles or criteria that have a bearing on the case.

- In any ethical dilemma, there are certain *moral values* or *principles* central to the conflicting positions.
- Which values or principles weigh most heavily?

Tip for Trainers



Conduct a small group discussion on ethical dilemmas faced by CSOs and the Government. The objective is to elicit the participants' experience(s) of facing an ethical issue or dilemma when partnering with the government and/or CSOs. You can provide some guide questions such as:

- Have you experienced any ethical dilemma in transacting or partnering with the government and/or CSOs? Each participant will share his/her experiences to the small group.
- How did you resolve the issue?
- If you find yourself again in a similar situation, how will you resolve the issue (lessons learned)?

● Examples of sources of principles:

- ALIR
- Buddhist/Christian/ Islamic principles
- Constitutional principles
- Principles drawn from natural law
- Principles from one's sense of mission or calling
- Principles upheld by the organization

STEP 4. List alternatives and options.

- Think creatively and come up with various alternative courses of action. The more alternatives listed, the better the chance that you will include high-quality ones.
- Think of creative alternatives not considered before.

STEP 5. Compare the alternatives with the principles.

- Eliminate alternatives according to the moral principles that have a bearing on the case.

- Determine if a clear decision can be made without further deliberation.
- If not, then go to the next step

The Markkula Center for Applied Ethics at Santa Clara University outlined a number of approaches to evaluate and compare options in resolving ethical dilemmas (<http://www.scu.edu/ethics/practicing/decision/framework.html>):

- The *Utilitarian Approach*: Which option will produce the most good and do the least harm?
- The *Rights-based Approach*: Which option best respects the rights of all who have a stake?
- The *Justice Approach*: Which option treats people equally or proportionately?
- The *Common Good Approach*: Which option best serves the community as a whole, not just some members?
- The *Virtue Approach*: Which option leads me to act as the sort of person I want to be?

STEP 6. Weigh the consequences.

- Weigh the consequences of the remaining available alternatives.
- Consider both positive and negative consequences. Be reminded that some positive consequences are more beneficial than others and some negative consequences are more detrimental than others.

STEP 7. Make a decision.

- Deliberation cannot go on forever. Avoid “paralysis by analysis.”
- Realize that there are no easy and painless solutions to ethical dilemmas.
- The decision should involve the least number of problems or negative consequences.

Exercise: Addressing Ethical Dilemma



Provide a hard copy of the anecdotes that illustrate an ethical dilemma in governance. You will find these anecdotes in the Trainer’s Guide (Page 192-197) and in the accompanying CD-ROM of this training manual.

Give the participants 10-15 minutes to read one anecdote. Facilitate a group discussion on how to address the ethical dilemma following the 7-step guide outlined above. You can break the group into small groups to give all participants the chance to talk and share their ideas.

To end the exercise, ask a representative of each group to summarize their respective group discussions.

Synthesis

- How important is ethical decision making in holding the governments accountable to the public?
- Taking into account your national and local context, which step/s in the ALIR imperatives of ethical reasoning is/are the most difficult to carry out and why? How will you overcome those challenges?

Reading Material

Makrydemetres, Anthony (2002) "Dealing with Ethical Dilemmas in Public Administration:" the ALIR imperatives of ethical reasoning

References:

"Frameworks for Ethical Decision-Making" Markkula Center for Applied Ethics at Santa Clara University outlined a number of approaches to evaluating options in resolving ethical dilemmas <http://www.scu.edu/ethics/practicing/decision/framework.html>

La Viña, Antonio G.M.2008. Ethics of Governance. A powerpoint presentation prepared for Cambodia's Social Accountability School.

Session 2

Citizenship and Civic Engagement

Learning Objectives

At the end of the session, the participants should be able to:

- Differentiate citizen groups from civil society;
- State the roles of citizens in promoting good governance;
- Describe a constructive civic engagement;
- List down civic engagement strategies adopted by the government and citizen groups; and
- Enumerate the enabling factors for a constructive civic engagement.

Core Messages

- Citizen groups are key agents in promoting good governance as they (1) exert influence over

government by shaping public opinion; (2) give citizens voice and opportunities to be heard and to articulate their interests; and (3) create a dent in existing power relations by enhancing the capacities of the poor and the marginalized sectors to participate in the process of negotiation for change with the government.

- A constructive civic engagement refers to measures that link citizens more directly to the decision-making process of the government to enable them to influence public policies and programs in a manner that can create positive impacts on their economic and social lives.
- A constructive civic engagement happens between a responsive government and organized and capable citizen groups. It is characterized as information- or evidence-based, results- or solutions-oriented, and sustainable in medium- to long-term.

- An enabling environment for a constructive civic engagement is characterized by (1) the freedom of citizens to associate; (2) their ability to mobilize financial resources to fulfill the objectives of their organizations; (3) their ability to formulate, articulate, and convey opinions; (4) their access to information; and (5) the existence of spaces and rules of engagement for negotiation and public debate.

I. From Civil Society to Citizen Groups

The concept of “civil society” as conceived by the philosopher Hegel refers to human relationships that are outside the institutional affairs of the State. It comprises family, the community, the church, and professional and occupational groups, among others. Whereas the State represent the general interest of the public, civil society represent multitudes of interests that are oftentimes competing with one another and inconsistent with the highest form of collective rationality, that is of the State (David 2008).

By the 18th and 19th century, the concepts of “political society-civil society” of Hegel gained a new meaning when Karl Marx reconceptualized the State as the “executive committee of the ruling class” while civil society became the dominant source of transformative force to achieve the common good (David 2008).

Since then, the concept of civil society has been associated to groups and individuals that advocate broad societal changes and drastic state reforms. In Southeast Asia, in particular, civil society has been dominantly associated with social movements,

autonomous people’s organizations, and social activists in many Southeast Asian countries during the 1970s-80s.

While this concept of civil society may provide an impetus to demanding accountability from the government, its politicized connotation has the tendency to exclude other citizen groups who can also contribute significantly to a more constructive engagement with the government. These groups include the academe, the media, the business sector, religious groups, and the youth, among others.

II. Roles of Citizen Groups in Promoting Good Governance

Tip for Trainers



Use visuals to illustrate the link between civil society and good governance. The World Freedom Atlas is a geovisualization tool that showcases world statistics on issues related to freedom, democracy, human rights and good governance (<http://freedom.indiemaps.com/>). It is one of the most recommended resource links of the World Bank’s Public Sector webpage. You can splice GIS maps of various good governance indicators and make comparisons across countries, regions, and timescale. See Figure 4 for an example.

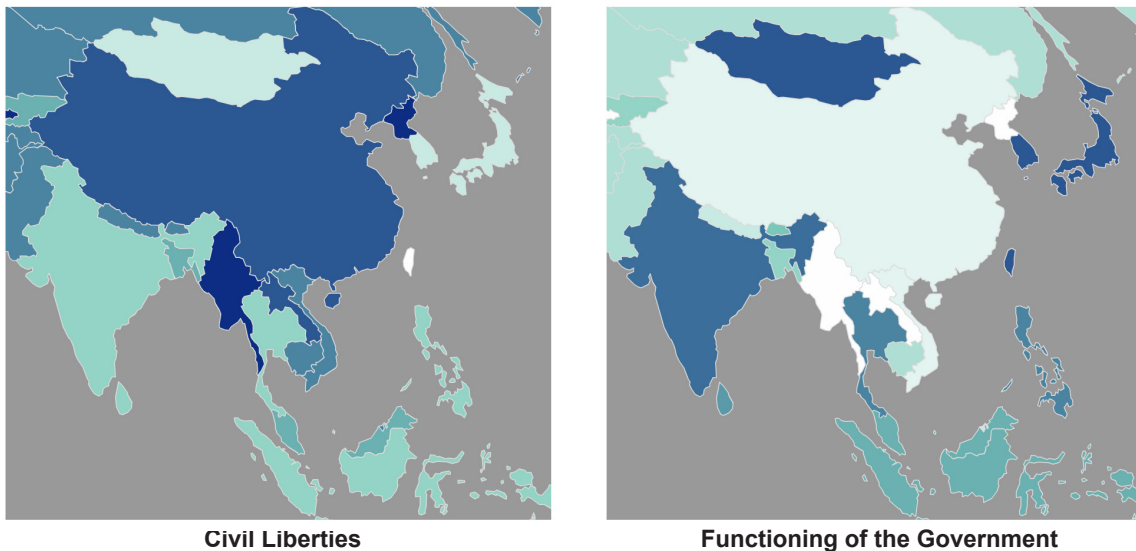
In the World Governance Indicator Study conducted by the World Bank, there is substantial evidence that government effectiveness depends on the existence of a dynamic and strong citizen

participation in the public realm. Figure 4 shows a visualization of the level of civil liberties (right) and how it directly correlates with the functioning of the governments (left) in the East Asia and the Pacific region. The datasets used in these figures were collected in 2006 by various organizations doing surveys on issues of freedom, democracy, human rights, and good governance.

Civil liberty is defined by the World Freedom Atlas as “allowing for the freedom of expressions and belief, associational and organizational rights, rule of law, and personal autonomy without interference from the state.” Countries are graded between 1 (most free, indicated as lighter shade of blue) and 7 (least

free). The countries in the region with the most liberal citizenship are Taiwan (level 1), Mongolia, Japan, and South Korea (level 2). India, Indonesia, and the Philippines are placed in the middle of the civil liberty spectrum, (i.e. a score of “3”) while Vietnam got a grade of “5”.

Similarly, these countries that are found to have a high level of civil liberties are also those that exemplify a well-functioning government system. “Functioning of the Government” is characterized by freedom from pervasive corruption, a government that is open, transparent, and accountable to the electorate between elections.” The countries are rated from 0-12, with 12 indicating the highest



Source: World Freedom Atlas <http://freedom.indiemaps.com/>

Fig.4. Geovisualizations of civil liberties vis-à-vis the functioning of the governments in EAP.

functioning government (indicated with darker shade of blue). Mongolia, Japan, and South Korea scored high at “10.”

But before expounding on the relationship between active citizenship and good governance, it would be interesting to look at the concept of citizenship by examining how various organizations and authors define civil society²:

Civil society can be defined as “a civic culture of generalized trust and social solidarity, peopled by citizens willing and able to co-operate in ventures; it is an important prerequisite of a vital democracy” (Cohen, 1998).

The World Bank defines civil society as a “wide array of nongovernmental and not-for-profit organizations that have presence in public life, expressing the interests and values of their members or others,

based on ethical, cultural, political, scientific, religious, or philanthropic considerations.”

The Society for Participatory Research in Asia (PRIA), on the other hand, has a broader definition of civil society as the “sum of individual and collective initiatives directed towards the pursuit of common public good.”

Citizen groups are key agents in promoting good governance as they:

- Exert influence over government by shaping public opinion toward public institutions. Public opinion, in this context, refers to: (1) affairs related to the state, the government, or social institutions; (2) issues that are open and accessible to anyone; (3) events, policies, or decisions that concern people that do not participate in them; (4) issues of common



Video: David Cohen talks about the roles of civil society in promoting good governance. Cohen is the Senior Adviser to Experience Corps and Civic Ventures, President of Global Integrity, and a co-founder of the Advocacy Institute.
Duration: 6.48 minutes

Weblink: <http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTDEVCOMMENG/EXTGOVACC/0,,contentMDK:21817170~pagePK:64168445~piPK:64168309~theSitePK:3252001,00.html>

Transcript of the Interview: <http://siteresources.worldbank.org/EXTGOVACC/Resources/DavidCohen.pdf>

² Scholarly works on “citizen groups” are still emerging; hence, the conceptual foundations of “civil society” will be exploited for the purpose of differentiating it and expounding on the theoretical significance of “citizen groups.”

concern; and (5) the public good (as opposed to the private interests) (CommGAP Policy Brief on Public Sphere).

- Give citizens voice and opportunities to be heard, articulating the public interests. Citizen groups can help amplify the voices of the poor, coordinate coalitions to overcome collective action problems, mediate on their behalf through redress mechanisms, and demand greater public service accountability (World Development Report 2004).
- Create a dent in existing power relations by enhancing the capacities of the poor and the marginalized sectors to participate in the process of negotiation for change with the government.

III. Constructive Civic Engagement



Form three (3) persons in each group. Ask the participants to share with the group any experiences they had in dealing with the government agencies or officials. Among the experiences they shared, ask them to choose one memorable experience that they want to share with all the participants. Write a phrase to describe it on an idea card.

A constructive civic engagement can be defined as:

“All measures and/or institutional arrangements that link citizens more directly into the decision-making

process of a State as to enable them to influence the public policies and programs in a manner that impact positively on their economic and social lives.” (UNDESA 2007)

Civic engagement differs with civil society participation in the sense that it is “specifically associated with efforts to create channels of voice, representation, and accountability.” Civic engagement is usually associated with social accountability mechanisms like civic oversight, inclusive development planning, consultation with citizens, capacity-building, and mechanisms for information sharing (PRIA 2008).

IV. Civic Engagement Strategies



EXERCISE 2.1 Thumb Exercise on page 197 in the Trainer’s Guide.

The nature and type of civic engagement strategy depends on which actor drives the process, the purpose for engaging civil society, the political regime, and the existing policy, legal, and institutional framework that would allow for a constructive civic engagement. The two tables below summarize the strategies that governments and civil society adopt in engaging citizens in governance processes, respectively (Tables 3 and 4).

Table 3. Engagement Strategies of Governments.

Strategies	Characteristics
<i>Laissez-faire approach</i>	<ul style="list-style-type: none"> - The government refrains from strong engagement with citizen groups. - The relationship still enables the organization of citizens in independent citizen groups.
<i>Combination of conflictive and harmonic relationships</i>	<ul style="list-style-type: none"> - The government establishes alliances with some groups while confronts others in order to create factions among the citizens.
<i>Repression of all manifestations of citizens' organized interests</i>	<ul style="list-style-type: none"> - This approach is usually adopted by autocratic governments.
<i>Cooptation approach</i>	<ul style="list-style-type: none"> - In order to control citizens, the government coopts some or all interests through relationships of dependency.
<i>Patronage approach</i>	<ul style="list-style-type: none"> - The government divides citizens' interests along clientilistic lines.
<i>Proactive engagement</i>	<ul style="list-style-type: none"> - The government mobilizes all or the majority of organized interests. - It creates a climate of strong citizen engagement in public debate and action; however, it can surpass the boundaries of independent and critical mobilization.
<i>Civic mobilization through nationalistic appeals</i>	<ul style="list-style-type: none"> - The government consolidates citizens' interests by highlighting the goals of nation-building.

Source: Social Development Family in the Environmentally and Socially Sustainable Development Network of the World Bank (March 2003) "The Role of Civic Engagement and Social Accountability in the Governance Equation." Social Development Notes No. 75, March 2003

Table 4. Engagement Strategies of Civil Societies.

Strategies	Characteristics
<i>Confrontation strategy</i>	<ul style="list-style-type: none"> - This confrontation strategy usually gives way to social and political unrest and therefore to the narrowing of civic freedoms.
<i>Parallel track strategy</i>	<ul style="list-style-type: none"> - Citizen groups establish a set of parallel services that they themselves deliver directly to their clients and constituencies. - There is limited or inexistent engagement between citizen groups and public institutions. - There is a competition for external resources and local influence usually characterizes the relationship between governments (or their bureaucratic bodies) and citizen groups.
<i>Selective collaboration</i>	<ul style="list-style-type: none"> - This combines collaboration on specific fronts and a critical distance, or even confrontation, on others. - It usually leads to complex tensions within citizen groups and between citizen groups and the government, though it also opens up dynamic spaces for negotiation and constructive engagement.
<i>Full endorsement</i>	<ul style="list-style-type: none"> - Citizen groups fully engage and endorse government objectives and policies. - It characterizes the political and social climate in the aftermath of deep political and social crises and the emergence of national unit governments. - These are usually situations of transition that, in time, shift to one of the previously mentioned strategies after a “grace period,” or conditions of enduring clientelist deals and patronage.

Source: Social Development Family in the Environmentally and Socially Sustainable Development Network of the World Bank (March 2003) “The Role of Civic Engagement and Social Accountability in the Governance Equation.” Social Development Notes No. 75, March 2003

Tip for Trainers



Using the case study on “**Land disputes in Prasat Sambo District, Kompong Thom Province,**” (at the end of the session) discuss dialogue and consensus building as a strategy of a constructive civic engagement.



EXERCISE 2.2 Hand Tangle on page 198 in the Trainer’s Guide.

V. Enabling Environment for a Constructive Civic Engagement

Tip for Trainers



Describe the nuances of engaging citizens with the government by grounding the discussions on the participants’ local context. See the discussion on “**Caveats in Facilitating a Constructive Civic Engagement for Social Accountability**” on page 149

A constructive civic engagement depends on how well external factors impinging on citizen’s capacity to engage with the government are taken into account. These factors may either support or hinder civil society in performing their monitoring, advocacy, and social mobilizing roles to promote

public accountability from the demand-side of governance processes. These include:

- Legal and regulatory framework;
- Political and governance context;
- Socio-cultural characteristics; and
- Economic conditions.

These external factors influence specific “enabling elements” that, altogether, may serve as a checklist for planning or as a set of evaluation criteria for diagnosing issues in civic engagement and in finding ways of improving it. Also known as the ARVIN framework, these enabling elements include the following (Table 5):

- the freedom of citizens to associate (A);
- their ability to mobilize financial resources to fulfill the objectives of their organizations (R);
- their ability to formulate, articulate and convey opinion (V);
- their access to information (necessary for their ability to exercise voice, engage in negotiation and gain access to resources) (I); and
- the existence of spaces and rules of engagement for negotiation and public debate (N).



Case stories on coalition building on page 199 to 201 of the Trainer’s Guide. You can use these case stories to facilitate discussion. Try to relate the discussion to their local context.

Table 5. The ARVIN Framework: A Way to Assess the Enabling Environment for Civic Engagement.

	Legal and Regulatory Framework	Political and Governance Context	Socio-cultural Characteristics	Economic conditions
Association	Freedom of association	Recognition and accreditation and policies and procedures	Social capital. Gender barriers. Illiteracy	Cost of legal registrations and accreditations. Cost of convening meetings and forums
Resources	Tax systems, fund raising, and procurement regulations	Government grants, private funds, contracting, other transferences	Social philanthropy (the culture of giving). History of associational life, self-help and gap-filling	Size of and stresses in the economy unemployment. Impact of economy on contribution of members. Infrastructure and cost of communications
Voice	Freedom of expression. Media and ICT related laws	Political control of public media.	Communication practices (use of media by different social groups)	Fees associated with expressing views in media (ads vs. op-ed). Costs to present/publish/distribute views (petitions, newsletters, radio stations)
Information	Freedom of information. Rights to access public information	Information disclosure policies and practices. Ability to demystify public policy and budgets	Information networks, Illiteracy. The use of word of mouth	Costs/fees for access to information
Negotiation	Legally established dialogue spaces (referendums, lobby regulations, public forums, etc.)	Political will. Institutionalized dialogues and social accountability mechanisms. Parliaments', and local and national governments' capacities to engage	Social values and hierarchies that set who can speak on what subject in what context and when	Bargaining power. Impact of economic constraints on autonomy and advocacy

Source: Social Development Family in the Environmentally and Socially Sustainable Development Network of the World Bank (March 2003) "Enabling Environments for Civic Engagement in PRSP Countries" Social Development Note No. 82, March 2003

Case Study: Constructive Civic Engagement with the Government

Land disputes in Prasat Sambo District, Kompong Thom Province

An initial case involving a claim to formerly forested land between two villages arose in 2001. A similar case relating to an adjacent piece of land arose in 2005.

In 2001, a high-ranking district official claimed 280ha for use by an outside company for a plantation. Villagers from four neighboring villages claimed that they had been using this degraded forest land for *châmkar* at least since the early 1990s without having established clear ownership.

The district officials considered the forest to be state property, and told the villagers using the land that they had to leave their *châmkar* (mostly around 2ha each). To protect their land, the villagers sought the help of the village chief and local elders. However, after an initial and fruitless meeting with the high-ranking district official behind the project, the aggrieved villagers gave up their claims.

Once in possession of the land, the high-ranking district official engaged villagers to build a dike around the land and planted some timber trees. The land was, however, never the subject of plantation agriculture as was originally claimed. Over time, the dispossessed villagers came to believe that the district official had cheated them and was using the land for personal purposes.

In 2005, a similar situation arose when a district Commission started to measure 100ha of land bordering the land disputed from 2001, claiming it was state property and prohibiting its further use. This land was being used by villagers of two villages for *châmkar*. According to the district authority, the land was for a local high school that had asked for about 10ha land to be used as an agricultural training facility.

In 2001, responses of villagers were thwarted by threats from district officials and lack of access to sources of assistance. The dispute in 2005 was pursued with far more vigor. In 2001, the aggrieved villagers first sought help from the village chief, but he preferred to remain in the background and recommended that they involve village elders, particularly one *achar*. The *achar* and another respected village elder approached the district officials in an attempt to request the land back. The two elders were respected by the villagers because of their commitment to the community and their influence on maintaining good relations between villagers.

Both went to negotiate with a high-ranking district official to return the confiscated land but failed to reach an agreement. The *achar* reported that during the meeting he was told that he should not 'play with his life' by becoming involved in this dispute. When he reported the events of the meeting back to the villagers, nobody dared to resist further and people resigned themselves to finding other locations in the forest for cultivation.

Reasons given for not pursuing the issue further included (i) a feeling that any further action would be risky and most likely unsuccessful; and (ii) a lack of knowledge regarding what other options might be pursued. Instead of pursuing the return of the disputed land, the villagers simply cleared other areas of degraded forest and continued their *châmkar* farming. When, however, in July 2005 villagers heard that the district was again measuring out land

for appropriation, they immediately went to their chàmkar armed with knives and axes to protect their fields. By the time villagers arrived at the area being measured, the district officials had already left, so there was no clash between the groups. However, the villagers did start to destroy the signs the district had put up declaring that the area was state land that could not be used by private citizens.

After returning from their chàmkar that day, the villagers went to the village chief to ask for help, as they did in 2001. Again, he refused to take an active lead in the dispute resolution, explaining that he did not want to become involved in a confrontation between villagers and authorities.

The following day, at a meeting, a deputy district governor tried to explain to villagers the purpose of the measurement and invited the affected villagers to sign up on a list so that the district would be able to assess to what extent the measured land was already in use and by whom. However, the villagers refused to sign as they feared that the district officials would later claim that their thumbprints stood for their consent to leave the land. The meeting eventually dispersed without calming the heated atmosphere.

Believing that a positive resolution would not come from local authorities, some villagers suggested contacting local NGOs in the provincial capital. This idea was initiated by a student who had returned home from studying in a neighboring province; other villagers had the telephone number of a local human rights NGO that had previously done some training in the area. The representatives of two local NGOs quickly responded with encouragement and advice, which prompted the villagers to select a village representative to take the lead in the protest. This representative was trusted by the people as he was a leading village development committee member with several years of organizing experience in the village and good contacts with NGOs.

With NGO support, he organized a petition with the thumbprints of 102 villagers. A second petition was also created in which the group claimed the land they had lost in 2001. Both petitions were submitted to NGO representatives who forwarded the lists to the provincial branch of a human rights NGO in Kompong Thom, requesting the NGO to ask the provincial governor for support in resolving the dispute.

The next day a SRP parliamentarian accompanied by a journalist from Voice of America radio met with villagers and encouraged them to continue to use their fields as before. He ensured them that the SRP would help resolve the dispute. An interview with the villagers' representative and a report about the dispute was broadcast on Voice of America the same day. Shortly thereafter, a number of villagers together with the local branch of the SRP took the initiative of re-broadcasting the radio segment by walking around the district town with a loudspeaker.

Several days later, at a second meeting, another deputy district governor made an attempt to placate the villagers by explaining to them the purpose of the measurement and the steps that were planned to select the requested 10ha for the high school. However, the two sides were still unable to reach a mutual understanding. At one point, the deputy governor emphasized that villagers would have no other choice than to leave even if they would not agree. This caused the villagers to break out in loud protest. In an escalation of the issue, the deputy governor then threatened the villagers with imprisonment if they did not stop using the forest. After this, villagers pursued

their protest against district officials by sending a letter of complaint to the provincial governor through local NGOs. As a result, the situation in the village became tense and the protesters' representative was told that a district official had threatened him by saying that he was the leader of the protest and that without him the villagers would not have confronted the authorities. He was advised to go into hiding for some time. After six days he returned.

In the months following the events described above, the district authority did not take any further measures to prevent the villagers from using the disputed land. The provincial governor rejected any involvement in the dispute resolution by referring the case back to the district authority. He felt no responsibility as he instructed the district authority to seek no more than 10ha of vacant land for the school. The district authority told the villagers that the disputed land was state property and that only the province could decide how to use it. The villagers expressed their continued intent to struggle for their land and, if necessary, to resort to violence.

At the time of writing, the villagers dispossessed in 2001 had not returned to their earlier chàmkaras.

Source: pp 48-50 in CAS-WB publication

Synthesis

- What can citizens, particularly the poor and the marginalized, do when politicians fail to make services work for them?
- What are the problems that citizen groups often face when demanding accountability from the government?
- How can civil society organizations create spaces where they can have a meaningful engagement with the government to ensure that they are held accountable to the public?

Reading Materials

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Session 3

Decentralization of Governance

Learning Objectives

At the end of the session, the participants should be able to:

- Explain why decentralization is necessary to achieve a responsive, capable, and accountable government;
- Enumerate four types of decentralization;
- Describe the conditions for an effective decentralization of governance; and
- List down key challenges in a decentralized system of governance.

Core Messages

- For a government to be responsive, capable, and accountable, it has to be decentralized. Decentralization provides opportunities for citizens to better exercise their influence over local government officials.
- The four types of decentralization are political, administrative, fiscal, and market decentralization.
- For the decentralized system of governance to work, there must be a system of accountability that relies on public and transparent information

that enables the community to effectively monitor the performance of the local government.

- The key challenges encountered in a decentralized form of governance are as follows: inefficiency, weak administrative or technical capacity at the local levels, absence of devolution of financial resource to the local level, and poor coordination of national policies.

I. Decentralization and Good Governance



EXERCISE 3.1: Mind Mapping Exercise on Page 201 in the Trainer's Guide.

Decentralization is the transfer of authority and responsibility for public functions from the central government to intermediate and local governments or quasi-independent government organizations and/or the private sector (World Bank in Olsen 2007).

Decentralization improves governance as it increases (World Bank 2001):

- *Allocative efficiency*—through better matching of public services to local preferences; and
- *Productive efficiency*—through increased accountability of local governments to citizens, fewer levels of bureaucracy, and better knowledge of local costs.

Drawing from a research conducted in the Philippines and Uganda, the World Bank (2001)

outlined some policy recommendations that link positive outcomes of decentralization with strong social accountability mechanisms:

1. For decentralization to increase allocative and productive efficiency, reforms that promote transparency and accountability need to be put in place.
2. Mandates and resources need to be devolved to the level of government that provides optimum results in terms of allocative efficiency. Experiences showed that devolution of functions at the municipal level promotes better alignment of government policies with local realities.
3. Citizens should have channels and mechanisms to communicate their preferences and get their voices heard.



Guide Question

How can democratic decentralization contribute to the formation of an active citizenship?

II. Four Types of Decentralization



EXERCISE 3.2: Bus Stop Graffiti Exercise on Page 202 in the Trainer's Guide.

1. Political decentralization

In this type, citizens or their elected representatives are given more power in public decision-making and more influence in the formulation and implementation of policies.

Citizens are allowed to know better their political representatives while elected officials are allowed to know better the needs and desires of their constituents.

This type of decentralization, however, requires constitutional or statutory reforms, development of pluralistic political parties, strengthening of legislatures, creation of local political units, and encouragement of effective public interest groups.

2. Administrative decentralization

The emphasis is on redistributing authority, responsibility, and financial resources for providing public services in different levels of government.

It also involves the transfer of responsibility for planning, financing, and management of certain public functions from the central government and its agencies to field units of government agencies, subordinate units or levels of government, semi-autonomous public authorities or corporations, or area-wide, regional, or functional authorities.

Types of Administrative Decentralization

- *Deconcentration* is considered to be the weakest form of decentralization and is

used most frequently in unitary states. It redistributes decision-making authority, financial and management responsibilities among different levels of the central government.

- *Delegation* is the transfer of responsibility for public functions to semi-autonomous organizations not wholly controlled by the central government, but ultimately accountable to it. These would include public enterprises or corporations, housing authorities, transportation authorities, special service districts, semi-autonomous school districts, regional development corporations, or special project implementation units.
- *Devolution* means the transfer of authority for decision-making, finance, and management to quasi-autonomous units of local government with corporate status. In this type of decentralization, responsibilities for services are transferred to municipalities that elect their own mayors and councils, raise their own revenues, and uses independent authority to make investment decisions. Local governments have clear and legally recognized geographical boundaries over which they exercise authority and within which they perform public functions. It is also this type of administrative decentralization that underlies most political decentralization.

3. Fiscal decentralization

The authority to generate an adequate level of revenue either raised locally or transferred from the central government and the power to

make decisions about the expenditures that are transferred to the subnational governments.

Forms of Fiscal Decentralization

- Self-financing or cost recovery through user charges
- Co-financing or coproduction arrangements through which the users participate in providing services and infrastructure through monetary or labor contributions
- Expansion of local revenues through property or sales taxes, or indirect charges
- Intergovernmental transfers that shift general revenues from taxes collected by the central government to local governments for general or specific uses
- Authorization of municipal borrowing and the mobilization of either national or local government resources through loan guarantees

4. Market decentralization

The most complete forms of decentralization from a government's perspective are privatization and deregulation because they shift responsibility for functions from the public to the private sector.

Privatization and deregulation are usually, but not always, accompanied by economic liberalization and market development policies.

In this form of decentralization, businesses, community groups, cooperatives, private voluntary associations, and other nongovernmental organizations are allowed to

carry out functions that had been primarily or exclusively the responsibility of government.

Forms of Market Decentralization

- *Privatization* can range in scope from leaving the provision of goods and services entirely to the free operation of the market to "public-private partnerships" in which the government and the private sector collaborate to provide services or infrastructure. This type allows private enterprises to perform functions that had previously been monopolized by the government. This involves contracting out the provision or management of public services or facilities to commercial enterprises, financing public sector programs through the capital market, thus allowing private organizations to participate; and transferring responsibility for providing services from the public to the private sector through the divestiture.
- *Deregulation* means the reduction of legal constraints on private participation in service provision. It encourages competition among private suppliers for services that had been provided by the government or by regulated monopolies in the past.



Guide Question

Which type/s of decentralization will highly encourage active participation and engagement of civil society? Which types will not be supportive of a meaningful citizen participation in governance?

III. Conditions for a Successful Decentralization of Governance

Below are some of the conditions that would enable citizens and governments to achieve a successful decentralized form of governance:

- The decentralization framework must link financing and fiscal authority to the service provision responsibilities and functions of the local government so that local politicians can bear the costs of their decisions and deliver on their promises.
- The local community must be informed about the costs of services and service delivery options involved and the resource envelope and its sources.
- There must be a mechanism by which the community can express its preferences in a way that is binding to the politicians in order to have a credible incentive for people to participate.
- There must be a system of accountability that relies on public and transparent information, which enables the community to effectively monitor the performance of the local government and react appropriately to that performance in order for the politicians and local officials to have an incentive to be responsive.
- The instruments of decentralization—the legal and institutional framework, the structure of service delivery responsibilities, and the intergovernmental fiscal system—are designed to support the political objectives.

Video: Seminar on Decentralization in East Asia and the Philippines: Second Session

Duration: 01:49:55 minutes

Weblink: <http://info.worldbank.org/etools/bSPAN/PresentationView.asp?PID=1571&EID=759>

Description:

The video was taken during a policy seminar on Decentralization in East Asia and the Philippines on June 14, 2005, at the Edsa Shangri-La Hotel in Mandaluyong City, Philippines.



The Chair of the Event is Dr. Alex B. Brillantes Jr., Dean of the National College of Public Administration in the Philippines. The video features the presenters of the second session, namely: Jorge Vazquez Martinez, an Economics Professor at Georgia State University who provided international perspectives on Philippine Decentralization; Rodolfo Agbayani, Member of the Philippine House Committee on Local Government; Geronimo Trefias, President of the League of Cities and Mayor of Iloilo City; Sixto Donato Macasaet, Executive Director of the Caucus of Development Nongovernmental Organizations Network; and Galina Kurlyandskaya, General Director of the Center of for Fiscal Policy (Moscow).

IV. Examples of decentralization across the world

Latin America: decentralization has been an essential part of the democratization process as elected governments operating under new constitutions replace discredited autocratic central regimes.

Africa: the spread of multiparty political systems is creating demand for more local voice in decision-making.

Ethiopia: decentralization has been a response to pressures from regional or ethnic groups for more control or participation in the political process. In the extreme, decentralization represents a desperate attempt to keep the country together in the face of these pressures by granting more autonomy to all localities or by forging “asymmetrical federations.”

Mozambique and Uganda: decentralization is an outcome of long civil wars where political opportunities at the local levels have allowed for greater participation by all former warring factions in the governance of the two countries.

Transition economies of the former socialist states have also massively decentralized as the old central apparatus crumbled. In many countries, decentralization simply has happened in the absence of any meaningful alternative governance structure to provide local government services.

East Asia: decentralization appears to be motivated by the need to improve service delivery to large populations and by the recognition of the limitations of central administration.



Tip for Trainers

Present some examples of how democratic decentralization influences major development sectors, i.e., public infrastructure, education, health, and environment.

V. Challenges in Decentralization

While decentralization holds many promises in improving governance, it also has some downsides summarized in the following points:

- Decentralization may not always be efficient, especially for standardized, routine, network-based services. It can result in the loss of economies of scale and control over scarce financial resources by the central government.
- Weak administrative or technical capacity at local levels may result in services being delivered less efficiently and effectively in some areas of the country. This is oftentimes the case when administrative responsibilities are transferred to local levels without adequate financial resources; thus, making equitable distribution or provision of services more difficult. This is the case in Cambodia where the decentralization process is still incomplete and resources continue to be heavily concentrated at the central government level.
- Decentralization can likewise make coordination of national policies more complex and may allow functions to be captured by local elites.
- Distrust between public and private sectors may undermine cooperation at the local level.

The World Bank (Crook and Manor 2000) also concluded that decentralization does little to encourage long-term development perspectives or to enhance government’s financial capacity by mobilizing local resources to promote economic growth.

Civic Engagement in the Context of Democratic Decentralization

Civil society exists between the levels of household and state, and comprises organizations of a voluntary character that enjoy some autonomy from the state. In developing countries, civil society includes national associations and large nongovernmental organizations (NGOs), as well as small grassroots associations and everything in between.

In the context of the Comprehensive Development Framework (CDF) of the World Bank, several dilemmas arise about civil society. At and just above the local level, civil society is often largely excluded from interactions with government, its voice absent from political and policy processes. This prevents civil society from enhancing the effectiveness of government programs, from checking malfeasance and misjudgements in program implementation, and from evaluating programs. Moreover, it can impede the development, within civil society, of a sense of ownership of government development policies and projects. Making matters worse, civil society is also often somewhat disorganized and conflict ridden. And civil society organizations are less than fully accountable to their members and to the people whom they claim to serve.

Although decentralization cannot solve these problems, it can diminish them. When significant powers and resources are devolved to lower levels, especially to elected bodies at or near the village level, existing associations become more active and engage more with government agents and institutions. And new associations, sometimes among disadvantaged social groups, are created. So if strengthening civil society at the grassroots level is an important element of the CDF, decentralization can have a substantial impact.

When elected bodies near the grassroots level acquire influence, citizens often find it easier to influence their decisions. Civil society organizations sometimes have members elected to such bodies. Even when that does not occur they contact and lobby elected representatives and bureaucrats more often and usually more effectively. But if elected bodies are largely controlled by elites, as often happens, associations representing disadvantaged people often fail to gain.

With greater influence comes a greater sense of ownership of development policies and projects. Civil society organizations can make government projects more effective by ensuring that they are appropriate for local conditions and local preferences. As decentralization renders politics more transparent and open, associations can more easily discern and call attention to malpractices and misjudgements.

Decentralization usually does not make civil society less disorganized, but it enables civil society organizations to exercise their newfound influence using the more ordered and focused processes that prevail in elected bodies. Although democratization at lower levels often creates conflict as candidates compete for elective office, it moderates this conflict with democratic processes like elections and council proceedings. And although decentralization does not make citizen groups more accountable, it creates opportunities for them to exercise influence in elected bodies that are accountable to the electorate. This fosters a sense of ownership of government projects (and even of government institutions).

Source: Crook, Richard, and James Manor. 2000. Democratic Decentralization. OECD Working Paper Series. No. 11. The World Bank Washington D.C. pp.4-5

Case Study: Local Government in Cambodia

The Strategic Framework for Decentralization and Deconcentration is the policy document that governs the reforms at the provincial/municipal, district/khan and commune/sangkat levels. Chapter 13 of the Constitution also provides for the establishment of provinces/municipalities, districts/khans, communes/sangkat to be governed by organic law. The Royal Government of Cambodia has also promulgated the Law on Administrative Management of Commune/Sangkat and the Law on the Election of Capital Council, Provincial Councils, Municipal Councils, District Councils, and Khan Councils. These units of local government are created in order to establish, promote, and sustain democratic development through the policy of decentralization and deconcentration. Democratic development includes:

- Public representation
- Local autonomy
- Consultation and participation
- Responsiveness and accountability
- Promotion of quality of life of the local residents
- Promotion of equity
- Transparency and integrity
- Measures to fight corruption and abuse of power

According to the Constitution of the Kingdom of Cambodia, Cambodia is a unitary state. It is divided into provinces and municipalities. Province is divided into districts and district is divided into communes. A municipality is divided into khans and a khan into a sangkat. In Cambodia, there are 20 provinces, 4 municipalities, 171 districts, 14 khans, 1510 communes and 111 sangkats.

The Capital, Province, Municipality, District, and Khan will have councils that are indirectly elected in accordance with procedures provided in the Law on Elections. These councils shall have a term of 5 years. The number of Councilors of each council has to be determined based on demographic factors.

At commune/sangkat levels, councils will be established by direct, free, and fair elections.

A National Committee for Democratic Development at Sub-National Level (NCDD) would be established. This would have a Sub-Committee on Functions and Resources, on Fiscal and Financial Affairs, on Personnel of the Sub-National Administrations and other Sub-Committees to assist it. The NCDD shall give priority to issues related to the following sectors:

- Agriculture
- Education
- Forestry, natural resources, and environment
- Health, nutrition, and services for people including other needs of women, men, youth, children, vulnerable groups and indigenous people
- Industry and support to economic development
- Land use
- Electricity production and distribution
- Water management
- Particular or special needs for the Capital, Province, Municipality, District, Khan, commune and Sangkat including tourism, historical sites and cultural heritage
- Infrastructure and facilities that are necessary to support and facilitate these responsibilities

Sub-national councils shall have appropriate financial resources in order to:

- Administer and perform its obligatory functions;
- Administer and perform permissive functions that it chooses to implement;
- Fulfill its legal duties;
- Cover its administrative costs; and
- Perform its functions and duties in order to promote democratic development within its jurisdiction.

The capital council, provincial council, municipal council and district council have right to receive revenue from local, national and other sources of revenue in accordance with the Law on Financial Regime and Management of Assets of Sub-national Administrations that have been formulated in consistence with this Law and the Law on Public Financial System.

Source: Society for Participatory Research in Asia

Case Study: Decentralization in the Philippines

(abridged version)

“The enactment of the Local Government Code (LGC) by the Philippine Congress in 1991 has resulted in the transition from merely administrative deconcentration³ to political devolution. In sum, the LGC of 1991 became a catalyst to personnel, functional and fiscal decentralization.

The Local Government Code of 1991 provides for the devolution of the following specific functions from the national government to the local government units (LGUs): social welfare services, local health care and hospital services, agriculture extension and on-site research, community-based forestry projects, public works and infrastructure projects financed by local funds (public markets, bus terminals, slaughterhouses, roads, water supply and sanitation, solid waste management) school building programs, tourism facilities and tourism promotion and development, housing projects for provinces and cities and other services.

Aside from delivery of services and provision of infrastructure facilities, the LGUs have also been entrusted with regulatory functions. One major regulatory function is that on the reclassification of agricultural lands. This involves the authority to determine whether a piece of agricultural land may have greater economic value for residential, commercial or industrial purposes. The LGUs are also authorized to: (a) inspect food products for public consumption; (b) adopt quarantine regulations; (c) enforce the National Building Code; (d) regulate the operations of tricycles; (e) regulate the real estate trade and business; and (f) license the establishment of cockpits and regulate cockfighting.¹² The LGUs also have the power to ensure protection and conservation of the environment and thus could impose penalties for illegal logging, dynamite fishing, and similar acts, and the adoption of measures against pollution.

Related to this, the Local Government Code, particularly the Augmentation Scheme under its Implementing Rules and Regulations (IRR), assigned national government agencies (NGAs) to augment basic services and facilities earmarked to identified LGUs. The National Government Agencies will provide from their budget, if not cash outlay, basic services and facilities to the identified LGUs. The standards and guidelines for basic services and facilities prescribed by the NGAs form the bases for determining non-availability or inadequacy of such services and facilities in an LGU. Through the President’s instruction, the appropriate NGA can also provide financial, technical or other form of assistance to the LGU at no extra cost in case the latter could not support the salaries of devolved personnel, maintain the operation of transferred assets or finance the adequate delivery of basic services and facilities. In this case, rather than provide direct cash outlay to the LGUs for the delivery of basic services, the NGAs relegate the implementation of the projects and programs of the national government, including the use of the allocated budgets, to the LGUs. The NGAs also defend the budget allocated to these projects and programs during the budget planning process, even though these are for LGU needs.”

Source: Malixi, Charisma. 2008. “Review and Assessment of Decentralization in the Philippines Focusing on Local Resource Mobilization.” PhD Dissertation, University of Freiburg, Germany. Retrieved from <http://www.freidok.uni-freiburg.de/volltexte/4589/pdf/diss.pdf>

Synthesis

- Why don't politicians in well-functioning democracies deliver education, health, and infrastructure services more effectively to poor people even though they depend on poor people's votes?
- Which type/s of decentralization will highly encourage active participation and engagement of civil society? Which types will not be supportive of a meaningful citizen's participation in governance?

Reading Materials

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World Bank. 2005. East Asia Decentralizes: Making Local Government Work. <http://siteresources.worldbank.org/INTEAPDECEN/Resources/dc-full-report.pdf>.

World Bank has probably the most comprehensive range of papers on decentralization decentralization with analytical approaches, case studies, and country analyzes – three sites are worth checking: www.decentralization.org , www.worldbank.org/publicsector/decentralization and <http://www1.worldbank.org/prem>

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Session 4

Social Accountability

Learning Objectives

At the end of the session, the participants should be able to:

- Define social accountability;
- Enumerate the four pillars of social accountability; and
- Identify social accountability tools and methods following the four steps of public financial management cycle.

Core Messages

- Social accountability consists of actions initiated by citizen groups to hold public officials, politicians, and service providers accountable for their conduct and performance in delivering

services, improving people's welfare, and protecting people's rights.

- Social accountability mechanisms can contribute to improved governance, increased development effectiveness through better service delivery and empowerment.
- An enabling environment for social accountability is characterized by four pillars namely: (1) organized and capable citizen's groups; (2) responsive government; (3) access to and effective use of adequate and essential information; and (4) sensitivity to culture and context. Following the four steps of public financial management cycle, the social accountability tools include participatory planning, participatory budgeting, participatory expenditure tracking, and participatory performance monitoring

I. Definition and key concepts of social accountability

Tip for Trainers



By this time, participants should have a better understanding of good governance, democratic decentralization, and civic engagement as elements constituting the framework for social accountability. In establishing what social accountability is, help your participants link its concepts, mechanisms, and applications to the overarching goals of good governance.



EXERCISE 4.1 Poster making exercise to get the participants' ideas, perceptions of, and experiences in social accountability. See Page 202 in the Trainer's Guide.

What is accountability?

Accountability is defined as the duty of government officials to account for or take responsibility for their actions. Public accountability is built on the premise that elected officials made an "implicit social pact" with the citizens who have put them in power to promote public interests (Malena 2004).

What about social accountability?

The World Bank defines social accountability as an "approach towards building accountability that relies on civic engagement, i.e., in which it is ordinary citizens and/or citizen groups who participate

directly or indirectly in exacting accountability" (Malena 2004).

Similarly, ANSA-EAP defines social accountability as actions and mechanisms initiated by citizen groups to hold public officials, politicians, and service providers to account for their conduct and performance in terms of delivering services, improving people's welfare and protecting people's rights. These actions and mechanisms may fall under any of the following major social accountability tools namely, participatory planning, participatory budgeting, participatory expenditure tracking, and participatory performance monitoring. These citizen-driven accountability measures (demand-side of governance) complement and reinforce conventional mechanisms of accountability (supply-side of governance) such as internal reforms in the bureaucracy, electoral reforms, political governance/system reforms, political checks and balances, accounting and auditing systems, and administrative rules and legal procedures.

Social accountability, however, is not a panacea to resolving all problems in the government. While it is found to have direct impacts on improving effectiveness in the government (e.g. making public service more responsive and appropriate to people's needs, improving public service delivery and quality of service, etc.), social accountability addresses efficiency issues in a more indirect manner. Efficiency has to do with improving internal institutional processes of bureaucracy (human resource, leadership, capacity development, etc.).

For social accountability to create long-term impacts on development outcomes, it has to be formalized and integrated to existing governance structures and public service delivery systems.



Guide Question

What should government officials and other power holders be held accountable for?

II. Rationale for Social Accountability



Guide Questions

What are the most serious problems of your country/community that stem from poor public service delivery? Encourage the participants to describe these problems in concrete terms.

How can these problems be resolved by citizens, engagement in government affairs?

Social accountability is a prerequisite to achieving good governance as...

- Challenges for improving public services are increasing and worsening. Public service especially for the poor is of low quality, dysfunctional, rudimentary, and not responsive to the needs of the citizens.
- Traditional accountability mechanisms have failed to promote good governance. Accountability mechanisms that concentrate on the “supply side” of governance have failed to deliver results in terms of minimizing corruption and improving access to and quality of public service for poor communities.

- Citizens, especially the poor, lack the capacity to organize themselves in order to demand good governance from their elected officials or holders of power.

Hence, the goal of social accountability action brings us back to the vision of a good society – meeting people’s basic needs through improved public service delivery, building a caring community that enhances people’s welfare, and promoting equality and justice by strengthening people’s rights (ANSA-EAP 2008).

Protection and strengthening of human rights is one of the major goals of social accountability. Hence, it can be said that social accountability is a rights-based approach as it builds on and leads to the strengthening of individual rights. According to the Commission on Human Rights of the Republic of the Philippines, a Rights-Based approach is a “conceptual framework for the process of human development that is normatively based on international human rights standards and operationally directed to the promotion and protection of human rights while applying the integration of the norms, standards, and principles of the international human rights system into the plans, policies, and processes of development.” These rights include, but not limited to:

- **Right to be heard (VOICE)** – Citizens have a right to voice their needs, opinions, and concerns to help government to better understand citizen priorities and how to better serve the people.
- **Right to know (INFORMATION)** – Citizens have a right to obtain in a timely manner reliable, high quality, and relevant information from

government offices and agencies to build credible evidence that will serve to hold government accountable.

- **Right to organize (ASSOCIATION)** – Citizens have a right to create or join groups and organizations with greater capacity to engage government in a constructive, systematic, and sustainable way.
- **Right to participate (NEGOTIATION)** – Citizens have a right to participate in governance processes to negotiate their issues and interests with public officials and achieve real long-term change.

III. Four pillars of social accountability



EXERCISE 4.2 Building Blocks of Social Accountability on Page 203 in the Trainer's Guide.

An enabling environment for social accountability has four pillars or main features:

1. **Organized and capable citizen groups** that can gather and analyze information about government programs and then use this information judiciously to directly engage public officials, politicians, and service providers and demand that they serve the public interest justly, efficiently, and effectively.

Some of the organizational capacities that citizen groups need in order to facilitate a constructive

civic engagement with the government are as follows:

- Capacity to setup systems and structures for organizing the constituents;
- Ability to build networks and negotiate among competing stakeholder interests; and
- Ability to articulate positions into effective messages that are able to create and expand public consensus on issues.

2. **A responsive government** that provides spaces, structures, and processes for a constructive civic engagement. Such government includes individuals or champions who believe in the value of constructive engagement and citizen participation in governance, and who support such processes.

3. **Access to and effective use of adequate and essential information.** The generation of high quality and reliable demand-side information is an important prerequisite to any social accountability program. Monitoring and evaluation of government's performance should be based on reliable evidences to make credible claims about whether the government is performing well or not. Hence, citizen groups must have the capacity to access and assess the quality of information presented to them as well as to anticipate some structural barriers that would prevent them in doing so such as the lack of legal and policy frameworks in accessing public documents, elite capture of governance processes, red tape or too bureaucratic process in disclosing public information, among others.

A boxed article below illustrates how the Concerned Citizens of Abra for Good Government (CCAGG), a non-partisan group of individuals committed to monitor public spending, was able to expose the truth behind the “20 Successful Infrastructure Projects” in the region of Abra in the Philippines. CCAGG made use of a variety of approaches to gather quality information from various sources. These approaches include social mobilization, advocacy and lobbying, partnership building with various sectors, and participatory performance monitoring tools, among others.

4. ***Sensitivity and relevance to culture and context.*** This requires a better understanding of contextual factors that can help facilitate or hinder the adoption of social accountability mechanism. Hindering factors may include values and beliefs system that sustain a culture of clientelism, corruption, and mismanagement in the government. The framing, application, and mainstreaming of social accountability cultural and contextual factors and build on those factors that support constructive engagement and citizen monitoring of the government.

IV. Social Accountability Mechanisms and Applications



EXERCISE 4.3 Find My Perfect Match
Exercise on Page 203 in the Trainer’s Guide.

Generally, social accountability mechanisms can be applied in four key functions of the government

namely (Malena 2004):

1. Policies and plans
2. Budgets and expenditures
3. Delivery of services and goods
4. Public oversight

Among the four key functions of the government, it is the formulation of the budget and public spending where social accountability mechanisms have been proven most effective in holding public officials to account for their conduct and performance (Malena 2004). This is because public funds are potential targets for corruption. And when corruption is rampant, public services delivery tend to be weak, resulting in poor development outcomes.

The public financial management cycle consists of four phases: development planning, budgeting, expenditure tracking, and performance monitoring and evaluation (Figure 5).

Development Planning

The Public Finance Management Cycle begins with the process of developing policies, plans, projects, and programs, also known as development planning. Civic engagement is particularly useful in this phase to ensure that the limited resources of the government are properly allocated to issues and problems that are relevant to the citizens.

Budgeting

Participatory approaches are being used in formulating local budgets. In Brazil, for instance, the Participatory Municipal Budgeting model used in Porto Alegre was adopted in about a hundred municipalities in the country. The crafting of

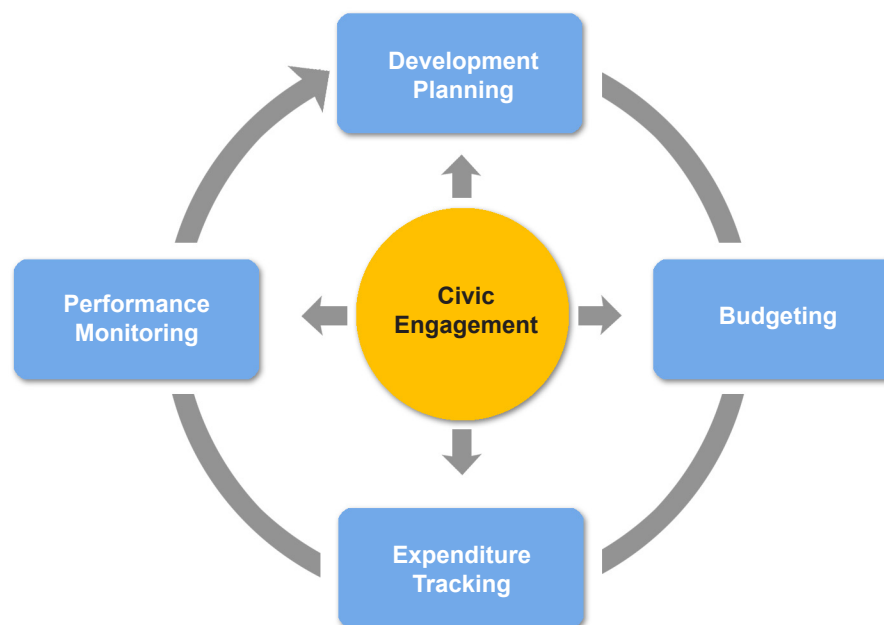


Fig. 5. Public Financial Management Cycle

alternative budget is also another way to integrate citizens' preferences as against the top-down conventional budgeting of the government. Examples of this are South Africa's Women's Budget and Canada's Alternative Federal Budget (Malena 2004).

Expenditure Tracking

This involves citizen groups monitoring the manner in which the government spends public funds. Actual users and beneficiaries of funds are usually tapped by citizen groups to provide the necessary information. These pieces of information are

validated with the data from the government such as disbursement records as well as information generated from participatory approaches and tools such as Citizen Report Cards (see Session 9: Participatory Performance Monitoring). An example of this is the World Bank's Public Expenditure Tracking Survey (PETS) first conducted in Uganda in 1996 to track and assess public spending and development outcomes in the education sector. Since then, PETS has been adopted in 35 countries in Africa, Asia, Latin America, and Eastern Europe (more on PETS on Session 8: Participatory Expenditure Tracking).

Performance Monitoring

Participatory monitoring involves keeping track and evaluating the impacts of government projects on intended beneficiaries. It includes assessing the efficiency, quality, and responsiveness of public service delivery using participatory performance monitoring tools such as community scorecards and citizen report cards. Outputs of these tools research will be used to influence policy at various scales, from the national to subnational levels. The commonly cited examples of this were the Citizen Report Card projects in Bangalore, India and in the Philippines.

The different social accountability tools and methodologies can be implemented in each stage of the PFM cycle while some can be used throughout the entire cycle and at multiple stages (Table 6).

Figure 6 on the next page summarizes the conceptual link between good governance and social accountability as well as the overall social accountability framework discussed above.



Guide Question

Which social accountability tools will work in your locality, country, or region and why?

Table 6. Social Accountability Tools.

Phases of Public Financial Management Cycle	Social Accountability Tools	Examples/ applications
Development Planning	Participatory planning	Participatory planning in Quezon City by Institute of Popular Governance; Naga City People's Development Council. Both are in the Philippines
Budgeting	Participatory budgeting Alternative budgets	Budget Forum in Indonesia (<i>Mus Renbang</i>) Budget analysis by NGO Forum in Cambodia
Expenditure Tracking	Participatory expenditure tracking	Citizen's Audit of Public Works Projects in Abra, Philippines
Performance Monitoring	Citizen Report Card, Community Scorecard, PM&E; Public Opinion Polls; Citizen's Charter; Citizen groups/local oversight committees	Citizen Report Rating in Cambodia; Filipino Citizen Report Card

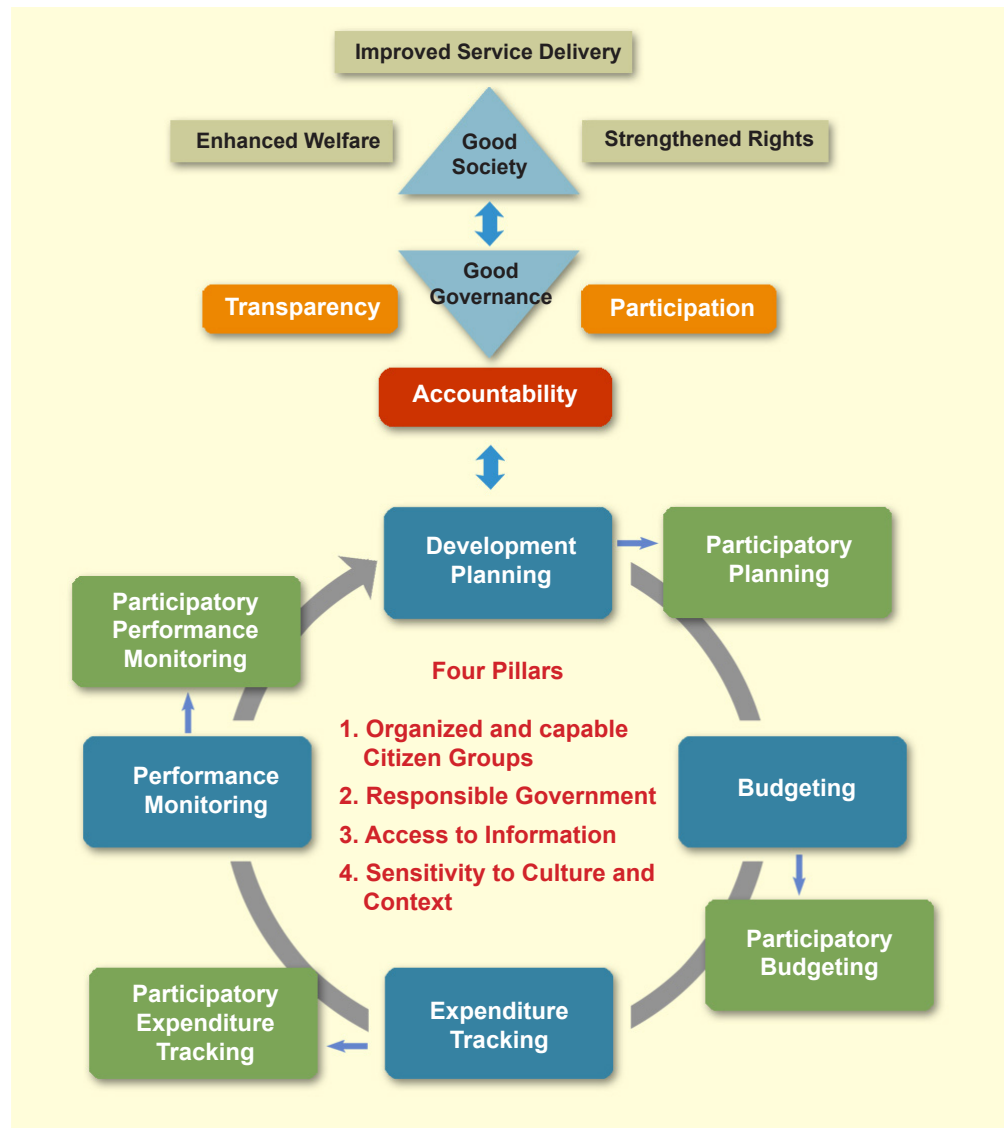


Fig. 6. Social Accountability Framework (ANSA-EAP)

V. Critical Success Factors of Social Accountability

Citizen groups and the government should pay attention to the following critical factors before carrying out any social accountability programs:

● Political context and culture

The sure way to design and integrate social accountability mechanisms in governance is to establish political structures, legal frameworks, and institutional arrangements that allow citizens to access information, make their voices heard, and create spaces for negotiation for change. Moreover, social accountability thrives in an environment that values political transparency and democracy, and respects the basic political and civil rights.

● Access to information

Social accountability will not be possible without the government giving access to information and citizen groups proactively seeking and analyzing the truthfulness of such public. It is about finding a complementation of information both from the “demand-side” and “supply-side” of governance.

● Role of the media

In cases where media firms operate independently, the media is the watchdog of society exposing “misdeeds” of the government (Malena 2004). Nowadays, the emphasis shifts to media being an agent of social change as it moves people to act and demand good governance from their elected public officials. Local media, such as provincial and local television and radio stations,

have a high potential to mobilize and organize local communities for pushing forward good governance agenda. However, local media often do not reach poor communities and lack the capacity to hold local governments accountable. In many instances, independent local media and even national media are owned and controlled by the local/country’s elite who, oftentimes, are the same people ruling the government.

● Citizen group capacity

The success of social accountability initiatives also lies in the capacity of citizen groups to negotiate and work with the government in promoting an efficient, timely, and fair delivery of public services. The term capacity encompasses individual capabilities (knowledge, attitude, and skills of individuals), organizational capacities (structure, functions, leadership, membership, thrusts on partnership and coalition building, and funding), and technical capacities (thematic, sectoral, and geographic focus).

● Institutional capacity

Efforts of citizen groups are futile without the government’s “buy-in” of social accountability. State capacity involves not only the ability to craft and implement supply-driven public accountability mechanisms but also the capacity to nurture government citizens’ engagement for good governance. Institutional capacity includes building a good relationship with citizen groups and developing joint solutions for improved governance, increased effectiveness of public service delivery, and citizen empowerment.

● Formalization and Embedding of Social Accountability in Functions, Strategies, and Processes

The practice of social accountability should be part of the day-to-day functions and operations of the government and citizen groups, if it were to become sustainable. Social accountability concepts and tools must be mainstreamed within the core functions, mandates, and overall development strategies and goals of the government. One way of doing this is to develop legal instruments that will formalize social accountability at various levels of the government. Another way of mainstreaming social accountability is to integrate its concepts and tools into various sectors of civil society, from the media to community-based organizations, business, and the church, among others.



Tip for Trainers

Describe the nuances of engaging citizens with the government by grounding the discussions on the participants' local context. See the discussion on "Caveats in Facilitating a Constructive Civic Engagement for Social Accountability" on page 149

Synthesis

- What are the factors that will make a social accountability initiative in your locality succeed?
- Which social accountability tools will work in your locality, country, or region and why?
- What are the problems that you will encounter in

carrying out social accountability initiatives and how will you resolve them?

Reading Materials

Ackerman, John M. 2005. Social Accountability in the Public Sector A Conceptual Discussion. In Social Development Papers. The World Bank and Development/The World Bank

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Session 5

Public Financial Management Cycle: An Overview

Learning Objectives

By the end of this session, the participants should be able to:

- Illustrate the process of public financial management cycle; and
- Identify the social accountability tools for each stage.

Core Messages

Substantial evidences showed that social accountability produces significant results when applied in the PFM process. This is because public

funds are potential targets for corruption. And when corruption is rampant, public service delivery tend to be weak, resulting in poor development outcomes.

- Following the money trail is not an easy task. It requires both the participation and cooperation of the government and civil society to maximize the potential gains as well as address the inherent weaknesses of the supply- and demand-side of governance.
- The PFM Cycle has four interrelated phases, namely development planning, budgeting, public expenditure tracking, and performance monitoring. The main social accountability tools

used in each stage are as follows: participatory planning, participatory budgeting, participatory expenditure tracking, and participatory performance monitoring.

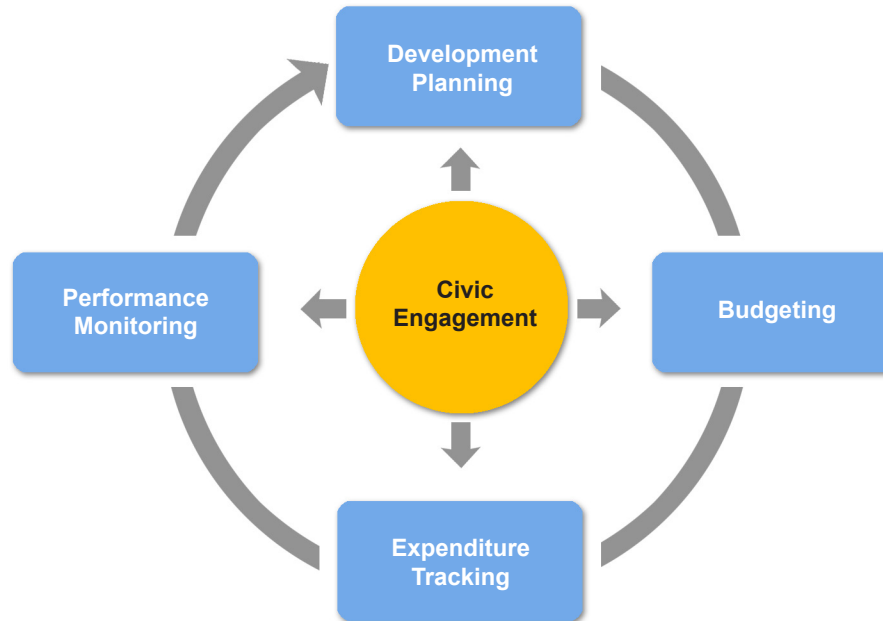
The PFM Cycle and Social Accountability Tools

The PFM Cycle is composed of four interrelated phases: (1) development planning; (2) budgeting; (3) expenditure tracking; and (4) performance monitoring.



Tip for Trainers

Start the session by asking the participants, *why do we have to know where the money is going? Why are we so interested in following the money?*



Public Financial Management Cycle

Why are we very keen in tracking down the money?

Social accountability is best applied in the PFM processes. This is because public funds are potential targets for corruption. And when corruption is rampant, public services delivery tend to be weak, resulting in poor development outcomes.

Following the money trail is not an easy task. It requires both the participation and cooperation of the government and civil society alike to maximize the potential gains as well as address the inherent weaknesses of the supply- and demand-side of governance.

Civic engagement in PFM addresses the following limitations in the horizontal practice of public accountability (Boncodin 2007):

- State audit reports are not widely disseminated to the public or if disseminated, are not timely nor useful for decision-making;
- State audit reports are more focused on compliance or regularity audits than on performance or value for money audits;
- Poor parliamentary oversight due to weak structure of supreme audit institutions of the countries;
- Lack of capacity on the part of auditors to review transactions particularly those employing innovative approaches;
- Lack of manpower to review volumes of transactions; and
- The supreme audit institutions are not completely independent from political powers.

Development Planning

Development planning is the process where policies, strategies (programs, projects, and activities) and development outcomes are identified. It involves at least four stages: data collection, data analysis (generation of options), development of a draft plan, and finalizing the plan.

The presence and contribution of citizen groups to any development planning process is essential to

ensure that the government will prioritize issues and problems that are considered relevant by the citizens. It also helps ensure that the limited resources of the government are properly allocated.

Citizen groups should have the capacity to participate in all stages of the development planning while the government should provide an enabling environment for the citizen groups to influence the decision-making process.

At this stage, the social accountability tool that can be employed is called participatory planning. Participatory planning recognizes the legitimacy and capacity of citizens to help the government craft better policies and development strategies. It makes use of various tools and techniques such as participatory workshops, surveys, public hearings, alternative development plans, focus group discussions, key informant interviews, among others.

Budgeting

Budgeting pertains to the provision of financial resources to government functions to accomplish project and program objectives. Budgeting encompasses the following:

1. formulation of fiscal policies;
2. determination of aggregate budget size;
3. allocation of budget resources to functions, programs, projects, activities of the government in accordance with priorities;
4. issuance of funds authority to government entities; and
5. reporting, review, and monitoring and control of financial transactions (Boncodin 2007).

Citizens participate directly or through organized groups in the different stages of the budget cycle, namely budget formulation, decision-making, and monitoring of budget execution. Boncodin (2007) summarizes the rationale for civic engagement in budgeting in the following points:

1. demystifying the budget and the budget process;
2. responding to basic needs of citizens at grassroots;
3. improving budget allocation and facilitate fund distribution procedure; and
4. preventing financial corruption and enhance accountability.

The key social accountability tool in budgeting is participatory budgeting. It can be broadly defined as a mechanism (or process) through which the population decides on or contributes to decisions made on the allocation of all or part of available public resources. However, participatory budgeting does not stop and end with the allocation of funds. Rather, its framework allows for direct citizen participation throughout all phases of the budget cycle (formulation, decision-making, and monitoring of budget execution) to ensure that decisions made earlier with the citizens are put into practice.

Expenditure Tracking

Public expenditure tracking follows the flow of resources through several layers of the government, down to the frontline service providers which will actually spend the resources, to determine how much of the originally allocated resources reach each level (Dehn et al., 2003). Bureaucratic capture, leakage of funds, and problems in the deployment of other resources such as human and in-kind resources are easily determined with the help of public expenditure tracking tool.

Participatory expenditure tracking involves citizen groups monitoring the manner in which the government spends public funds. Actual users and beneficiaries of funds are usually tapped by citizen groups to provide the necessary information. These pieces of information are validated with the data from the government such as disbursement records as well as information generated from participatory approaches and tools such as citizen report cards.

One of the most commonly used social accountability tool used in public expenditure tracking is the World Bank's Public Expenditure Tracking Survey (PETS). PETS was first conducted in Uganda in 1996 to track and assess public spending and development outcomes in the education sector. Since then, PETS have been adapted in 35 countries in Africa, Asia, Latin America, and Eastern Europe.

Performance Monitoring

Performance monitoring involves keeping track and evaluating the impacts of government projects on intended beneficiaries. It includes assessing the efficiency, quality, and responsiveness of public service delivery using participatory performance monitoring tools such as the citizen report cards. Outputs of these tools will be used to influence policy at various scales, from the national to subnational levels. The commonly cited examples of this were the Citizen Report Card projects in Bangalore, India and in the Philippines.

Citizen report card in Bangalore, India

“Citizen report cards in Bangalore, India have forced passive public agencies to listen and respond to citizen concerns. In this case, information obtained through the report card initiative was publicly disseminated and presented to government officials, providing a base to command accountability and change. The worst rated agency (Bangalore Development Agency) reviewed internal systems for service delivery and introduced reforms. The agency also held public forums to consult with community members on solving high priority problems. Similarly, the Karnataka Electrical Board formalized (or “institutionalized”) periodic dialogues with residence associations to readdress grievances. Moreover, public awareness on issues of service quality has substantially increased and the report cards have stimulated civil society activism in Bangalore, increasing citizen monitoring and participation.”

Source: World Bank Institute Core Learning Program on Social Accountability

Synthesis

- Why is it important to know how the government allocates and spends public funds?
- Who are the key actors in each stage of the PFM cycle?
- What are the enabling policies that would allow citizens to participate in the stages of the PFM cycle?

Readings

Malena, Carmen et al. (2004) Social Accountability: An Introduction to the Concept and Emerging Practice. Social Development Papers, Participation and Civic Engagement, Paper No. 76, December 2004. World Bank

National Economic Development Authority and Asian Development Bank (2007) Guidelines on Provincial/ Local Planning and Expenditure Management

References

Boncodin, Emilia (2007) Citizen Engagement in Budgeting and Public Accountability. A Powerpoint Presentation presented during the 6th Session of the Committee of Experts in Public Administration held in 10-14 April 2007, United Nations, New York, USA

Dehn, Jan, Ritva Reinikka and Jakob Svensson. 2003. Survey Tools for Assessing Performance in Service Delivery

World Bank Institute Core Learning Program on Social Accountability

Session 6

Participatory Planning

The PFM Cycle begins with the process of formulating policies, projects, and programs, also known as *Development Planning*. Civic engagement is particularly useful in this phase to ensure that the limited resources of the government are properly allocated to issues and problems that are relevant to the citizens.

Learning Objectives

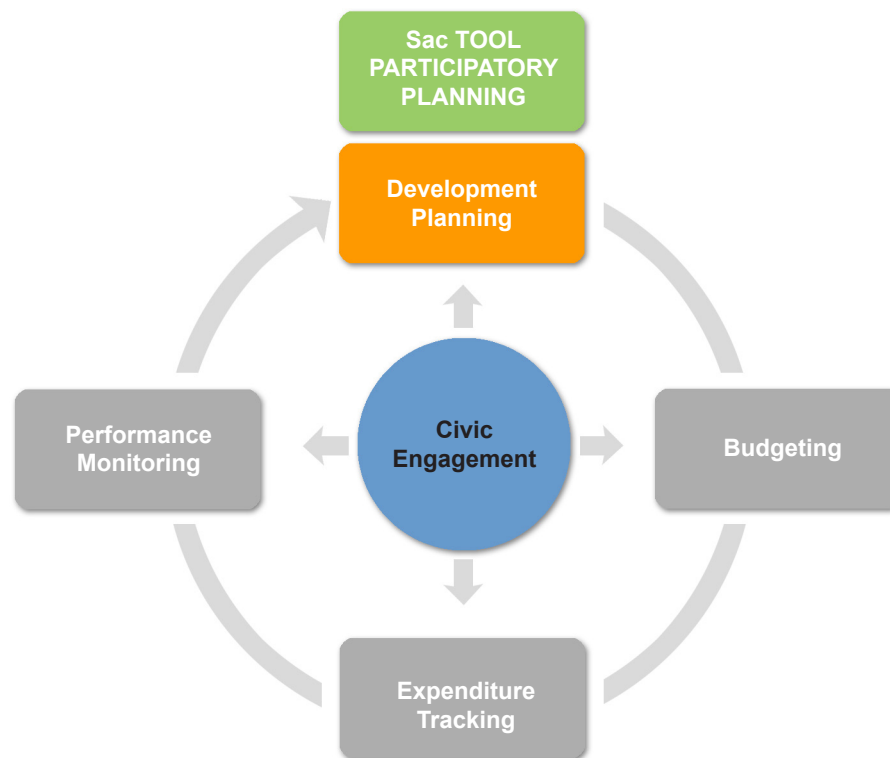
By the end of this session, the participants should be able to:

- Define participatory planning;
- Explain why civic engagement is important in local development planning; and

- Illustrate the participatory planning process and the entry points for civic engagement; and
- Identify the key challenges in its implementation.

Core Messages

- Citizen participation can be an effective social accountability mechanism in development planning to ensure that the government prioritizes relevant issues and problems and that the limited resources are properly allocated.
- Participatory planning refers to a range of participatory approaches as applied in the context of development planning. Examples of



The Public Finance Management Cycle

such approaches are multi-stakeholder policy analysis and advocacy, citizen participation in local planning bodies or citizen councils, among others. Participatory approaches should not be confused with participatory 'tools' such as community mapping, stakeholder analysis, and meta-planning.

- Participatory planning will only be successful if both the government and citizen groups are

committed to achieving a meaningful participation by giving the citizen groups the right to influence decision-making in the planning process.

- For participatory planning to work, citizen groups should participate at all stages of the development planning process from data collection, data analysis, development of a draft plan to finalizing the plan.

Tip for Trainers

Start the session by asking the participants about their personal experiences in planning.



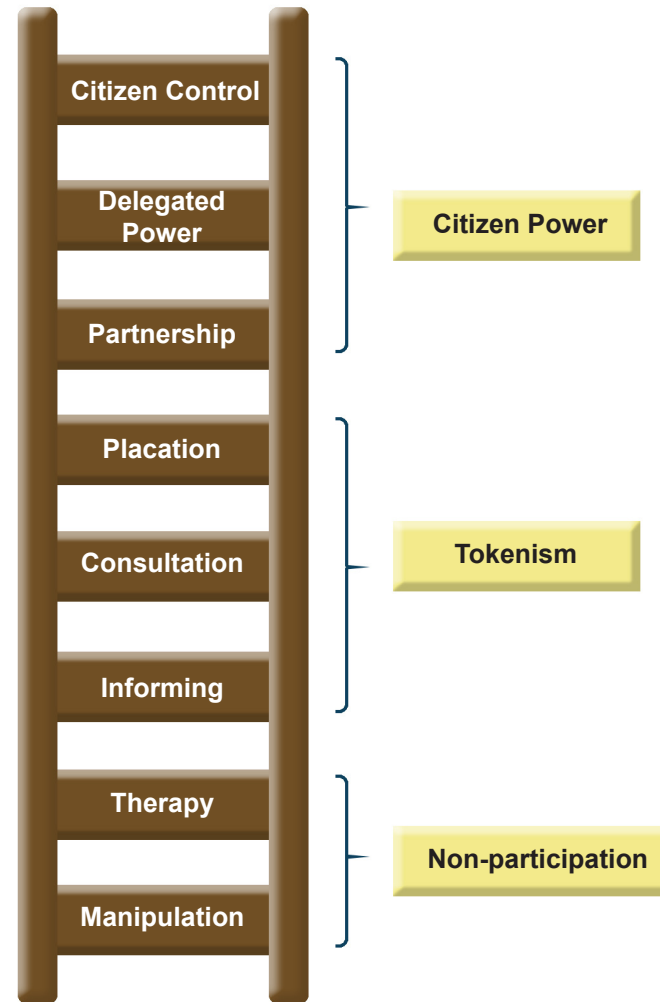
- What are your plans in life?
- How do you make your plan?
- Do you consult anyone in making your plans?
- Do you find their inputs helpful or not? Why do you think so?

- Some of the key challenges in facilitating a participatory planning process are (1) government’s fear of losing power; (2) citizen’s lack of interest to take part in government affairs; and (3) the need for champions not only within citizen groups but also within the government.

I. Citizens Participation in Planning

Participatory planning refers to a process that proactively engages citizen groups in formulating public policy, PPAs (programs, projects, and activities), and budgets.

The extent and nature of citizen groups participation in a planning process is determined by the degree of influence citizen groups have on the decision-making process. This can be illustrated in the seminal work of Sherry Arnstein on the different levels of citizen participation (Figure 7).



Source: Arnstein, Sherry (1969) "A Ladder of Citizen Participation," JAIP, Vol. 35, No. 4, July 1969, pp. 216-224.

Fig. 7. Ladder of Participation

Arnstein used the metaphor of a ladder to explain the hierarchies of citizen participation in any development programs. The level of citizen participation depends on the extent of power shared from traditional power holders such as government officials and research and development institutions to poor and marginalized citizens (Arnstein 1969).

The bottom rungs of the ladder (Manipulation and Therapy) are characterized as “non-participation.” At the lowest level, citizens are seen as passive and “powerless” targets of development interventions with nothing significant to contribute to the development process. The second to the lowest level of participation is “tokenism.” At this level, citizen participation is regarded as a “token” where citizens will be informed and will have the opportunity to be heard but not necessarily to have a voice and the power to exert influence over the decision making process. This type of participation has no “muscle” to change the status quo (Arnstein 1969).

The highest form of citizen participation is called “citizen power” where citizens have the capacity to engage and negotiate trade-offs and benefits with the traditional power holders (i.e. partnership) or in some instances, citizens have the majority of seats in decision making or full managerial power (i.e. delegated power and citizen control) (Arnstein 1969).

However, the extent of citizen’s influence on planning is oftentimes constrained by the following factors:

- Purpose and scope of citizen participation (e.g. to identify problem areas, to design interventions, to validate key results, etc.);

- Enabling policies that allow citizens to be involved in the planning process;
- Type of stakeholders involved and their political interests (e.g. government, private sector, nongovernment organizations, etc.);
- Organizational capacity of citizen groups to effectively engage with and build trust in the government and vice versa; and
- Available resources to facilitate a more inclusive and participatory planning process (human, financial, and technical).

While these factors may differ from country to country, both the government and citizen groups should strive *for a meaningful participation that will result in better planning process, effective enforcement of policies and implementation of plans, and better development outcomes.*

Guide Question



In some instances, there are aspects of planning that have already been decided on by a few stakeholders. For example, a local government seeks to consult the citizens about their ideas on the appropriate compensation schemes for those who will be displaced by a major dam project but not necessarily to seek for their approval or disapproval of the project. How can the citizens influence the decisions that are considered as non-negotiable by the government?

II. Benefits of Engaging Citizens in Planning



EXERCISE 6.1: Building a Community House on page 204 in the Trainer's Guide.

The presence and contribution of citizens to any development planning process is essential to ensure that the government will prioritize issues and problems that are considered relevant by the citizens. It also helps ensure that the limited resources of the government are properly allocated.

The Philippines' Housing and Land Use Regulatory Board or HLURB (2001) enumerates the benefits that can be derived from participatory planning. These include:

- Enhancing the quality of decisions made by eliciting local knowledge and opinions;
- Making decision-makers more accountable and sensitive to the needs of the community;
- Encouraging a sense of community ownership and community responsibility for addressing the issues;
- Identifying and resolving potential conflicts or competing interests;
- Establishing partnerships and mobilizing community resources; and
- Increasing the efficiency of decision-making

process by building support for and legitimizing proposals.

III. Entry Points and Opportunities for Citizen Participation in Planning

The Planning Process

To enable the participants to identify the entry points and opportunities for citizen participation in planning, it is important to brief them about the stages of the planning process. Whether it is to develop a policy, management plan, a development program, or annual investment plan, the planning process will go through at least four stages (Figure 8):

1. Data collection (gathering information/ideas to formulate/validate the vision, the existing conditions, and the objectives);
2. Data analysis (analyzing the data to generate and evaluate options);
3. Development of a draft plan/program proposal/budget; and
4. Finalizing the plan/program proposal/budget.

In each stage, citizen participation will have a specific purpose to serve (see Table 7). It is also important to note that citizen participation should not end in the Planning Phase but ideally should extend to the implementation, monitoring and evaluation phase.

In between the planning and implementation phase is the *local development investment program*,

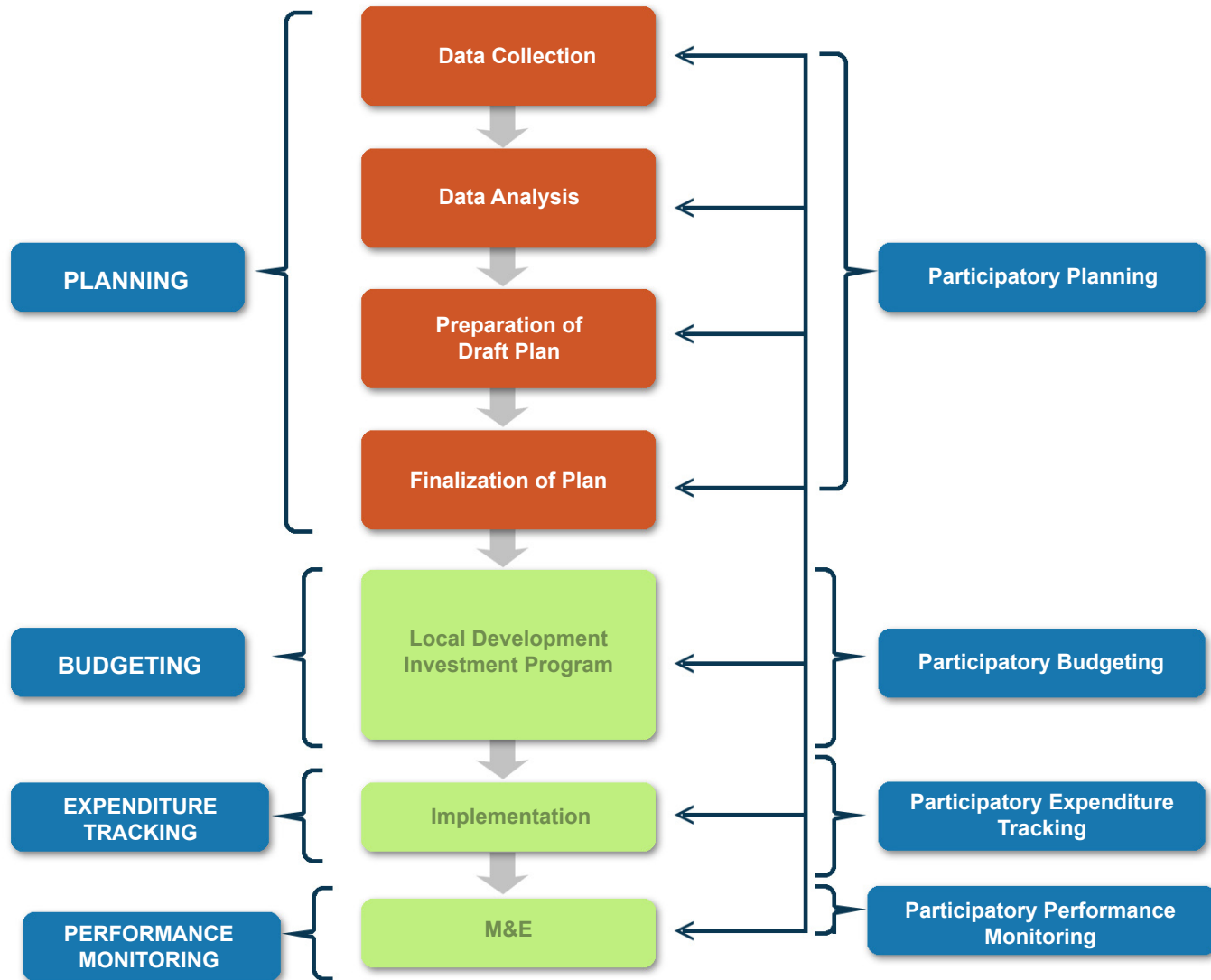


Fig. 8. The Development Planning Process

Table 7. Stages of a Planning Process and Purpose of Citizen/CSO Participation.

Stages of a planning process	Purpose of Citizen/CSO Participation
1. Data Collection	Identification of issues and ideas, within an agreed overall outcome
2. Analysis; generation of options	Explore the pros and cons of various options
3. Development of a draft proposal	Feedback on the draft
4. Finalization of a policy, plan, etc.	Inform about the final decisions

Source: Housing and Land Use Regulatory Board (2001) "Planning Strategically: Guidelines for the Application of the Strategic Planning Process in the Preparation of CLUP and to Important Urban Area Issues and Problems"

an investment program of a local government that is ideally derived from the comprehensive development plan. Citizen engagement is particularly important in this phase as it offer an opportunity for citizens to evaluate and give feedback on how the local government allocates its financial resources. It also serves as baseline in which expenditure tracking efforts are to be based on. Detailed discussion on this topic can be found in the next two sessions (Participatory Budgeting and Participatory Expenditure Tracking).

Identifying Stakeholders

One salient feature of participatory planning is the inclusion of a wide range of stakeholders at various stages of the planning process. The World Bank defines a stakeholder as "any entity with a declared or conceivable interest or stake in a policy concern." They can be individuals, organizations, or unorganized groups.

In most cases, stakeholders fall into one or more of the following categories:

- International actors (e.g. donors)
- National or political actors (e.g. legislators, governors)
- Public sector agencies (e.g. MDAs)
- Interest groups (e.g. unions, medical associations)
- Commercial/private for-profit
- Non-profit organizations (NGOs, foundations)
- Civil society members, and users/consumers

A person, group, or organization/institution has a stake on the planning process and outcomes if (HLURB 2001):

- They are to be affected by the project;
- They can potentially affect the outcomes of the planning process through their access to or influence on the use of resources and power;

“**Stakeholder Analysis (SA)** is a methodology used to facilitate institutional and policy reform processes by accounting for and often incorporating the needs of those who have a ‘stake’ or an interest in the reforms under consideration. With information on stakeholders, their interests, and their capacity to oppose reform, reform advocates can choose how to best accommodate them, thus assuring policies adopted are politically realistic and sustainable.”

“Four major attributes are important for SA:



- the stakeholders’ position on the reform issue,
- the level of influence (power) they hold,
- the level of interest they have in the specific reform, and
- the group/coalition to which they belong or can reasonably be associated with.

These attributes are identified through various data collection methods, including interviews with country experts knowledgeable about stakeholders or with the actual stakeholders directly.”

For more information, download: <http://www1.worldbank.org/publicsector/anticorrupt/PoliticalEconomy/PREMNote95.pdf>

Gender-Responsive Planning

“Planning is not gender-neutral. Women can play an important role in identifying and solving problems in the community. One of the key benefits of consultation is that it can elicit very useful information about what is happening in the community. Given that women are traditionally responsible for the welfare of the household as well as many community-based services and activities, their input on how the community functions is vital in making effective planning and development decisions.

In addition, the support and involvement of women is often critical in ensuring the successful implementation of projects.

In designing a consultation program to include women, consideration needs to be given to:

- How best to inform women recognizing that the literacy rate between men and women may be different;
- When to consult women recognizing their time constraints due to their triple roles, i.e. reproductive, productive, and community management/social roles;
- Where to consult them because women may be less mobile than men; and
- How to ensure that women are heard at mixed meetings given the propensity of men to dominate.

One of the most effective ways of consulting women involves all-women gatherings such as focus groups or small community-based meetings. House to house consultation is also very effective but can be very time-consuming.”

Source: HLURB (2001) “Planning Strategically: Guidelines for the Application of the Strategic Planning Process in the Preparation of CLUP and to Important Urban Area Issues and Problems”

- They perceive they may be affected even if they are not considered as immediate stakeholders of the project;
- They think they should be involved because of their standing in the community and are likely to get annoyed if not invited to participate; and
- They would play a critical role if the planning process is not handled well.



Guide Question

How do you engage individuals and groups that are likely to oppose the project or proposal?

Participatory Tools and Techniques

There is a variety of participatory tools and techniques that can be used to elicit citizen

participation at various stages of the development planning process. The choice of participatory tool or technique depends on whether citizens will participate individually, or interacting with others in a group setting. More importantly, it should depend on which stage of the planning cycle the citizens/citizen groups will participate as well as on the purpose and scope of citizen's engagement.



Guide Question

Based on your experiences in facilitating a participatory planning process, what are the factors that should be considered in selecting participatory tools and techniques?

Table 8 summarizes the relationship between the stage of the planning process the purpose of consultation, and the participatory tool/technique that can be used to carry out the stated purpose.

Table 8. Stages of a Planning Process, the Purpose of Citizen Engagement, and the Recommended Participatory Tool.

Stages of Planning Process	Purpose of Citizen Engagement	Participatory Tool/Technique
1. Data Collection	Identify issues and ideas	Encouraging broad-based discussions in order to generate and explore issues and ideas such as interviews, workshops, surveys, meetings with existing groups, and focus groups.
2. Data analysis; generation of options	Explore the pros and cons of various options	Focusing the discussions on the options such as participatory design workshops, evaluative workshops, and staffed displays
3. Development of draft proposal	Feedback on the draft	More focused discussion to fine-tune the draft such as participatory workshops and written submissions
4. Finalization of policy, plan, etc.	Report on final decision	Presenting final outcomes; for instance through letters to stakeholders and involved in the consultation as well the broader community through use of mass media (TV, radio, newspaper, and ICT)

Source: Adapted from Housing and Land Use Regulatory Board .2001. "Planning Strategically: Guidelines for the Application of the Strategic Planning Process in the Preparation of CLUP and to Important Urban Area Issues and Problems"

Some Participatory Tools that can be used in Participatory Planning

1. Transect walk

Objective: To build rapport with community and to verify what has been discussed in group meetings.

Method:

- Take a volunteer group from the community for a walk across the planning area.
- Ask each volunteer to observe the area for specific issues related to either resource mapping or social mapping which can be done before or after the walk.
- Request each person to take notes or share it with a person who can record observations identifying the broad problems especially those related to land.

2. Time line

Objective: To record the history of the village and make people understand and identify themes and pattern that have shaped the community.

Method:

- Provide chart papers and pens; divide people according to age groups or issues like watershed management in the municipality or village.
- Explain that they will record history as they remember important events that are related to the development of the municipality/village.
- Each group creates time lines. All time lines are collected on a big chart.
- Make the shared history visible by pasting it on the walls to note milestones for development in the village to understand what past meant.

3. Social mapping

Objective: To create a map of social assets.

Method:

- Ask the community members to draw a map of the planning area on the ground or a sheet of paper.
- The participants may start drawing the main road from their homes and marking their own homes and fields and the services they use.



- Ask people to mark out infrastructure available in the village that they do not use as frequently including roads, lanes, drains, hand pumps, wells, electricity, dispensary, schools, etc. Common resources and landmarks such as pasture, temples and ponds can then be added.
- Add information on occupation of people. They can also add information on the availability and access to public services or other related information relevant to resolving issues and concerns under discussion.
- Verify the data generated with census report and with others who were not present during the mapping.

4. Problem Tree Analysis

Objective: To identify the cause and effect relationship of a problem.



Method:

- This is usually carried out in a small focus group (about 6-8) using a flip chart or overhead transparency.
- The first step is to discuss and agree on the issue or problem to be analyzed.
- Write the problem or issue at the centre of the flip chart. This will serve as the trunk of the tree.
- Identify the causes of the problem and write them below the trunk of the tree. They will serve as the “roots” of the tree.
- Identify the consequences of the problem and write them above the trunk of the tree. They will represent the braches of the tree.
- Facilitate a discussion of the problem tree. Some possible questions to explore are as follows: What are the most serious consequences? Which causes are easiest/most difficult to address? What possible solutions might there be? Are the economic, political, and socio-cultural dimensions of the problem considered?

Source: PRIA (2008) Tools for Developing a Micro Plan

IV. Capacity Development Needs of CSOs and the Government in Facilitating a Participatory Planning Process

Stakeholder	Capacity Development Needs
Citizen groups	<p><i>Information/knowledge Needs</i></p> <ul style="list-style-type: none"> • Development planning cycle and processes • Enabling policies and institutional arrangements for civic engagement in development planning • Social accountability principles and tools • Gender mainstreaming in development planning <p><i>Skills</i></p> <ul style="list-style-type: none"> • Participatory tools and techniques in engaging with the government • Public speaking • Clear and effective writing <p><i>Organizational Capacity</i></p> <ul style="list-style-type: none"> • Establishing/strengthening partnership with the government • Leadership training • Mainstreaming of social accountability principles and tools in organizational priorities, plans, and programs

Stakeholder	Capacity Development Needs
Government	<p data-bbox="736 371 1103 401"><i>Information/knowledge Needs</i></p> <ul data-bbox="788 443 1532 579" style="list-style-type: none"> <li data-bbox="788 443 1532 478">• Benefits of participatory planning which will lead to better appreciation of participatory/bottom-up approaches <li data-bbox="788 478 1532 514">• Social accountability principles and tools <li data-bbox="788 514 1532 579">• Enabling policies on civic engagement <p data-bbox="736 620 799 651"><i>Skills</i></p> <ul data-bbox="788 693 1503 828" style="list-style-type: none"> <li data-bbox="788 693 1503 728">• Stakeholder identification and analysis <li data-bbox="788 728 1503 763">• Participatory tools and techniques <li data-bbox="788 763 1503 799">• Presentation, facilitation and negotiation techniques <li data-bbox="788 799 1503 828">• Communication skills (interpersonal, written, mediated) <p data-bbox="736 870 1025 900"><i>Organizational Capacity</i></p> <ul data-bbox="788 942 1624 1182" style="list-style-type: none"> <li data-bbox="788 942 1624 1007">• Establishing/strengthening partnership with CSOs, the media, and the private sector <li data-bbox="788 1007 1624 1042">• Leadership training <li data-bbox="788 1042 1624 1136">• Strong legal and policy framework, institutional arrangement to allow or strengthen civic engagement in the overall development process <li data-bbox="788 1136 1624 1182">• Human, financial, and technical resources

Participatory Local Development Planning in Quezon City*

The 1991 Local Government Code directs local governments to build meaningful participation of the citizenry in governance processes such as in local development planning and strengthen local development councils, both at the barangay and city level, and other special bodies

The partnership between the Center for Popular Empowerment (CPE), an NGO focused in advocating participatory urban governance and the promotion of political, economic, and socio-cultural rights of the marginalized sectors in urban areas, and the city government of Quezon City began with a training on “Sustainable And Rights-Based Approach To Barangay Development in Selected Barangays in Quezon City” wherein CPE trained relevant staff in the area or barangay development.

The following year until 2006, the CPE partnered with the Quezon City local government in the implementation of participatory development planning programs in four pilot barangays. The process called Barangay Development Planning through Participatory Learning and Action (BDP-PLA) is an approach which involves the community members in data gathering, problem analysis and prioritization of needs, formulation of community vision and mission, formulation of sectoral goals and objectives and preparation of the comprehensive 5-year development plan, annual investment plan and annual operational plan.

The process usually takes 5-7 days of tedious process of workshops and focus group discussions which involves 40-70 participants from the communities and around 15-30 facilitators and documenters who are provides their respective expertise on development planning.

This relies on the premise that with thorough planning and participation from the locals, the development plan of the government is representative of the ideals and needs of the people. CPE then provided training to various units and offices of the Quezon City government who later on became local community facilitators and documenters in conducting the program. The long-term objective of the process is in line with the Quezon City's Vision of Sustainable Barangays and Participative governance wherein the process of development planning emanates from the barangays.

***Adapted from overview of BDP-PLA in Quezon City, 2006**

by Edwin Chavez, Executive Director, Center for Popular Empowerment (CPE)

Naga City's "Empowerment Ordinance"

In 1996, the City Government of Naga in the Philippines enacted the "Empowerment Ordinance" which created opportunities for NGOs to participate in the local development process. This was intended to address the inadequate human and financial resources of the local government when the Local Government Code of 1991 was put in to place, devolving powers and authority to lower levels of the bureaucracy.

The ordinance spells out the norms of accreditation of NGOs and their rights and privileges. Accredited NGOs are deemed eligible for joint ventures with the city government to engage in various municipal tasks like infrastructure delivery, capacity-building and livelihood projects, and other activities that enhance the economic and social well-being of the people.

The ordinance institutionalizes all accredited NGOs under an autonomous People's Council (the Naga City People's Council or NCPC). Among the powers of the NCPC are:

- Vote and participate in the deliberation, conceptualization, implementation and evaluation of projects, activities, and programs of the city government;
- Propose legislation;
- Participate and vote at the committee level of the city legislature; and
- Act as people's representative in the exercise of their constitutional rights to information on matters of public concern and of access to official records and documents.

The ordinance mandates sectoral representation in the Sangguniang Panlungsod (city legislature) from each of the non-agricultural labor, women, and urban poor sectors of the city that shall be elected from among the members of the accredited NGOs and people's organizations in each sector.

With external capacity-building support, Naga City initiated a series of successful projects in partnership with civil society: The Naga City River Watershed Plan; The Naga City Solid Waste Management Plan; and the City Health Development Plan.

Source: UN Habitat (2001) The Consultative Group on Participatory Local Governance

IV. Key Challenges

1. Fear of Losing Power

One major obstacle in promoting a constructive civic engagement in government's affairs, particularly in participatory planning, is the government's fear of losing power. In 2004, three years after the decentralization law was enacted in Indonesia, a local government official named Qomaruddin from the city of Surakarta, (colloquially known as Solo) advised the Mayor to engage citizens and NGOs in the city's local planning process. This was after Qomaruddin visited the Philippines for a study tour on decentralization and participatory governance. However, his proposal was met with resistance from local government officials who were afraid of losing power and control (Widianningsih 2005). While such circumstance could also be true in other democratizing and decentralizing governments, the Indonesian case is one of the examples that illustrates the difficulty to persuade government officials that are "accustomed to having power over citizens" to share "power with citizens" (Malena 2009). The attitude of government officials in Surakarta is rooted in Java's conception of power as concrete, indivisible, homogenous, constant, and without inherent moral implications (Anderson 1990) – values that may go against civic engagement within a decentralized system of governance.

2. Lack of interest to take part in government affairs

In societies where democracy is well-established, citizens' lack of interest to take part in

government affairs is oftentimes viewed as citizen apathy, a manifestation of citizen disgust or disillusionment with the government (Clark 2009). However, in East Asia and the Pacific, this seemingly indifference of the citizens could not be reduced to just a single explanation. In some countries where democracy is still young, citizens are afraid of "speaking out or identifying with a cause that may lead to reprisals, loss of liberty, or possibly worse," (Clark 2009). To illustrate the implication and gravity of this point, one of ANSA-EAP's trainees from Cambodia said:

"In my context, the traditional authority is a mindset. Community people believe that authority is boss and boss is parent. The boss's word and the boss's manner are always good. Community people assume that boss have compulsory and authority to do many things as necessary without consultation with people. And community acknowledges themselves—powerless."

In other countries, this lack of interest to take part in government affairs is rooted in citizens' low consciousness and awareness about their roles and rights in promoting good governance. Taking the case of participatory local development planning in Quezon City, Philippines, there was a low turnout of citizens who initially participated in the first few days of the local planning at the village level. But as they realized the importance of their voices in formal public arena to resolving some of the most pressing public problems in their city, the number of citizens who participated grew tremendously over time.

3. The need for champions

Setting-up a participatory planning process is not just about having the confidence and the competencies to engage and speak out. Oftentimes, citizen groups would need champions sitting inside the government camp to advocate for citizens' interests. Champions inside the bureaucracy are very important to ensuring that participatory planning can promote "mutuality of interests." This point is best illustrated by a statement given by the Mayor of Naga City about the success of participatory policy and program planning in his city.

"We were never threatened primarily because our interests are basically the same, and we believe that the government's obligation is to the poor and underprivileged, while also taking into consideration other factors and parties involved" (Angeles in Cabo 2007).

Cabo (2007) further explained that a major factor to the passing of pro-poor policies and programs was "the presence of progressive minded officials who were willing to assist the urban poor."

Synthesis

- Why is participatory planning important in promoting social accountability?
- How can citizen/CSO participation make governments more accountable to the public?
- What are the factors that would strengthen citizens/CSOs capacity to influence the decision-making in development planning?

Readings

Department of Interior and Local Government (2008) Memorandum Circular No. 2008-156 Guide to Comprehensive Development Plan (CDP) Preparation for Local Government Unit in the Philippines

GTZ (2007) Joint Memorandum Circular JMC No. 001, Series of 2007 Harmonization of Local Planning, Investment Programming, Revenue Administration, Budgeting, and Expenditure Management

National Economic Development Authority and Asian Development Bank (2007) Volume 2: Provincial Development and Physical Framework Plan in Guidelines on Provincial/Local Planning and Expenditure Management

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Session 7

Participatory Budgeting

After finalizing which policies and development strategies are to be pursued, the next step is to draw up the budget that will guide the local government on how exactly it will finance the development strategies indicated in the development plan. Citizen engagement is particularly important in this phase as it offers an opportunity for citizens to influence the manner in which local government allocates its financial resources.

Learning Objectives

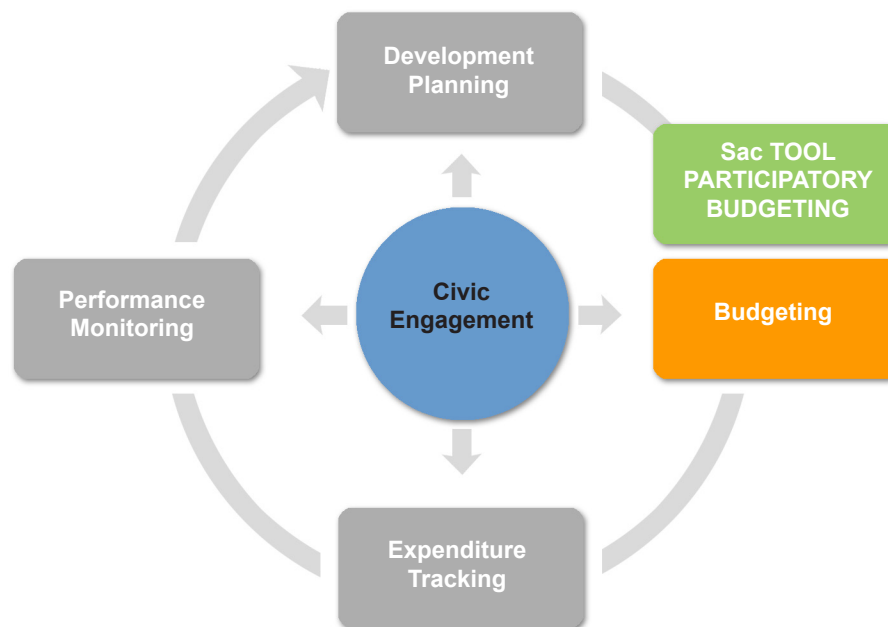
By the end of this session, the participants should be able to:

- Define participatory budgeting;

- Explain why civic engagement is important in budget formulation;
- Illustrate the participatory budgeting process and the entry points for civic engagement; and
- Identify the key challenges in its implementation.

Core Messages:

- Participatory budgeting refers to the mechanism and process through which citizens decide on or contribute to decisions made on the allocation of all or part of available public resources. Citizens participate directly or through organized groups in the different stages of the budget cycle



The Public Financial Management Cycle

namely, budget formulation, decision-making, and monitoring of budget execution.

- Participatory budgeting includes a range of approaches or social accountability mechanisms such as budget monitoring and analysis, alternative budgets, and citizen engagement in the budgeting process.
- Civic engagement in the budgeting process is important to: (1) increase efficiency in budget allocations; (2) improve accountability and management; (3) increase trust between citizens

and government; (3) reduce social exclusion and poverty; and (4) strengthen democratic practices.

- The participatory budgeting implementation process has four main entry points for a constructive civic engagement: (1) regional meetings; (2) participatory budgeting council meetings; (3) legislative council meetings; and (4) citizen's monitoring of procurement and budget execution.
- Some of the key challenges in carrying out a participatory budgeting process are: (1) low

appreciation of the role of citizens in promoting good governance; (2) raising false expectations; (3) skewed citizen representation; (4) civil society cooptation; (5) tension with elected representatives; (6) sustainability; and (7) heavy focus on the process and less on the results.

I. Definition of Participatory Budgeting



EXERCISE: 7.1 Simul Town on Page 205 of the Trainer's Guide.

Participatory budgeting can be broadly defined as a mechanism (or process) through which the population decides on or contributes to decisions made on the allocation of all or part of available public resources. Citizens participate directly or through organized groups in the different stages of the budget cycle, namely budget formulation, decision-making, and monitoring of budget execution.

Participatory budgeting has two main aspects with reference to social accountability:

- *Technical Aspects: Increased Effectiveness of Public Expenditure*

Ubiratán de Souza's, one of the main actors in creating the participatory budgeting process defines it as "a process of direct voluntary and universal democracy where the people can debate and decide on public budgets and policy. The citizen's participation is not limited to the act of voting to elect the executive or the legislators but also decides on spending priorities and controls the management of the government. He ceases to be an enabler of traditional politics and becomes a permanent protagonist of public administration. Participatory budgeting combines direct democracy with representative democracy—an achievement that should be preserved and valued."³

By engaging citizens in the budget formulation process, participatory budgeting can increase the effectiveness of public expenditure. Participatory budgeting also links policy and program planning to expenditure tracking.

- *Social Aspects: "School of Citizenship"*

Participatory budgeting can be considered a useful vehicle to promote civic engagement and social learning, and has therefore been referred to as a "School of Citizenship." Citizens can have the opportunity to gain firsthand knowledge of government budget and operations.

Dimensions of Participatory Budgeting

- **Participation.** There are two kinds of participation in the participatory budgeting

³ Genro, Tarso; De Souza, Ubiratan. Quand les habitants gèrent vraiment leur ville. Le Budget Participatif: l'expérience de Porto Alegre au Brésil. Dossier Pour un Débat N°82, Editions Charles Léopold Mayer, Paris, 1998, 103p. and Genro, Tarso; De Souza, Ubiratan. Presupuesto Participativo: la experiencia de Porto Alegre. CTA; EUDEBA, Buenos Aires, 1998, 123p.

process: direct and representative. Direct participation involves voluntary citizen engagement and does not require membership to an organization. Indirect participation, on the other hand, means representative participation through elected delegates and representatives of existing organizations.

- **Level of Inclusion.** Participatory budgeting should recognize the potential contribution of a wide array of stakeholders from the government and nongovernmental organizations to the private sector, the media, and the most vulnerable sectors of the population. A multi-stakeholder analysis (see page 77 in Session 6: Participatory Planning) is an indispensable tool in participatory budgeting to ensure that all relevant stakeholders will have the opportunity to give their inputs in drawing up the budget.
- **Financial.** It should be clear to both citizen groups and the government how much in government funds will be allocated through the participatory budgeting process. Moreover, transparency in the budget is determined by the kind and amount of information about the budget given to the citizens.
- **Legal.** This relates to the way in which participatory budgeting is formalized and to the level of autonomy given to local governments for dealing with their budgets. The degree of formalization of the participatory budgeting process that are regulated by a national law varies widely from the informal processes at the

local level that rest exclusively on the will of the local chief executives and the mobilization of local citizen groups.

- **Territorial.** This dimension refers to the degree of intra-municipal decentralization as well as the level of investment in physical priorities in participatory budgeting. In countries where decentralization is present down to the local level, participatory budgeting process can be organized following the same decentralized administrative divisions of a municipality. However, in countries where decentralization is not present, the participatory budgeting process can initiate the decentralization and division of municipality in territorial entities.
- **Cultural.** Cultural factors influence the degree of participation of the citizen in the budgeting process. For example, people in some cultures are prohibited to express dissent or criticism of authorities in public meetings. The youth may also be hindered by their culture to oppose the view of the elders. But these cultural barriers can be addressed by policies through affirmative action.

Guide Question



Which dimension/s of participatory budgeting would be difficult to achieve in your municipality or country, given its socio-economic, political, and cultural context? How do you plan to overcome such difficulties?

Guide Questions

Encourage the participants to share their opinion on participatory budgeting based on their experience as a government official or as member of a citizen group. Some probing questions:



- In your view, what are the strengths of participatory budgeting?
- If adopted in your community, what will be the limitations of participatory budgeting and possible impediments to its successful implementation?

II. Benefits of Participatory Budgeting

Participatory budgeting is an important instrument to facilitate active citizen participation in public decision-making processes. Civic engagement in the budgeting process can increase efficiency and transparency in budget allocation as well as in building trust between citizens and governments and strengthening democratic practices in the public space. Based on successful stories of participatory budgeting initiatives, it has a potential to:

- **Increase efficiency in budget allocations.** The government budget, especially in the developing countries, is deemed inefficient as it does not oftentimes reflect the demands of the citizens. Participatory budget addresses this inefficiency by bringing the demand side closer to budget planning. Through systematic documentation and participatory processes, the priorities of citizens are taken into account in the public budget. Linking the short-term budget planning to a long-

term community development plan also makes the budget allocation more efficient.

- **Improving accountability and management.** Participatory budgeting creates mechanisms for citizen groups and government to discuss together budget constraints and trade-offs and optimize the use of scarce public resources. This can also lead to improved accountability mechanisms i.e. budget decisions become more acceptable to citizens, making them easier to get approved by decision-makers.
- **Increasing trust between citizens and government.** Poor understanding of how and why tax is collected undermines compliance. By involving citizens in the budgeting process, participatory budgeting potentially helps increase people's understanding of and control over how taxes are collected and how public budgets are formulated and executed. This, in turn, helps to increase the legitimacy of the government and the trust citizens have in their authorities.
- **Reducing social exclusion and poverty.** Elite capture of government affairs and social exclusion are some of the consequences of ineffective traditional budget process. The social learning process embedded in participatory budgeting can be an effective instrument in understanding citizen rights and duties, and the government functions. Informing citizens about the bureaucratic process in general and local budgeting in particular can potentially defy traditional systems of patronage (see related discussions on page 96).
- Strengthening democratic practices. Participatory budgeting likewise educates the citizens on

their right to information, voice their opinions, vote for public priorities, and hold the policy and decision makers accountable for the allocation of the public budget. In public meetings and discussions, democratic practices are promoted.

III. Preconditions of Participatory Budgeting



Guide Question

What are the requisite conditions or circumstances necessary for effective implementation of participatory budgeting?

1. Political conditions: Political will and support

The support of the local government to participatory budgeting can be established early on with a clear definition of the role of stakeholders and of the government, as partners in strengthening the relationship of trust and cooperation. In instances where political will is weak, enabling policies can be put in place to enable and empower citizen groups to participate in the local budgeting process.

2. Fiscal conditions: Discretion over capital investment decisions

The local government has to have a certain degree of discretion over capital investment decisions. This answers the question of how

much of the capital investment decisions can the government dedicate to the citizens.

3. Legal conditions: Clear set of rules

Most local governments with participatory budgeting initiatives have not established any kind of legal framework to formalize the process at the local level. Instead, they want to maintain it as a flexible process that complements well with the conventional top-down approaches. Formalization of participatory budgeting may not be necessary if a strong political will exists and the information about the government budget are made available to citizens. In any case, however, it is important that the rules in participatory budgeting are established and are communicated clearly to various stakeholders.

4. Administrative conditions: Administrative and technical capacity

Participatory budgeting requires administrative and technical capacities that include providing budgetary information to the citizens, organizing preparatory workshops to inform all the stakeholders about the rules, and evaluating budget execution. In terms of skills, both government staff and citizen groups should improve their communication and negotiation skills. They should also acquire specialized knowledge on the technical aspects of budgeting.

5. Social conditions: Civic engagement and participation

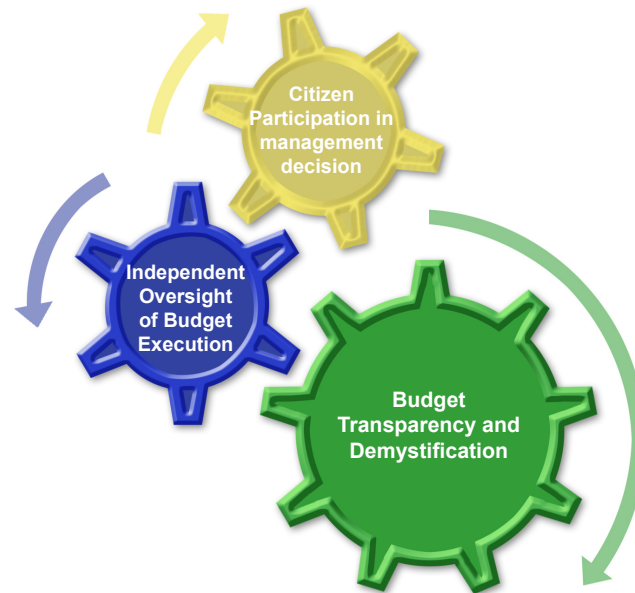


Fig. 9 Building Blocks of Participatory Budgeting

For participatory budgeting to work, citizen groups should also be willing to invest time, manpower, and in some cases, financial resources to sustain their participation in local budgeting process. Ideally, the citizens should be able to easily get to community meetings and have a short bus ride to regional meetings.

IV. Building Blocks of Participatory Budgeting

1. *Budget transparency and demystification*

The local government must be willing to make the budget transparent and demystify the process of budget allocation. Citizens must have the right to obtain and access information, which can be easily comprehended by everyone especially the poor and marginalized.

2. *Meaningful citizen participation in management decisions*



EXERCISE 7.2 Building Dominos on Page 205 of the Trainer's Guide.

Citizen participation should not be seen as a mere token for citizens to be heard or be informed. Rather, the quality of the participation that exacts accountability from government is the one that empowers citizens in return. It should allow citizens to communicate their needs and demands, to contribute to solutions, to negotiate the trade-offs, and to be involved in monitoring expenditures and development outcomes.

3. Independent oversight of budget execution

Citizen groups should have the capacity to carry out independent and participatory oversight functions of the budget execution process. This could happen through monitoring and evaluation committees that keep track of the budgeting process and project execution (see Session 9: Participatory Performance Monitoring). The results of such assessment must be communicated back to the community. If vested stakeholders do not monitor the budget execution process, there is a probability that the projects might end up being postponed or cancelled. This can put the legitimacy of the participatory budgeting process at risk. Moreover, governments should publish a document that clearly reports the budget allocations as well as a timetable indicating when the projects will be completed.

V. Participatory Budgeting Process

The Participatory Budgeting process is summarized in Figure 10 on the next page.



Guide Question

Who should be the key actors in a participatory budgeting process? What are their motivations for participating in the process? What are the capacity-building needs of these key actors that should be satisfied to ensure that they can fully support the PB process in your locality?

Budget Formulation Stage

Phase 1. Regional Meetings

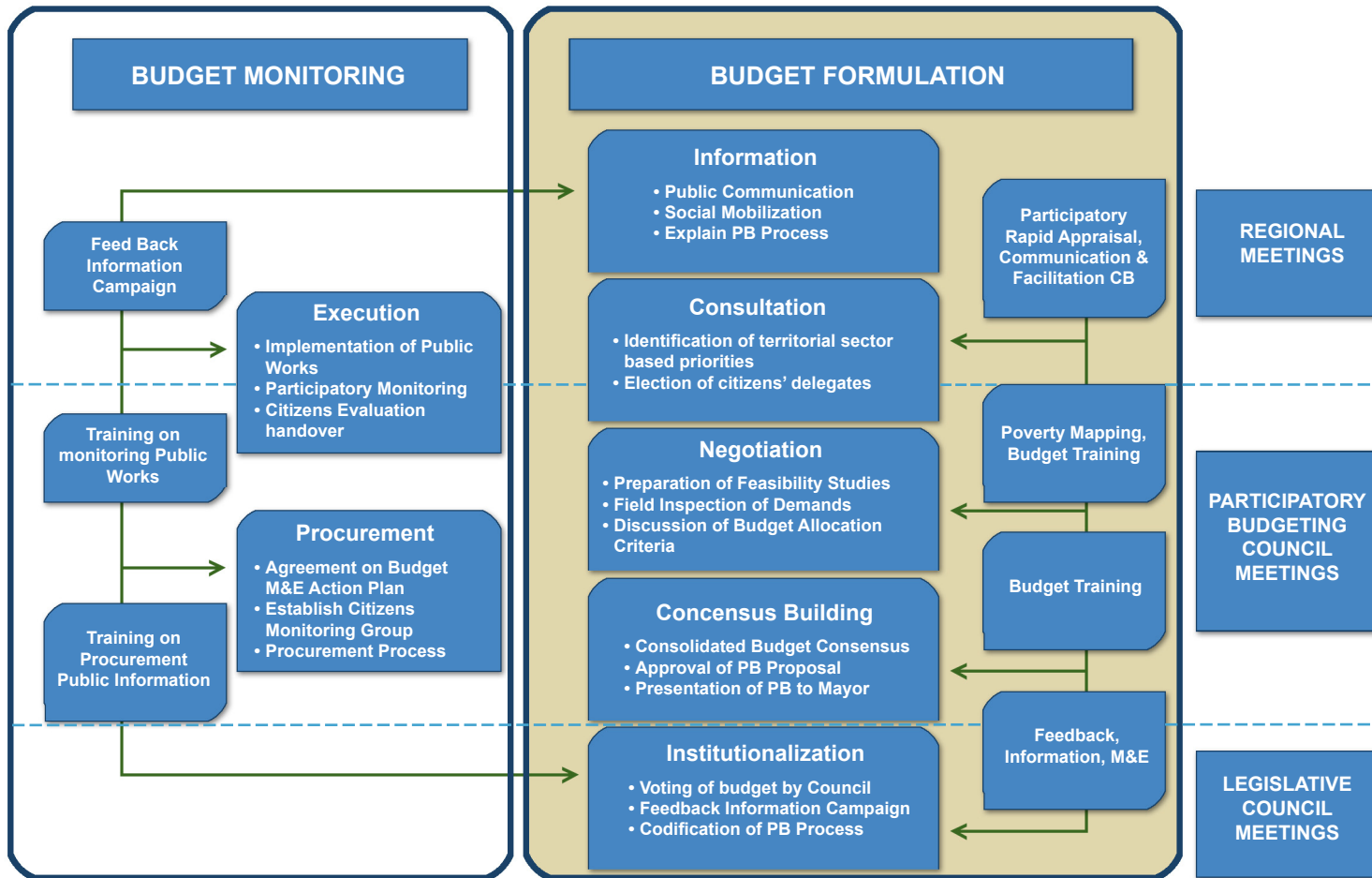
The participatory budgeting cycle begins with public hearings conducted by administrative territorial units. This stage involves the information dissemination, the initial discussion of policies, citizen priorities, revenue, estimation and establishment of the general resource allocation or budgeting criteria and methodology. At this stage, organizational and institutional structures to allow and encourage civic engagement are established.

Step 1. Information

The local government explains the participatory budgeting process as well as the current budget, revenue forecasts, and the budgetary priorities among the citizens, NGOs, and other stakeholders.

Step 2. Consultation

- A follow-up meeting is organized by the local government for the election of participatory budgeting council delegates and the identification of the needs and priorities of the citizens.



Source: WBI Core Learning Program on Social Accountability

Fig. 10. Participatory Budgeting Process

Members of community organizations meet independently to inform citizens about the participatory budgeting process, raise awareness, and mobilize participation around specific priorities.

- Problems and needs of specific areas are identified by the local government staff, civil group representatives, and community leaders. They also assess the feasibility of proposed strategies to be included in the budget.
- Local citizens are assisted by the local government staff in the process of identifying their demands that need to be prioritized.
- By the end of this step, the rules of participatory budgeting should be clearly stated and respective responsibilities already distributed.

Phase 2. Participatory Budgeting Council (PBC) Meetings

During the meetings of the elected PBC, the priorities identified in the regional meetings are discussed and the final budget proposal is prepared.

Step 3. Negotiation

- This is where the proposal is thoroughly analyzed by the stakeholders with adequate training on the technical procedures of budgeting and accounting. Participating citizens will be informed on how decisions are made in the local budgeting cycle and their implications to the socio-economic and political welfare of the municipality or community.

- Field visits through the participatory budgeting caravans can be conducted at this stage to better grasp the priorities and concerns that are raised by the citizens.
- Debates and discussions on the budget allocation are also conducted at this stage.

Step 4. Consensus-Building

- The PBC submits its deliberations in a form of investment plan which is part of the municipal budget.
- The municipal staff of various line agencies work with the PBC in preparing the technical plans and contracts.
- Participatory budget councilors then monitor and evaluate the implementation of the projects.

Phase 3. Legislative Council Meetings

A series of budget debates are carried out in the legislative council and after which, the final budget proposal is presented to the Municipal Mayor and Council for approval. This legislative process is heavily monitored by the participatory budgeting delegates to ensure that the final budget proposal includes the results of their deliberations. This stage formalizes the results of participatory budgeting process.

Step 5. Formalization

- Projects and policies to be implemented in the year are discussed and all that was planned in the PBC meetings are worked on.

- The budget where PBC's inputs were incorporated are then submitted to the legislative council.
- Members of the PBC and other stakeholders may attend the sessions of the legislative chambers and witness the budget debates. They can lobby with the councilors and heads of departments to support their investment plan.
- The legislative council then takes on a vote by majority and submits the approved budget to the Mayor.

Budget Monitoring Stage

Step 6. Procurement

- An agreement on budget monitoring and evaluation is developed upon the approval of the budget that will provide for the monitoring of the procurement process.
- In relation to this, a PB monitoring committee is created to look over the procurement and the budget execution process.

Step 7. Execution

- Public works and services are monitored and audited by the community.
- Local authorities hand out periodic budget performance reports to citizens that contain the state of project implementation and problems that were encountered.
- Aside from the reports, periodic site visits for inspection of projects can be conducted as well.



EXERCISE 7.3. Step? Yes or No on Page 205 of the Trainer's Guide.

VI. Key Challenges

Some of the key challenges encountered in implementing a participatory budgeting initiative are as follows:

- **Low appreciation of the role of citizens in promoting good governance.** In a number of cases, governments do not prioritize citizen engagement in local planning and budgeting processes because they do not see how the benefits will outweigh its costs. Government officials find it hard to see value in people's local knowledge, experiences, and opinion. And in cases where citizens demand for reform in governance, government officials regard citizens as uncooperative and fault-finder. But it is not only the government who does not see value in citizens' potentials, it is the citizens themselves who do not believe they have something worthwhile to contribute that can resolve problems in society.
- **Raising false expectations.** The government must be able to provide fiscal information or budget forecast on which projects are feasible, given the budget and time constraints. Citizens should also be aware that participatory budgeting, like any other development interventions, does not assure success. Their

implementation are still constrained by a number of social, political, economic, and cultural factors which often times are beyond the control of local governments.

- **Skewed citizen representation.** The participatory budgeting process is designed to have everyone represented, especially the marginalized groups, the middle class, the academe, and the private sector. However, multi-stakeholder participation becomes a challenge when the middle class has very little incentive to participate. The marginalized groups on the other hand, have low level of consciousness about their roles to promoting good governance. Hence, there is still a danger that citizens represented in formal development processes are local elite who are able to protect their interests through patronage politics. Poor women, ethnic groups, and those belonging to lower classes may find it difficult to hold constructive negotiation and engagement during the participatory budgeting process if they lack the necessary capacities.
- **Civil society cooptation.** Cooptation happens when the autonomy of citizen groups is undermined as they are being manipulated by the government to push for and legitimize their interests and political agenda. Drawing from a rights-based approach, citizen cooptation happens when citizens are not aware of their basic rights and when they do not have the capacity to exert and protect those rights.

- **Tension with elected representatives.** Elected representatives, when misinformed, may create tensions due to their fear of losing their representative power. As the budget arrives in the Municipal Council with a substantial degree of popular legitimacy, some legislators may fear that their role in the budgeting process will become a mere formality. This can lead to lack of political commitment; thus, decreasing the funds that can be allocated to issues and concerns that citizens are deeply concerned about.
- **Sustainability.** There are several factors that may affect the sustainability of the participatory budgeting process. For example, when the demands of the participants have already been met, they may choose not to participate in future activities. Election periods also undermine the sustainability of the process, as politics creeps into the participatory budgeting discussion. For example, opposition parties are less keen to mobilize their constituencies and support the participatory budgeting process. Changes in political administration may result in lack of continuity of the process, particularly when participatory budgeting has not been legally formalized.
- **Heavy focus on the processes and less on the results.** In the participatory budgeting process, participation is the means by which the gap between the government's budget allocation and citizens' demands is bridged,

thereby improving the lives of the people in the end. However, losing sight of the end result and focusing only on the participation process, will ultimately undermine the purpose of the whole process. Therefore, participatory budgeting should be results-oriented. Monitoring and evaluation of development outcomes should ideally be factored in to the participatory budgeting process to determine if citizen participation lead to better development results.



Guide Question

After the discussion on the key challenges on participatory budgeting, the participants can suggest possible solutions to cope with the challenges stated.

What solutions or mitigating steps should be taken to overcome each of the challenges? Give examples.

Case Study: Participatory Budget Analysis in Cambodia

The NGO Forum in Cambodia is a network of local and international nongovernment organizations grounded in their experience of humanitarian and development assistance to Cambodia. In 2007, the NGO Forum analysed the budget allocation and expenditure of the Royal Government of Cambodia and found that the Ministry of Rural Development and Ministry of Agriculture, Forestry, and Fisheries spent US\$23 million less than the budget set for that year. They also concluded that the Government's Budget Plan for 2008 did not prioritize measures that will reduce poverty in the fastest possible manner such as agriculture, rural development, justice, women's affairs, land management, urban planning, and construction. The NGO Forum's analyses of the government's budget were widely disseminated through NGO networks, popularized communication materials, and the media.

Source: WBI Core Learning Program on Social Accountability

Case Study: Musrenbang as a Key Driver in Effective Participatory Planning and Budgeting in Indonesia

What is Musrenbang?

Since Indonesia decentralized its system of governance in 1999, the principal instrument introduced by the Government for public consultation is the Musrenbang (Musyawarah Rencana Pembangunan) or Multi Stakeholder Consultation Forum for Development Planning.

Musrenbang is a process for negotiating, reconciling and harmonizing differences between government and nongovernmental stakeholders and reaching collective consensus on development priorities and budgets.

Which levels of governance does Musrenbang operate?

At the community level, Musrenbang is useful to reach agreement on program priorities of the local government departments (Satuan Kerja Perangkat Daerah—SKPD) to be funded from the local annual budget (Anggaran Pendapatan dan Belanja Daerah—APBD) and village allocation funds.

At the sub district level, the role and function of Musrenbang is to reach consensus and agreement on the priority of program and activity by SKPD to be discussed at the SKPD Forum.

At the district level, the function of the Musrenbang is to reach consensus and agreement on the draft final Annual Local Government Work Plan and Budget (Rencana Kerja Pemerintah Daerah-- RKPD).

What are the enabling policies to support Musrenbang?

The Government of Indonesia has passed legislations to encourage citizen participation in the formal planning and budgeting process. These include the following:

- Law No. 32/2004 on Regional Governance
- Law No. 25/2004 on National Development Planning
- Joint Ministerial Decree 2006 on Musrenbang
- Joint Ministerial Decree 2007

Other regulations related to performance-based budgeting to improve community monitoring and accountability in public financial management are as follows:

- Law No. 17/2003 on State Finances, Government Regulation No. 58/2005 on Regional Government Financial Management and its implementing directive;

- The Home Ministry Regulation (SEB) No. 13/2006 on the Guidelines for Local Financial Management;
- Government Regulation No. 65/2005 on the Guidelines for the Planning and Implementation of Minimum Service Standards;
- Government Regulation No. 72/2005 on Villages
- The Home Ministry 2005 Guidelines for the Implementation of Village Allocation Funds (ADD)

What are the problems encountered in implementing Musrenbang?

1. Uneven commitment from regional leadership

Participatory development cannot be introduced successfully without the strong political support of local government leaders. This limited acceptance is partly caused by a narrow understanding of the role and need for citizen participation; the long-term benefits of good governance leading to sustainable development; and a general failure to distinguish between political and citizen participation.

2. Limited legislative oversight of budget preparation and disbursement

While DPRDs are now actively involved in the budgeting process, they frequently fail to consult the citizens in public forums to define community needs, or to prepare information and analyses for budget debates. This leads to a lack of credible oversight at all stages of budgeting.

3. Little real influence of Musrenbang process on resource allocations

Among the factors limiting the effectiveness of Musrenbang forums to influence budget resource allocations are the poor quality and limited transparency of information provided by regional governments to participants; the low quality of research to create reliable policies; and a lack of meaningful involvement of stakeholders in budget preparation and implementation. These processes remain dominated by regional leaders and DPRDs. There is also a strong political party influence on resource allocations.

4. Limited capacity of citizen groups to understand the planning process and to push for greater transparency and change.

Citizen groups have fallen short of scrutinizing the development planning and budgeting processes and how to advocate, research, and analyse information due to their limited knowledge about the complex nature of budget preparation. Moreover, the needs of women and the poor are often not taken into account in budgeting because women are not represented in regional executives or legislatures. Moreover, the citizens themselves are not confident enough with Musrenbang, viewing it as an opportunity for the elites to push for their self-serving agenda.

5. Magnitude and complexity of issues in local planning and budgeting

A variety of complex societal issues are involved in budget prioritization. Among the myriad development challenges facing local governments in Indonesia are as follows:

- Improving the quality of education and health services;
- Fighting poverty and malnutrition;
- Addressing child welfare and safety;
- Strengthening the role of women in development;
- Eradicating corruption, collusion and nepotism;
- Improving security, order and safety;
- Revitalizing the agricultural sector;
- Local economic development; and
- Stopping environmental degradation.

Improving the quality and effectiveness of local public services in the above areas requires not only inputs from the community, but also technical understanding and analysis of the issues, recourse to good practice about what has worked—and not worked—in other jurisdictions, costing of trade-offs between providing one set of policies and public goods versus another, and phasing these over time. Balancing between priorities of one jurisdiction and another is another consideration, as well as between local and provincial priorities and timeframes.

Source: USAID and Local Governance Support Program. Year Unknown. Musrenbang as a Key Driver in Effective Participatory Budgeting.

Synthesis

- Why is civic engagement important in local budgeting?
- Which dimension/s of PB would be difficult to achieve in your municipality or country, given its socio-economic, political, and cultural context? How do you plan to overcome such difficulties?
- Who are the key actors in a participatory budgeting process?
- What are the enabling policies that would allow civil society to participate in the budgeting process?

Readings

Public Affairs Center Develops Citizen Report Cards in Bangalore, India. Our Money, Our Responsibility: A Citizens' Guide to Monitoring Government Expenditures

UNIFEM. 2006. Budgeting for Women's Rights: Monitoring Government Budgets for Compliance with CEDAW.

http://www.genderbudgets.org/index.php?option=com_joomdoc&task=doc_details&gid=143&temid=587

USAID and Local Governance Support Program. Year Unknown. Musrenbang as a Key Driver in Effective Participatory Budgeting.

References

World Bank Institute's Core Learning Program on Social Accountability

Session 8

Participatory Expenditure Tracking

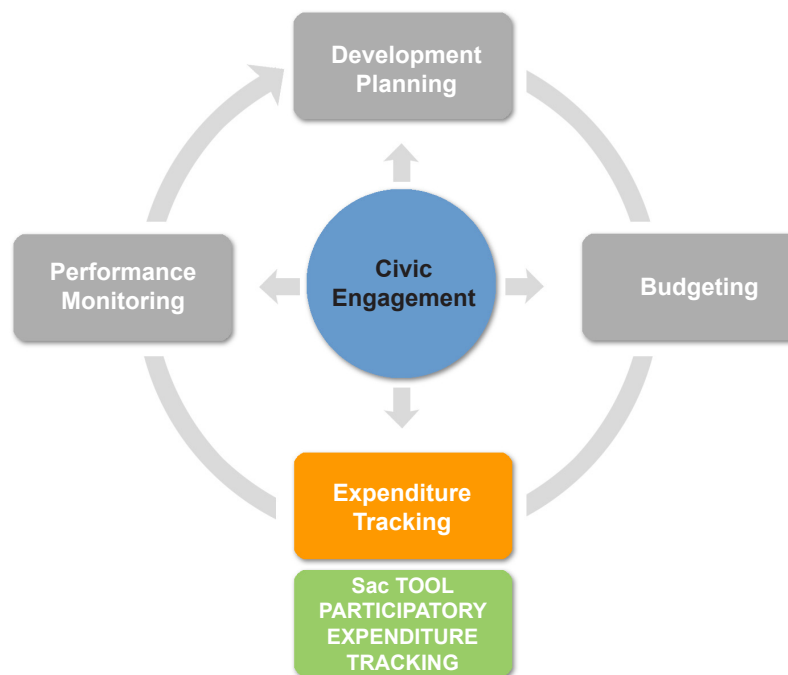
Learning Objectives

By the end of this session, the participants should be able to:

- Define participatory expenditure tracking;
- Explain why civic engagement is important in expenditure tracking; and
- Illustrate the participatory expenditure tracking process and the entry points for civic engagement; and
- Identify the key challenges in its implementation.

Core Messages

- More transparent budget transfers can help minimize discretion over budget spending and maximize predictability. Participatory expenditure tracking can help reduce leakages in the budget significantly and address the weak link between public spending and development outcomes.
- The Public Expenditure Tracking Survey (PETS) is a tool developed by World Bank to track flows of funds and materials from the central government to local service providers, via regional and local governments, in order to determine how much of the originally allocated resources reach each level, particularly in frontline service providers. ●



The Public Finance Management Cycle

- Participatory expenditure tracking covers a range of approaches and tools. This trainer’s manual will focus only on two most commonly used approaches on expenditure tracking: the Participatory Expenditure Tracking Survey (PETS) and Procurement Monitoring (next session, Special Topic).
- The PETS process is composed of the following phases: (1) preparing for the study; (2) identifying research questions and hypotheses; (3) mapping of resource flows; (4) designing the questionnaires; (5) sampling; (6) fieldwork; (7) encoding the data; (8) data analysis; and (9) dissemination of results.
- Some of the key challenges in carrying out participatory expenditure tracking are as follows: (1) lack of political dialogue to agree on the objectives and build ownership; (2) highly complex system of financial transfers; (3) lack of data from service units; (4) poor bookkeeping and inconsistencies in coding data; (5) lack of skills required to design and undertake the survey; (6) high cost; and (7) lack of political support from the government to adopt the recommendations.



EXERCISE 8.1 Where did my money go? on Page 206 of the Trainer's Guide.

I. Budget, Expenditure, Services

Every year, the government allocates its revenue for expenditure; a draft of which is prepared by the executive branch and approved by the legislative branch. However, budget allocations are misleading when used as indicators of the delivery of goods and services to the people (Dehn et al., 2003). Governments may spend on wrong goods and services and even if they have spent on the right goods and services, the money may not reach frontline service providers and may benefit only a few. Moreover, even when the money reaches the frontline service providers (e.g. primary schools or public health clinics), the incentives for them to perform their roles well may be weak due to low compensation and lack of monitoring, among others.

In order to understand how expenditure tracking is conducted, one must first review the budget execution process. This process will show what steps should be taken for a legitimate expenditure of public funds. In tracking public expenditures, it is useful to understand the bureaucratic process involved and check whether the process is being followed.

Five Steps of the Budget Execution Process

Figure 11 illustrates the five steps of the budget execution process.



Fig. 11. Budget Execution Process

Step 1. Release of funds to various line ministries (departments/agencies) based on the approved or authorized budget by the legislature

The implementation of the budget begins when the national treasury releases funds to departments, ministries, or agencies. This generally occurs once the legislature has passed the budget into law.

Step 2. Initiation of expenditures by line ministries (departments/agencies), may involve procurement of goods and services.

After funding is released, selected offices propose specific expenditures and once a proposal has been approved, the ministry or department signs a contract or places an order for goods and services needed.

Step 3. Payment of expenditures

The accounts department of the ministry pay for expenditures by check or bank transfer.

Step 4. Recording of expenditure transactions in auditing books

Through the use of cash accounting systems, all expenditures are recorded once payment has been made, immediately following the issuance of the payment order.

Step 5. Preparation of accounting and auditing reports throughout the year

During the course of the fiscal year, accounting officers record all the outstanding revenue and expenditure transactions effected within the year. By the end of the year, accounting officers prepare the final accounts of the financial operations.

Guide Question



In the budget execution process, which part of the process do you think is mostly taken for granted/skipped or completely ignored? Give some concrete examples.

Which of the issues in budget performance do you think is the most difficult to overcome and why?

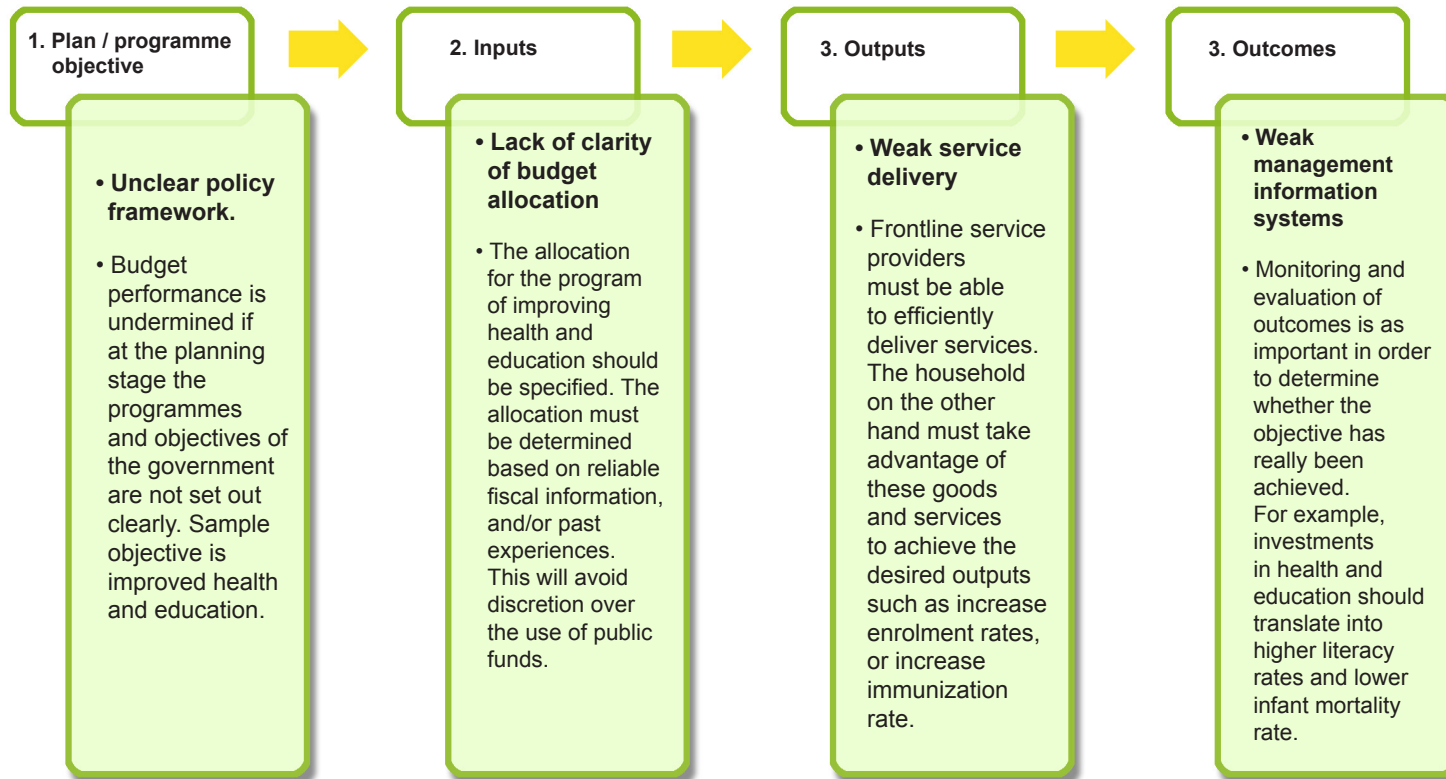
II. Expenditure Tracking

What is Public Expenditure Tracking?

Public expenditure tracking follows the flow of resources through several layers of government bureaucracy, down to the frontline service providers, to determine how much of the originally allocated resources reach each level (Dehn et al. 2003).

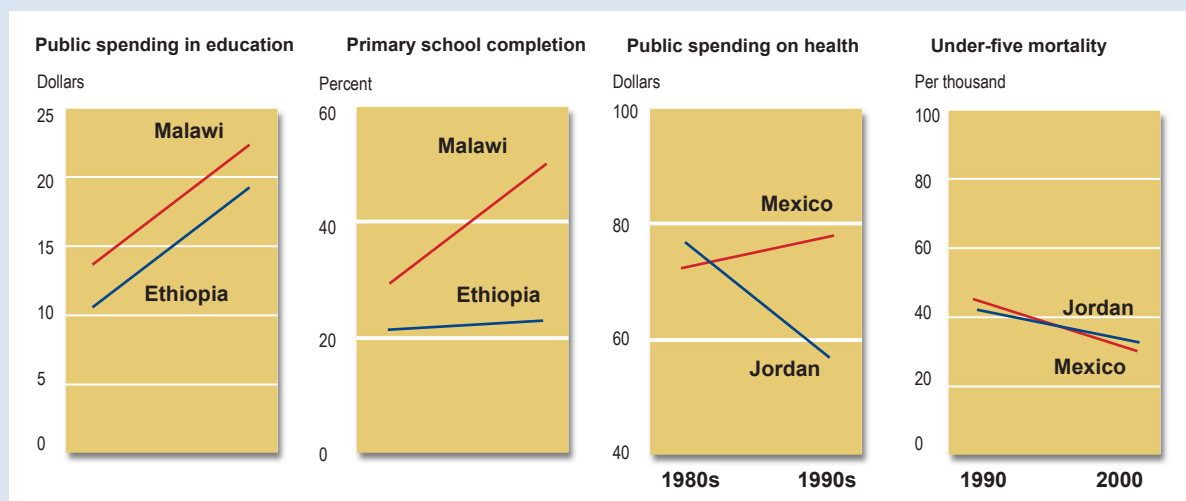
Bureaucratic capture, leakage of funds, and problems in the deployment of other resources such as human and in-kind resources are easily determined with the help of public expenditure tracking tool.

Issues in Budget Performance



Weak Link in Malawi and Ethiopia

Similar changes in public spending resulting in vastly different outcomes and different changes in spending resulting in similar outcomes.



Based on the World Development Report 2004, expenditures on primary education and public health of many countries result to vastly different outcomes. Ethiopia and Malawi, for example, both had spent increasing amount to primary education. Yet Ethiopia's completion of primary education did not improve as much as Malawi's did. On the other hand, while Mexico spent increasing amount to public health and Jordan spent decreasing amount, both countries had achieved significant reduction in their mortality rates for children under the age of five. These examples show the weak link between public spending and outcomes.

Source: WBI Core Learning Program in Social Accountability

Case Study: Public Expenditure Tracking In Uganda

In mid-1990s, the World Bank noticed that although the budgetary allocation of the Ugandan government to primary schools increased over the years, there was no significant increase in enrolment in these schools. Alleged leakages or diversion of funds were the causes of decreased funding to reach primary schools.

In light of these, World Bank conducted the first public expenditure tracking survey. The findings confirmed that between 1991 and 1995, only 13 percent of the annual per student budget reached primary schools. The rest was either misappropriated or used for purposes which did not benefit the primary schools and its students. Moreover, half of the schools did not receive funds at all.

Due to these findings, authorities undertook measures to enhance transparency and accountability. The government also began publicizing all fund transfers to districts and required schools and district offices to post information on the fund transfers they received.

When the school survey was repeated in 1999, it was found that primary schools received more than 90 percent of the funding designated for them compared to the 13 percent they were receiving before.

Source: WBI Core Learning Program on Social Accountability

III. Public Expenditure Tracking Survey (PETS)

The idea of PETS is to “track flows of funds and materials from the central government to local service providers, via regional and local governments, in order to determine how much of the originally allocated resources reach each level, in particular frontline service providers,” (WBI 2008).

Some of the salient characteristics of PETS are:

- collection of factual data as opposed to perception
- surveys which collect subjective data;

- collection of data from different levels of governments; and
- collection of records and interviews with frontline service providers such as head teachers, health care providers, water supply centers and public works construction supervisors.

Objectives of PETS

Specifically, PETS aims to:

1. Determine when and how much of the originally allocated resources reaches each level in the

absence of functioning accounting, monitoring, and reporting systems;

2. Identify the factors explaining major differences in performance between various types of facilities; and
3. Pinpoint the causes of the problems identified in public service provision and to propose solutions to remedy these deficiencies.

PETS may vary depending on the sector being examined, types of expenditure tracked, perceived problems on financial flows, number of administrative levels studied, and scope of the tracking exercise. The administration of PETS and its analysis are conducted by independent researchers to ensure that results are credible.

IV. Step-by-step process on how to implement PETS

Figure 12 on the next page summarizes the steps in implementing PETS.

1. Prepare for the study through consultations

The objectives of PETS must be agreed upon by stakeholders in a participatory manner. Stakeholder consultations, for instance, allow key stakeholders to contribute useful inputs and express what they hope to find out. Aside from consultations, data assessment from frontline service providers is also conducted to know whether sufficient data exist to conduct PETS.

2. Identify research questions and hypothesis

This step is comprised of two parts. The first part is problem identification and the second part

is formulation of hypotheses. In the first part, issues and problems in public service delivery are framed in a form of research question. The second part, on the other hand, is about providing possible answers for each question. For example, a question like “Why does illiteracy rate remains high despite increased spending in education?” A possible answer is that funds do not reach public elementary schools in villages.

3. Map resource flows

Mapping of resource flows begins with the identification of the sources of funds. It is also important to understand how resources flow to various levels of the government. The mapping of resource flow should help identify the decision points where resource allocations and deployments are made. It should also provide better understanding of the allocation rules, administrative processes, and recording/ accounting procedures used for the different types of flows.

4. Design the questionnaires

Questionnaires are provided for each level of the government (central, local and delivery units). Data on facility characteristics, inputs, outputs, quality, financing, accountability mechanisms and other details should be taken into consideration in the design of the questionnaires. These questionnaires should also be field-tested first before conducting the survey.

5. Do the sampling

Data should be collected from facilities that are large enough to draw reliable conclusions.

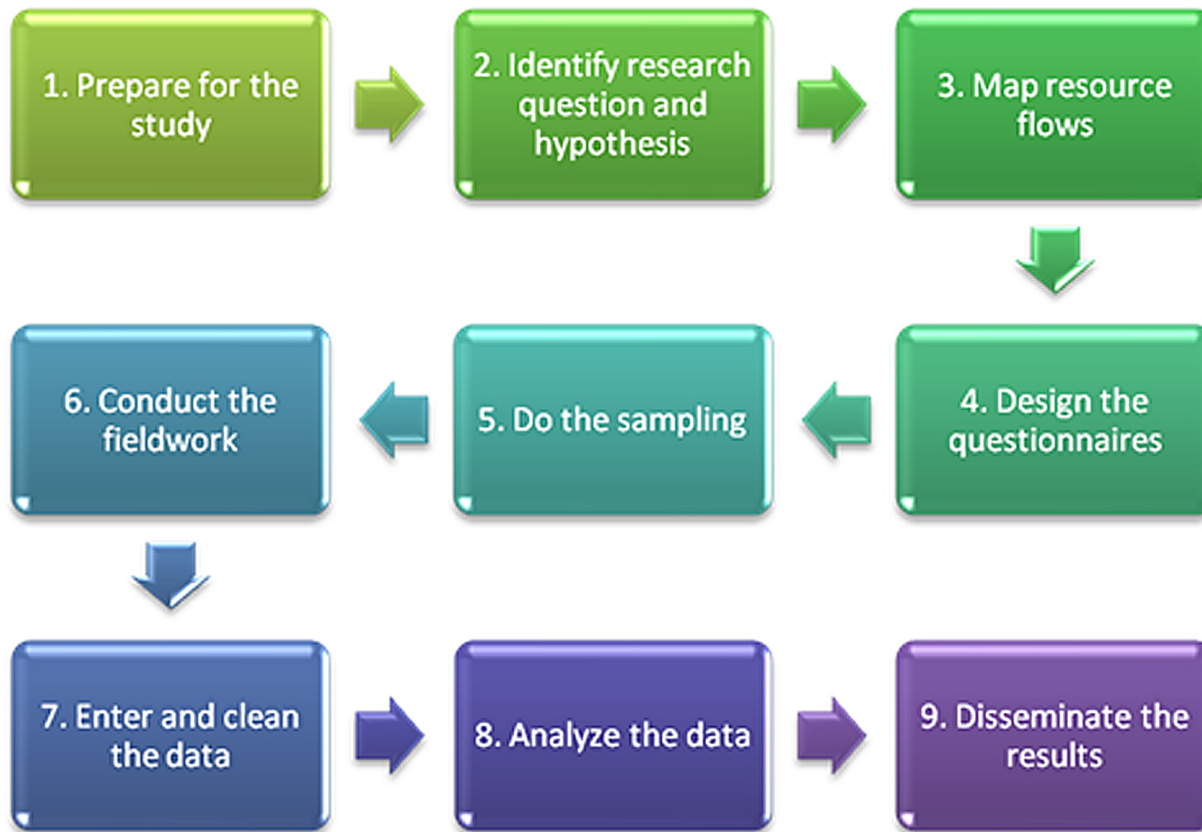


Fig. 12. Step-by-step process on how to implement PETS

Moreover, the desired target population should be clearly defined. One option is to do a stratified random sampling of all facilities in the country.

6. Conduct the fieldwork

Before going to the fieldwork, time, staff, and financial requirements must be considered. The results of the questionnaires' field test should also be reviewed. Lastly, enumerators must be trained and interviewer's manual be provided.

7. Enter and clean the data

In entering and cleaning the data, it is useful to have a data management specialist right from the beginning to ensure consistency in coding the data. It is also practical to pre-code all variables directly on the questionnaires to reduce time required for data cleaning after the survey. Consider also return visits in case of errors and inconsistencies.

8. Analyze the data

In this stage, government agencies are contacted to align the analysis with the government's priorities and foster ownership. More importantly, at the end of the data analysis, questions must be answered by measuring and locating leakage, identifying variations between delivery service units, and establishing a link between other sources of data (e.g. household data on consumption).

9. Disseminate results

As soon as possible, a summary report must be disseminated which contains the main findings and policy recommendations. The full report will be produced later on and shall contain the findings of the survey, detailed analysis of causes and effects, and final policy recommendations.



EXERCISE 8.2 PETS STEPS Treasure Hunt on Page 206 of the Trainer's Guide.

Case Study: CSCQBE in Malawi

The Civil Society Coalition for Quality Basic Education (CSCQBE), created in 2000, consists of 67 citizen groups in Malawi, including nongovernmental organizations, community-based organizations, teachers' unions, religious-based organizations and district network. CSCQBE has made a long-term commitment to monitor Malawi's progress toward achievement of the goal of "Education for All."

For example in 1999, the Ministry of Education was reported to have lost 187 million Malawian Kwacha (approximately US \$ 1.3 million) of funds intended for school construction to corruption. This led to the close monitoring by citizen groups of the government expenditure, to help prevent corruption and persuade the government to properly manage public funds.

CSCQBE focused its attention on the education sector, monitoring the decentralized system of disbursing funds from the Malawi national government. CSCQBE expenditure tracking surveys provide independent data on the use of funds for education, thus equipping civil society organizations with an empirical tool that urges the government to effectively spend on education. To accomplish this, it has also set up 13 district networks that support budget monitoring by school-based or community-based groups such as the school board or a parent-teacher association. The CSCQBE, in turn, provides technical assistance to strengthen the organizations' capacity.

CSCQBE achieved significant success. In 2003, they discovered that a number of teachers receive their salaries late. The government also undertook their own expenditure tracking surveys and involved citizen groups in planning and monitoring. Citizen groups have also pressured the government to allocate budget for children with special needs.

Source: Ramkumar, Vivek. 2008. Our Money, Our Responsibility. A Citizen's Guide to Monitoring Government Expenditure.

V. Key challenges in implementing PETS

Table 10 summarizes the salient challenges that can be encountered in each aspect of the PETS' implementation.



EXERCISE 8.3 Group Discussion on Public Expenditure Tracking Survey on Page 207 in the Trainer's Guide.

Table 10. Key Challenges in PETS' Implementation.

Aspect of PETS	Challenge
Design	The design of PETS is challenged by the lack of political dialogue to agree on the objectives and build ownership. In addition to that, the complex system of financial transfers makes it more difficult to design a survey that is exhaustive enough. Lastly, the lack of data from service units also undermines the quality of the survey design.
Implementation	Poor book-keeping and inconsistencies in coding data proved to be a challenge to PETS. The lack of required skills to undertake the survey and the high costs involved also undermine the quality of data that will be gathered in the survey.
Impact	The lack of political support from the government to adopt the recommendations could be a serious impediment to achieving the development goals of PETS. The impact of PETS is also put at risk by poor dissemination of results.

Source: WBI Core Learning Program on Social Accountability

Citizen's Audit of Public Works Projects in Abra, Philippines

An article in the local newspaper sparked action from the Concerned Citizens of Abra for Good Government (CCAGG), a non-partisan group of individuals committed to monitor public spending. The news article was based on a government report titled "20 Successful Infrastructure Projects in the Region." To the uninformed reader, this would seem like a piece of good news. The CCAGG members, however, knew some of the projects had not even started yet. Since 1987, the group began to actively mobilize community participation and the local media in monitoring government development programs. CCAGG received training from the central planning agency, the National Economic Development Authority, as part of a national policy to increase community participation in development programs. Their exposure to infrastructure projects increased their knowledge of government contracting and project management.

In Abra, a province located in northern Philippines, most major bridges are either damaged or unfinished. The Abra River cuts through most of the province's rugged terrain, making travel rough especially during the rainy season. A motorized ferry service runs all day, even as late as midnight in some parts of the province. "The ferries are a constant reminder that the bridges are sorely needed in Abra," noted one investigative reporter. Pura Sumangil, CCAGG head, confirmed the dire situation and said that "In the interiors, children have drowned because of the absence even of hanging bridges." So, a report that makes false claims about successful projects in a province where much public money has been poured in but with few tangible results can quickly trigger public outrage. And it did.

In 1987, the CCAGG mounted their first investigation on the alleged 'successful' projects of the Department of Public Works and Highways (DPWH). The CCAGG collected all the necessary evidence – detailed documentation of the actual state of the projects, signed affidavits from residents of project areas, and photographs of the project sites. The group's field visits were met with hostile reception. Some members received anonymous threats and refused bribes. Politicians intervened but CCAGG members persisted and were not intimidated. They had support from various citizen groups, including the clergy of Abra and the business sector. The CCAGG investigation exposed the discrepancies and anomalies in the DPWH report. They uncovered 'ghost' projects and unfinished bridges that have run out of funds. The group filed an administrative case against 11 public works engineers, including the district engineer.

An official government audit concurred with CCAGG's findings and several officials were charged with corruption. The lawyers of the government officials requested for leniency, and instead asked for official reprimands as form of punishment. CCAGG members were outraged. They mobilized public opinion and citizens sent a barrage of angry telegrams to the Public Works Secretary and demanded more severe punishment for the convicted officials. The citizens' plea was heard and the Public Works Secretary conceded. As a result, 11 government officials were found guilty and were suspended from office. The Chief and the Deputy Chief Engineer of DPWH in Abra were also suspended and permanently debarred from serving in the province. After this first CCAGG audit, the DPWH Regional Director issued a directive requiring that projects in Abra province be funded only after they had obtained clearances from CCAGG.

CCAGG has developed its own brand of monitoring government projects. Its members, comprising mainly of housewives, students, and out-of-school youth – observe road construction projects and report their findings to colleagues who are engineers and accountants. These are the specialists who conduct detailed investigations on project sites and are equipped with monitoring kits –record books, measuring tapes, cameras, and voice recorders. The group uses government technical reference guides and official documents (approved plans, specifications, budgets, and work programs) as benchmarks for determining gaps in the implementation of infrastructure projects. They watch for evidence of corruption or poor performance, use of sub-standard materials in road construction projects or fraud in contracting procedures. If the audit identifies problems with the project, a detailed report is submitted to the relevant government officials along with specific demands for corrective action. In one project, CCAGG found evidence of substandard materials used and improper road preparation. In another project, CCAGG found overbilling for construction materials. In both cases, the problems were rectified at the contractors' expense.

The media plays a crucial role in disseminating the results of CCAGG investigations and in influencing public opinion. Although CCAGG's exemplary work has gained national attention, the group mainly engages the local media. It has a weekly primetime Sunday radio program called Allangungan, which means "Echoes". Once CCAGG receives the list of projects in Abra, they go on the air to broadcast the information and disseminate details of the projects, its costs, the implementing agency, and key targets. The program is replayed each Wednesday giving it double exposure for increased viewership. The coverage area is wide, reaching four other provinces.

CCAGG has forged partnerships with public agencies and other organizations in strengthening accountability. In 2000, the group became the NGO partner in the participatory audit pilot of the Commission on Audit (COA) and the UNDP. Despite the successful pilot, however, the new COA administration declared other priorities and discontinued participatory audits. Through DPWH appointment, CCAGG members participate as observers in the Prebid and Awards Committee to help monitor transparency in the bidding process. Across the NGO community, CCAGG joined the Transparency and Accountability Network to broaden its links with other national partners. In 2003, the Northern Luzon Coalition for Good Governance, a network of parish-based social action groups, was established with CCAGG at the helm. CCAGG has been successfully replicated in other provinces, covering 15 out of 79 provinces. While CCAGG has gained widespread public attention, it recognizes the importance of strategic partnerships with broad-based networks to amplify citizen voice and influence policy dialogue and debate at the national level.

Source: WBI Core Learning Program on Social Accountability. Adapted from International Budget Project (2007), Transparency International (2005), Public Affairs Foundation, Sirker, Cosic (2007), Rimban, PCIJ (2000)

PETS in the Primary Education Sector of Cambodia

The weaknesses in Cambodia's public expenditure management system have resulted in costly inefficiencies in improving social development outcomes. As a response, the Royal Government of Cambodia (RGC) initiated implementation of the Priority Action Program (PAP) in 2000. PAP was intended to promote timely delivery of resources to frontline service delivery units in the priority sectors such as education.

PETS was done to assess the primary education Priority Action Program (PAP 2.1) through a survey conducted for two hundred schools in seven provinces. The PETS tried to answer the question: Do public funds reach primary schools?

Results and Recommendations

PETS Results	Recommendations
<p>PAP 2.1 funds do tend to reach schools, mainly due to the program budget structure and the formula based on the allocation method, subject to data caveats.</p>	<p>Further develop the program budget model especially with regard to the deconcentration of authority to line ministries by piloting the new arrangements in selected line ministries in 2006.</p>
<p>Control and monitoring mechanisms for PAP 2.1 need to be improved if leakage is to be prevented and implementation is to be improved.</p>	<p>Improve budget reporting by instituting a quarterly in-year expenditure reporting system for priority ministries for PAP transfers and ensure that these are included in the accounts compiled by the National Treasury and regular fiscal reports</p> <p>Strengthen financial reporting requirements, including the incentives for compliance, by improving internal audit capacity and utilization of information technology by developing an integrated financial management system (IFMIS) and developing and enforcing sanctions for malfeasance.</p>

PETS Results	Recommendations
<p>Weak control and monitoring systems, and in particular the failure of the accountability relationship between school management and parents, can potentially lead to serious fund misuse</p>	<p>Use the PETS results to develop a “power of information” strategy for engaging with parents, through SSCs and otherwise, on a pilot basis for selected schools.</p>
<p>Delayed and unpredictable disbursements appear to have a highly deleterious impact on schools’ operational efficiency.</p>	<p>Formalize the arrangement that PAP resources from PEOs should be disbursed on a priority basis to programs where timing of purchases is critical.</p>
<p></p>	<p>Leave more discretion to schools for deciding how to spend PAP 2.1, once control is improved.</p>
<p>PAP and Chapter 11 are equally subject to the budget execution problems caused by difficulties with cash management.</p>	<p>Phase out the carry over provision for PAP as of end-2005 in order to allow for a new start and phase out the special PAP disbursement mechanism as of end-2006, or when there are satisfactory improvements in overall budget execution.</p>
<p></p>	<p>Develop and implement new budget transaction processes, from release to commitment to payment, in order to streamline transactions by reducing delay and opportunities for gate-keeping.</p>
<p>The education PETS study has proven to be a useful instrument for assessing the strengths and weaknesses of Cambodia’s dual budget system from the point of view of the facility level.</p>	<p>Hold discussions on the usefulness of PETS-type studies with an aim to agreeing on a plan to incorporate aspects of the studies as an on-going tool for management.</p>

Source: World Bank. 2005. *Public Expenditure Tracking Seminar in Primary Education*.

Reading Materials

Public Expenditure Tracking Surveys in Education (IIEP-UNESCO Publication)

Reinikka, R. and N. Smith. 2004. "Public Expenditure Tracking Surveys in Education." Paris: International Institute for Educational Planning (IIEP).

<http://unesdoc.unesco.org/images/0013/001362/136267e.pdf>

Survey Tools for Assessing Performance in Service Delivery

Dehn, J., R. Reinikka & J. Svensson. 2003. "Survey Tools for Assessing Performance in Service Delivery." Washington, D.C.: World Bank Public Sector Group.

Public Expenditure Tracking & Facility Surveys: A General Note on Methodology

Our Money, Our Responsibility – A Citizens' Guide to Monitoring Government Expenditures

Links:

- ETICO Platform on Ethics and corruption in education' (IIEP-UNESCO)
<http://www.iiep.unesco.org/research/highlights/ethics-corruption/pets.html>
- PETS in the Education Sector (Anti-corruption Resource Centre)
<http://www.u4.no/themes/pets/petseducationsector.cfm>
- Public Finance: PETS (World Bank)

<http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTPUBLICSECTORANDGOVERNANCE/EXTPUBLICFINANCE/EXTPEAM/0,,contentMDK:20235447~pagePK:210058~piPK:210062~theSitePK:384393,00.html>

- Tools and Methods for Participatory & Monitoring: PETS (World Bank)
<http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTSOCIALDEVELOPMENT/EXTPCENG/0,,contentMDK:20507700~pagePK:148956~piPK:216618~theSitePK:410306,00.html>

Videos

- Presentation of Ritva Reinikka during the IIEP-UNESCO Summer School on: 'Transparency, Accountability and Anti-corruption Measures in Education' (Paris, June 2007).
- Presentations made by Jacques Hallak and Muriel Poisson, during online WBI/IIEP-UNESCO distance courses on PETS.

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Shah, Anwar. 2007. "Tailoring the Fight against Corruption to Country Circumstances" in Performance Accountability and Combating Corruption. World Bank.

Ware, Glenn, Shaun Moss, J. Eduardo Campos, and Gregory P. Noone. 2007. "Corruption in Public Procurement: A Perennial Challenge" in The Many Faces of Corruption. World Bank.

Special Topic

Procurement Monitoring

Learning Objectives

By the end of this session, the participants should be able to:

- Define procurement monitoring;
- Explain why citizen engagement is important in public procurement;
- Illustrate the public procurement process;
- Outline some ideas on how to engage citizens in the public procurement process; and
- Identify key challenges in its implementation.

Core Messages

- Procurement monitoring is a process of analyzing procurement documents and holding government agencies accountable for their procurement transactions.
- Procurement monitoring can reduce corruption in public procurement by strengthening information, transparency and accountability.
- The public procurement process covers the following stages: procurement planning, preparation, advertisement, pre-qualification, bid evaluation, award of contract, and contract implementation.

- Procurement monitoring consists of a range of tools and techniques as applied in the different stages of the public procurement process. These include participatory expenditure tracking tools, participatory performance monitoring tools, integrity pacts, procurement watchdogs, and e-procurement.
- Some of the key challenges in facilitating a participatory procurement monitoring are (1) lack of legal framework; (2) highly politicized and weak governance system; (3) lack of transparency and information; (4) lack of trust; and (5) lack of community support.

I. Public Procurement

Procurement is the acquisition of both goods and services, and involves not only purchasing—buying of goods—but also the hiring of contractors or consultants to perform services (Westring 1974).

Inputs necessary in the delivery of public services must be of low cost and acceptable quality. These can be achieved through a public procurement system that imitates the competitive methods of the market (Ware et. al 2007).

According to Westring (1974), an effective public procurement has the following attributes:

- Guided by public procurement regulations (laws, statutes, ministerial decrees) and policies (e.g. preference for domestic suppliers)

- Funds for procurement are appropriated by the government
- Scrutinized by the auditing arm of the government
- Obligations incurred in relation to third parties are responsibilities of the government
- The contracting agency is established by statute or incorporated in the same manner as private corporations (Westring, 1974)

But over the years, the role of citizen groups has been widely recognized in promoting good governance particularly in upholding transparency and accountability in the public procurement process.



EXERCISE 10.1 Pop Quiz: TRUE or FALSE Procurement Process on page 207 of the Trainer's Guide.

II. Importance of Citizen Engagement in Public Procurement

According to Transparency International, a global civil society organization leading the fight against corruption, around 820 billion dollars are spent by developing countries each year on procurement-related transactions (WBI 2009). While these

expenditures enable governments to deliver goods and services to citizens, public procurement is extremely vulnerable to corruption.

It is estimated that approximately 400 billion dollars is lost to corruption in public procurement each year (Transparency International in WBI 2009). This figure translates to economic lost amounting to five percent of the world economy or more than 1.5 trillion dollars a year of total cost of corruption (ANSA 2008).

To respond to this vulnerability, procurement monitoring is a process in which citizens are trained to oversee all stages of the public procurement process. Citizens and citizen groups can take part in monitoring procurement in its various stages. This is normally done by facilitating a series of dialogue with the government or through the use of social accountability tools and techniques in monitoring public expenditures and service delivery. Some of these tools are discussed in the preceding session (Participatory Expenditure Tracking) and in the next session (Participatory Performance Monitoring).

Citizens can help the government achieve effective monitoring and evaluation of its procurements if the government's internal audit agency will provide them access to procurement documents. Cooperation and legitimacy of citizen groups, however, is critical to gain the trust and confidence of the public audit institutions to give access to the procurement documents they hold. Similarly, high level of cooperation is required from government agencies that are found to have irregularities in their procurement process.



Guide Question

What are the different kinds of corruption schemes in public procurement?

III. Public Procurement Process

Citizen engagement can take place at all stages of the public procurement process. While the procurement process may vary from one country to another, ideally, it should have the following stages: procurement planning, preparation, advertisement, pre-qualification, bid evaluation, award of contract, and contract implementation (Figure 13). Monitoring should be conducted throughout the entire process, as each of these stages has loopholes for manipulation and fraud (WBI 2009).



Tip for Trainers

Try to know the public procurement process of your participants' country. How does it differ from the ideal process outlined here? Do they have laws on procurement?

A. Procurement Planning. This is the stage where the agency assesses their needs and determines the goods and services they need to request.



Source: Ed Campos (2006) A Powerpoint Presentation titled "Public Procurement and Corruption: What Have We Learned Thus Far" downloaded from <http://www1.worldbank.org/publicsector/pe/pfma06/page8.htm>

Fig. 13. Stages of the Public Procurement Process

B. Preparation. At this stage, the agency should have clear and fair description of what is to be purchased and the criteria for evaluation.

C. Advertisement. This stage is about informing the public about the tender to provide equal opportunity to all to bid.

D. Pre-qualification. The agency will determine the eligibility of the bids based on their capacity, experience, resources, or other criteria defined in the tender.

E. Bid evaluation. At this point, qualified bids are assessed as to which bids meet the selection criteria.

F. Award of Contract. The winning bid will be selected based on (1) being substantially responsive to the bidding documents and (2) offered the lowest evaluated cost.

G. Contract Implementation. The contract will be executed according to set specifications as contained in the bid.

IV. Some Ideas on How to Promote Citizen Engagement in Public Procurement

The table below summarizes the problems that are encountered in each stage of public procurement and the entry points for citizen engagement.

V. Challenges in Procurement Monitoring

There are some key issues in procurement monitoring that citizen groups and government agencies should watch out for as they may affect the outcomes of engaging citizens in this process.

Stage in Public Procurement	Problems	Entry Points for Citizen Engagement
Procurement Planning	<ul style="list-style-type: none"> • Demand is induced, not real • Misrepresent purchase as urgent so as to short cut the bidding process • Misallocation of resources 	<ul style="list-style-type: none"> • Public participation through public hearings to check the need, enable accountability and identify necessary or unnecessary elements of the goods or services to be acquired • Proactive disclosure by government agencies of relevant information through billboards, radio, newspapers or internet.
Procurement Preparation	<ul style="list-style-type: none"> • Weak technical specifications • Project management office given sole responsibility over tender specifications and design • Lack of competition 	<ul style="list-style-type: none"> • Public participation to discuss design process and ventilate any concerns or reservations about project • Proactive disclosure by government agencies of relevant information
Advertisement	<ul style="list-style-type: none"> • Limited/insufficient advertising 	<ul style="list-style-type: none"> • Prioritize advertizing in papers with broad reach
Pre-qualification	<ul style="list-style-type: none"> • Prospective bidders undergo detailed, tedious and potentially subjective pre-qualification process • Requirements set to favor a particular contractor or group of contractors • Lengthy process that creates opportunities for bribe solicitation • Contract sharing among the bribing companies 	Accessing and widely publicizing information about the bidding requirements and process
Bid evaluation	<ul style="list-style-type: none"> • Wide discretion given to decision makers • Tendency to seek judicial interventions • Unusual or lengthy delays in bid evaluation • Abuse of clarification period 	Accessing and widely publicizing information about the bidders and the bidding evaluation process
Award of Contract	<ul style="list-style-type: none"> • Unclear rules • Rejection of all bids 	<ul style="list-style-type: none"> • Pro-active disclosure by government agencies of relevant information • Public participation through civil society groups as third party observer in the bid evaluation process to ensure integrity of the process
Contract Implementation	<ul style="list-style-type: none"> • Poor monitoring and enforcement • Contract renegotiation is allowed 	<ul style="list-style-type: none"> • Participatory performance monitoring tools • Clear and pre-established limits for contract change order

Some of these challenges were discussed during ANSA-EAP's Open Doors 2009, a knowledge sharing and capacity building workshop on procurement monitoring for East Asia and the Pacific.

- **Lack of Legal Framework**

The participants expressed the importance of having a procurement monitoring law to establish the entry points and put in place mechanisms for citizens and citizen groups to participate in monitoring procurements (see the boxed article below entitled "Procurement Monitoring in the Philippines). Anti-corruption laws such as those in South Korea and Indonesia may create conditions for the work of procurement monitors.

- **Highly politicized and weak governance system**

Weak government system and processes constitute one major culprit that sustains corruption in many levels of the bureaucracy. Because addressing those weaknesses may go against their personal interests, they are not keen to finding the solutions. A manifestation of such gap is the lack of mechanisms that would allow citizens to participate in monitoring how public funds are managed.

- **Lack of transparency and information**

In Guinea, citizen groups found that the success of participatory procurement monitoring depends on how much information the people can get. Governments oftentimes mistrust citizen groups as being incapable of doing the monitoring work. Many citizen groups particularly the NGOs and

social activists are labelled as uncooperative. Experiences showed, particularly in developing countries, that governments are hesitant to divulge adequate information to citizen groups who will stab their backs later on. In East Asia and the Pacific, access to information remains limited even among countries where access to information is guaranteed by the law. In Indonesia, for instance, while the government has enacted a right to information law, owners of private companies who bid in the procurement process are close to political elites and are able to get insider information about the projects.

- **Lack of Trust**

In East Asia, government-citizen group relations are often based on backdoor, "who-you-know" channels and not through established mechanisms for citizen participation in decision making processes. In many cases, citizens and governments are in the opposite side of the fence. Coalitions are not being built and the lack of trust between parties is evident. In South Korea, non-confrontational approaches and coalition building among stakeholders are still insufficient and weak.

- **Lack of Community Support**

Some citizen groups have shown that community support can ensure the sustainability of procurement monitoring. However, there is not enough community support for the initiatives currently being undertaken across the region. This could be because of the lack of awareness and understanding of what procurement monitoring can bring about.

Case Study: Procurement Watch Inc.

In 2001, a group of individuals determined to fight corruption in government procurement established Procurement Watch Inc. (PWI), a non-governmental organization which specializes in monitoring public procurement in the Philippines. PWI advocated the passage of a new procurement law in 2003 and has monitored the enforcement of the law. The PWI conducts a wide variety of capacity-building activities with different groups and individuals, including anti corruption officials, agencies involved in large procurements, CSOs, and private citizens.

The new procurement law specifies clear, simple “pass/fail” non-discretionary criteria that are to be used during the evaluation of bids to make the procurement process more corruption-resistant and efficient. The law also provides for criminal and administrative sanctions against procurement officials and bidders who violate the law.

It was under the initiative of PWI that the Differential Expenditure Efficiency Measurement (DEEM) was developed to measure corruption and inefficiency in public procurement. PWI has tested DEEM by collaborating with the government’s internal audit agency, which agreed to provide PWI with access to procurement documents maintained by the agencies it was auditing.

PWI examines all government documents produced at each stage of a completed procurement transactions. Through PWI’s assessment, inconsistencies were uncovered and merited further investigation. During the first testing of DEEM at a government hospital, PWI achieved important results. Investigators found a certificate signed by a hospital official justifying a contract with a specific company, claiming that it’s the only company that could make quality vitamin C. Given the number of brands of vitamin C in the Philippines, this claim is highly doubtful. Had the contract been bid out, the hospital would have spent a lot more money, since the vitamin C brand provided by the selected vendor was the most expensive in the market.

Case Study: Procurement Monitoring in the Philippines

Legal and institutional framework

In 2003, the Philippines passed a comprehensive act governing public procurement. This law, along with implementing rules and regulations, standardizes public procurement conducted at all government levels, as well as by state-owned or state-controlled companies. The framework covers the procurement process from planning to implementation. The procurement itself, from needs assessment to implementation, is conducted by the individual government departments, offices, or agencies. Bids and awards committees are established within each procuring entity to conduct the procurement proceedings. The procurement act also established the Government Procurement Policy Board (GPPB). This central body defines policies, implementing regulations, and standard documents; produces guidelines and manuals and oversees the training conducted by procuring agencies.

Procurement methods and procedures

The Philippines' procurement act designates competitive bidding as the standard procurement method. Exceptions are permitted under conditions enumerated in the law and stipulated in more detail in implementing regulations. No particular institutional mechanisms exist that would routinely subject the list of exceptionally permitted methods to a review. Procuring agencies are required to publish tender openings twice in nationwide media to attract the greatest possible number of tenders, thereby helping to avoid collusion and failure of tenders. The Internet is also widely used for announcing tender opportunities, and the Government is expanding this instrument with the aim of enhancing transparency. Further mechanisms to ensure transparency comprise the development of standard bidding and contract documents to the extent practical. The use of these documents is compulsory.

To ensure the transparency of the bid opening—a crucial moment in the tendering procedure that allows bidders to verify whether bids have been altered or destroyed—it has to take place in public at a predefined place and time. The law does not require bid opening right after the submission period, a requirement that is generally considered a safeguard against fraudulent alterations of bids during the time between the deadline for submission and the opening of bids.

As regards the evaluation of tenders, the procurement law prescribes the selection of the eligible bidder that has submitted the cheapest responsive offer for the goods and works.

Safeguarding and enforcing integrity

The Philippines has not yet adopted a specific code of conduct for officials in public procurement that takes into consideration the particular corruption risks in this field. Hence, the general law on the conduct of public officials is applicable to procurement personnel. This law does address issues such as conflict of interest and

the acceptance of gifts by public officials in the exercise of their duties. The Philippine procurement law provides for a number of institutional mechanisms to prevent favoritism in public procurement. Decisions throughout the procurement process are made by panels composed of five to seven officials. The personnel involved in procurement decisions are regularly rotated. Further, citizen groups are permitted to monitor all stages of the procurement process, and the Philippines is assessing ways for involvement of citizens in the monitoring of project implementation. Special training is conducted for these civil society representatives to strengthen their capability to monitor public procurement activities.

No particular measures were reported to safeguard integrity among bidders and their staff. Here, penal and economic sanctions are the main instruments to safeguard and enforce integrity. The Philippine procurement law itself establishes penal sanctions for procurement-specific corruption, in addition to offenses established by the generally applicable penal law. These offenses cover public officials as well as suppliers' staff. Civil liability is linked to conviction for these acts.

To sanction the economic entity that profits from corruption in public procurement, the procurement act also provides for debarment. It empowers the head of a procuring entity to exclude a bidder for one or two years from public bidding as a sanction for providing false information or unduly influencing the procurement process. The law does not specify whether the debarment decision has any consequences for public tenders by other procuring entities. Blacklisted contractors are listed on the GPPB website.

With regard to the prosecution of corruption in public procurement, no reporting duties for public officials exist at this time, nor does a protection mechanism for those who come forward and report corruption in the procurement process or in a particular agency. Efforts to enact comprehensive whistleblower protection legislation or a reward system are ongoing but have not yet resulted in a law.

Irregularities and corruption may also be detected in the course of complaint procedures. Such procedures, which may also help bolster bidders' trust in the fairness of the procedures, exist at the administrative level and, if administrative remedies do not suffice or remain fruitless, through the judiciary. A non-refundable protest fee, amounting to one percent of the contract value, must be paid to trigger the administrative review procedure.

Aside from complaints by aggrieved bidders, which may lead to the detection of corruption in a procurement process, procuring entities are subject to audit. In addition, observers from civil society are entitled to develop and submit their own monitoring reports. These reports, which may be sent to the Office of the Ombudsman, evaluate whether an individual procuring entity did abide by the rules.”

Source: ADB. Year Unknown. Country Reports: Systems for Curbing Corruption in Public Procurement. Manila, Philippines. Retrieved from <http://www.adb.org/Documents/Books/Public-Procurement-Asia-Pacific/phi.pdf>

Synthesis

- How can civil society help in monitoring and evaluating government procurements?
- Who are the key actors in the procurement monitoring process?
- What are the enabling policies that would allow civic engagement in procurement monitoring?

Reading Materials:

Hawkins, John, Herd Camilla, and Wells Jim. 2006. Modifying infrastructure procurement to enhance social development. Engineers Against Poverty/ Institution of Civil Engineers. London

OECD, The World Bank. 2005. Strengthening procurement capacities in developing countries. OECD/The World Bank. Paris:OECD

Ramkumar, Vivek. 2008. "Our Money, Our Responsibility. A Citizen's Guide to Monitoring Government Expenditure."

Social Accountability Sourcebook Chapter 4: Participatory Public Expenditure Management Retrieved from <ftp://ftp.worldbank.org/pub/dfgg/socacc.htm>

For a complete list of the readings on procurement monitoring, download the "Reader-Learner List" on Procurement from the CD.

References:

ANSA. 2008. Social Accountability School in Cambodia

ANSA-EAP. 2009. Open Doors 2009: A Regional Forum on Procurement Monitoring as a Social Accountability Tool Advancing Citizen's Engagement with Government

Westring, Gösta. 1974. "International procurement: A Training Manual." United Nations Institute for Training and Research.

Ramkumar, Vivek. 2008. "Our Money, Our Responsibility." The International Budget Project.

Ware, Glenn, Shaun Moss, J. Eduardo Campos, and Gregory P. Noone. 2007. "Corruption in Public Procurement: A Perennial Challenge." The Many Faces of Corruption. World Bank.

WBI Core Learning Program. 2009.

Session 9

Participatory Performance Monitoring

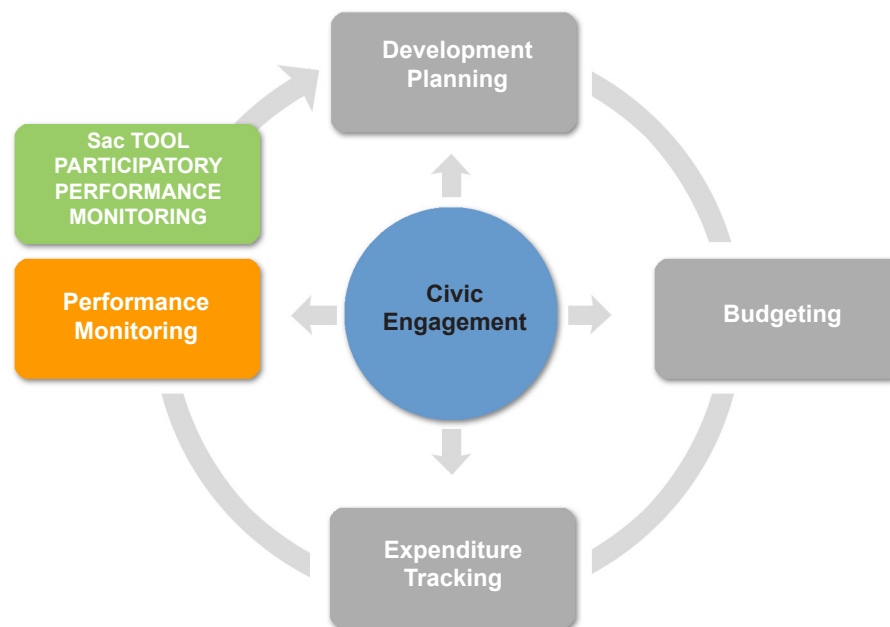
Learning Objectives

By the end of this session, the participants should be able to:

- Define participatory performance monitoring;
- Explain why citizen engagement is important in performance monitoring;
- Enumerate some participatory performance monitoring tools and techniques;
- Explain the concept and process of conducting a Citizen Report Card.
- Identify the key challenges in implementing a Citizen Report Card.

Core Messages

- Participatory performance monitoring (PPM) refers to the involvement of citizens, users of services, citizen groups and government agencies in the monitoring and evaluation of service delivery and public works.
- PPM can take the form of surveys, community forums, media advocacy, or meetings between service users and service providers, integrity pact, community scorecard, social audit, and citizen feedback. This training manual will focus on one of the most widely used PPM tools—the Citizen Report Card.



The Public Finance Management Cycle

- Citizen Report Cards (CRCs) are participatory surveys that solicit user’s feedback on the efficiency and effectiveness of the government to deliver public services. Through CRC, citizen groups can provide reliable estimates of corruption and other hidden costs, as well as catalyze citizens to demand accountability, accessibility, and responsiveness from the public service providers.
- Some of the key factors that would lead to successful PPM initiatives are as follows: (1) access to relevant information; (2) capacity building (human, technical, institutional) for

citizen groups to effectively monitor government performance; (3) constructive engagement between the citizen groups and service providers; and (4) strong incentives for all stakeholders involved in the process.

I. What is PPM?

The World Bank defines participatory performance monitoring as the “involvement of citizens, users of services, citizen groups and government agencies in the monitoring and evaluation of service delivery and public works.” It requires

setting standards and creating indicators against which project performance is measured. It could also take the form of actions intended to enhance civic participation and ensure inclusiveness, responsiveness and transparency of public institutions.

PPM is designed for and used by citizens who are the primary beneficiaries of the public services being monitored. It aims to give them a means to influence the efficiency, quality, and accountability of public services. By creating ways for citizens and civil society to monitor performance, increased pressure is placed on the public sector to be responsive to citizens' needs and to use public funds more conscientiously. The results of the PPM process may also serve as baseline in creating new policies, development programs, and projects, thus, completing the public financial management cycle.

II. Issues addressed by PPM

PPM looks deep into various factors that affect the transformation of public funds into services and projects. These factors could include adequacy of funds, access, quality and choice of services, or effective targeting of beneficiaries.

Other times, participatory performance monitoring focuses on the following:

- Capacity of service providers;
- Incentive systems;
- Flow of funds regarding service delivery; and
- Flow of information regarding service delivery.

III. PPM Tools and Techniques

PPM can take the form of surveys, community forums, media advocacy, or meetings between service users and service providers. All of these tools and techniques are referred to as citizen feedback mechanisms. The most widely used PPM tool is the Citizen Report Card (CRC).

IV. Citizen Report Card (CRC)

CRCs are "participatory surveys that solicit user's feedback on the performance of public services," (World Bank 2004). It should be noted, however, that CRC is not the same as an opinion poll. Through CRC, feedbacks are gathered from the direct users or beneficiaries of public services and not from the general public.

Objectives of CRC

According to Public Affairs Centre (1995), a nongovernmental organization that was developed by the proponents of the first CRC Project in Bangalore, India, CRC aims to achieve the following objectives:

- Generate citizen feedback on the degree of satisfaction with the services provided by various public service agencies and provide reliable estimates of corruption and other hidden costs;
- Catalyze citizens and citizen groups to demand accountability, accessibility and responsiveness from public service providers;

- Serve as a diagnostic tool for service providers, external consultants and analysts/researchers to facilitate effective diagnosis of problems and possible solutions from the perspective of citizens; and
- Encourage the government to adopt and promote citizen friendly practices, design performance standards and facilitate transparency in operations.

Strengths and Drawbacks of CRC

Strengths

- CRCs can be used to assess either one public service or several services simultaneously.
- The feedback can be collected from a large population through careful sampling.
- CRCs are quite technical and thus there may not be a need for a major citizen mobilization effort to get the process started.
- Perceived improvements in service quality can be compared over time or across various public agencies involved in service provision.

Drawbacks

- CRCs require a well thought out dissemination strategy so that getting public agencies take note of citizen feedback and take the required action to correct weaknesses.

- In locations where there is not much technical capacity, CRCs may be difficult to design and implement.
- If there is an error in sampling, the quality of service may not be reflected in the survey results.

The CRC methodology has six phases (Figure 13).

Take note that a CRC project does not end in the dissemination and formalization phase. For the CRC to contribute significant results, it should be done continuously or periodically to ensure that public service delivery is improved on a long-term basis.

CRC also requires some degree of credibility and technical capacity on the part of the institution undertaking the survey. Citizen groups may partner with agencies or institutions that can help in designing and implementing the CRC process. However, the nature of partnership must benefit the citizens through capacity-building, transfer of skills and technology, ownership of the process and results, and other mechanisms that would promote sustainability of CRC initiatives.

For a more detailed discussion of the CRC methodology, refer to the boxed article at the end of this session.



Fig. 14. Key Phases of CRC Methodology

Questions to Answer in Identifying Scope, Actors, and Purpose of CRC *(Adapted from Public Affairs Centre 1995:8)*

- What services and/or sectors do you wish to cover?
- Do you want to focus on a single service provider or multiple services?
- Is there a government policy or program that you wish to assess?
- Which population can provide the information that you need?
- What type of information do we need to gather?
- What aspects of service delivery (availability, access, quality of service, incidence and resolution of problems, interaction with staff, corruption) are important?
- What is your population/community of interest?
- Will the CRC survey be carried out in your own city/town / rural community?
- Do you also want to analyze service delivery by zone, ward or some other regional or administrative division?
- Are there subgroups in the population that are of particular interest to your study (poor households, females, elderly, etc.)?



Guide Question

If you are given the chance to conduct a CRC Project, what specific public service in your country or locality would you like to monitor and evaluate? Explain why.

Applications of CRC: Some Examples

CRCs have been used at the national and/or local levels in the following projects (adapted from the World Bank 2004):

- *Philippines*: CRCs conducted as a basis for performance-based budget allocations to pro-poor services.
- *India*: Cross-state comparisons on access, use, reliability and satisfaction with public services (Paul, n.d.). An impact assessment of the use of CRCs in Bangalore showed that as a result of the public attention received by the publication of the results of the survey, significant efforts were made at improving quality of services and infrastructure. There was an increase in satisfaction with services from 1993/94 to 1999. The percentage of users satisfied with services increased from 10.5% to 40.1%, while the percentage of dissatisfied users declined from 37.5% to 17.9%
- *Ukraine*: The World Bank-funded People's Voice Project which has used CRCs to track local government quality of service delivery.

V. Factors to Success in Carrying out PPM Initiatives

There are several key factors that lead to success in performance monitoring initiatives. First, citizens must have access to relevant information and possess the necessary skills to effectively monitor performance. An additional requirement for a successful performance monitoring exercise is a well-designed interface meeting between the citizens leading the initiative and the service providers. Second, meaningful results are most likely to be achieved when citizens, service providers, and public officials all have strong incentives to act on the results of the initiative and the capacity to implement suggested improvements.

Third, successful performance monitoring depends on the participation of a wide array of actors representing pluralities of gender, ethnicity, educational status, income level and a host of other locally-relevant factors. Social exclusion and marginalization can make this type of representation difficult. Government or service providers may also attempt to limit participation to certain segments of society to achieve their desired results.

Step-by-step process in designing and conducting a CRC project

1. Identification of Scope, Actors, and Purpose

- Be clear on the scope of the CRC Project: sector, industry, or unit of service provision.
- Identify credible policy institutes who can undertake the exercise.

2. Design of Questionnaires

CRC questionnaire should focus on areas of public service delivery that are of great concern to citizens. The Public Affairs Centre (1995) outlined some tips in designing a questionnaire for CRC:

- Consider if an open or closed-ended question is more suitable
- Decide on the most suitable way to evaluate each aspect of service delivery
- Where necessary, include time frames to collect relevant responses
- Specify units (of what? of analysis?)
- Select an appropriate scale

3. Sampling

Here are some basic steps in crafting a sampling design for a CRC Project:

Step 1. Define the population. The population is the group of users or beneficiaries of public service subjected to monitoring and evaluation. For example, a CRC project focusing on farm-to-market roads in Mindanao would have a population of commercial farmers and those who market their surplus from all the provinces of Mindanao Island in the Philippines.

Step 2. Select the unit of analysis. Possible units of analysis for a CRC Project are households, groups, organizations, or individuals. Most CRC Projects done in the past such as the CRC Project in Bangalore, India used households as a unit of analysis.

Step 3. Identify subgroups in the population. Within the population, there are subgroups that could be potential source of critical information about the public service under study. For example, in evaluating a maternal healthcare program, the CRC Project may need to analyze the social stratification among pregnant women and those who gave birth within a specified timeframe (i.e. urban vs. rural, literate vs. illiterate, ethnicity, class/caste, etc.).

Step 4. Select the sampling size. The sample size for the CRC survey should be large enough to represent the entire population. Although determining the sampling size depends on several factors (e.g. availability of financial and human resources, size of the entire population, type of information required for the CRC Project), experiences from various CRC initiatives across the world found that a sample size of 300-350 households delivers optimum results.

Step 5. Determine the sampling frame. A sampling frame is a complete listing of the units from which the sample will be drawn. This could be a listing of all households from the village government, recent census, a telephone directory, or a map. If a sampling frame is not readily available, the proponent of a CRC Project may conduct an actual field work to list down households which will constitute the entire population.

Step 6. Select a sampling method. There are two types of sampling: probability and non-probability sampling. Probability sampling is deemed as the “scientific” way of getting a sample that is representative of the entire population.

Probability sampling scheme is “one in which every unit in the population has a chance of being selected in the sample, and this probability can be accurately determined. The combination of these traits makes it possible to produce unbiased estimates of population totals, by weighting sampled units according to their probability of selection,” (www.wikipedia.org). Examples of probability sampling methods are simple random sampling, systematic sampling, stratified sampling, probability proportional to size sampling, cluster sampling or multi-stage sampling.

Non-probability sampling, on the other hand, is “any sampling method where some elements of the population have no chance of selection or where the probability of selection will not be accurately determined. It involves the selection of elements based on assumptions regarding the population of interest, which forms the criteria for selection,” (www.wikipedia.org). Examples of non-probability sampling are accidental sampling, quota sampling, and purposive sampling.

4. Execution of Survey

After carrying out the planning phase of CRC, it is now time to conduct the actual survey. As one will notice, there are still a number of preparatory activities that need to be carried out before conducting the actual execution of survey.

Step 1. Train survey enumerators.

Step 2. Pre-test the questionnaire.

Step 3. Modify the questionnaire based on the feedbacks gathered from the pre-testing phase.

Step 4. Check the responses of respondents for gaps and inconsistencies.

Step 5. Encode the responses in data tables. Oftentimes, this process is aided by statistical softwares such as the Statistical Package for Social Science (SPSS) and Statistical Analysis System.

5. Data Analysis and Writing of the CRC Report

In generating findings from the data tables, a proponent of a CRC Project may undertake the following steps:

Step 1. Produce basic analysis tables.

Step 2. Create relevant cross-tabulations to make conclusions.

Step 3. Perform more complex statistical analyzes, if necessary, following the objectives of the CRC Project. These could range from simple regression analyzes to complex econometric modelling.

Step 4. Write the CRC Report. This will be the basis for policy recommendations and generating appropriate advocacy messages for different types of stakeholders. The team should come to an agreement on which findings should be included and highlighted in the report. The Public Affairs Centre (1995) underscored the importance of providing the “holistic picture” which includes both positive and negative findings in the CRC report.

6. Dissemination of Findings

A CRC Project is futile without a well-crafted strategy for disseminating the findings of the CRC Project. It should contribute to the two-pronged objective of social accountability, that is, to: (1) strengthen the “voice” of the citizens to demand good governance from public officials; and (2) improve government’s “responsiveness” to citizen’s feedbacks to improve their performance and make the necessary changes in governance structures and processes (Public Affairs Centre 1995).

Dissemination of findings can be guided by the following suggested actions:

- Know your audience. If necessary, conduct a stakeholder’s analysis.
- Develop key messages for each major stakeholder.
- Identify appropriate methods of packaging and disseminating CRC key findings.
- Create a strategic communication plan.

Case Study: Citizen Report Rating in Cambodia*

One of the minimum rights of citizens in a democratic society is to vote for leaders and representatives in periodic elections. In Cambodia for instance, citizens vote for commune council officials and representatives to the National Assembly. The expectation is that once elected, government leaders will then formulate policies, design programs and make decisions in accordance with public opinion, or at least based on the expressed needs of the population. The reality however is that voting on elections gives citizens little influence over decision-makers.

In Cambodia, there is growing concern on the performance and accountability of governmental agencies that deliver services, formulate policies and make decisions particularly for the poor and the marginalized. Most performance indicators focus on the input and expenditure level. But beyond these, there is scarce information on the quality of services delivered, on the appropriateness of policies and procedures formulated, and even on the perceived strengths and weaknesses of local government units.

In keeping with its mission to strengthen civil society participation in pro-poor local governance, the Commune Council Support Project (CCSP) pioneered in Cambodia the Citizens Rating Report (CRR), a methodology patterned after the internationally-acclaimed report cards that were first done in Bangalore, India. In international practice, report cards are usually implemented at the national level with external enumerators gathering data at the village level. However, a unique feature of the CRR is that it localizes the report card, with commune citizens collecting, analyzing, and acting on the results of the initiative. Briefly, the CRR gathers user perceptions on the accessibility, satisfaction and adequacy of services, as well as the quality of citizen participation in commune council meetings, and aggregates these as a rating report. These rating reports are used as a take off point to generate collective pressure and prompt officials and social service providers to respond to people's call for improvements in service delivery and in conducting commune council meetings.

The CRR probed into commune services and infrastructure projects including potable water systems, health centers, primary education, as well as rural roads and small-scale irrigation projects. For its pilot, CCSP implemented CRR in the provinces of Banteay Meanchey, Battambang, Kampong Chhnang, Kampong Cham, Kampong Thom, Pursat, Siem Reap, Takeo, Kratie and in Pailin City. The main strategy for implementation was to capacitate local NGOs on the CRR methodology. Seventeen (17) local NGOs joined the pilot implementation of CRR. The partner NGOs went through a training of trainers on CRR concepts and methodology. These involved lectures, workshops, video presentations on feedback survey exercises in the Philippines, and a one-day field practicum. The NGO trainers subsequently trained at least ten (10) citizens in each of the target commune to lead and implement the research phase for CRR. Fifty-one (51) communes in the pilot sites qualified for the CRR exercise. A participatory process for selecting target communes was done using a rapid assessment tool.

**Adapted from caselette prepared by CommGAP for the WBI CLP pilot run in Johannesburg, South Africa, 1-10 June 2009.*

All in all, 510 CRR team members from the target communes were chosen and trained. Of these, 72 percent are women. The partner NGOs, together with the CRT members, facilitated an assessment of the social services in the commune and selected those that will be subjected to CRR. The assessment included a mapping of existing services, identification of service beneficiaries or users, and identification of key constraints or problems in the delivery of services. Based on these inputs, the CRR team of CCSP developed a draft interview schedule which was subjected to pre-testing prior to its use. Data-gathering was done within a two-month period.

The CRR revealed important findings regarding these commune services and projects, including the following:

- There is a very low level of satisfaction of parents or guardians of the children enrolled in the primary schools in their respective communes. Parents' dissatisfaction arose from the inadequacy of books and other learning materials (17.2%), dilapidated classrooms (20.8%), and lack of teachers (14.6%).
- Citizens in the communes are dissatisfied with potable water systems installed by the government. Water pumps are located far from the households (20.2%). Citizens felt that there was no prior consultation with them to decide where the pumps should be put up (10.4%).
- Compared to the other social services subjected to CRR, the level of satisfaction of the communes' immunization program for children is high at 63.5%. However, there were large numbers of users who were dissatisfied with maternal and child care services, citing poor quality of these services as the primary reason.
- For the infrastructure projects like irrigation and rural roads, there were also high levels of dissatisfaction (58.8% for irrigation and 50% for roads). Among the main reasons for such dissatisfaction were the failure of the government to consult with the beneficiaries regarding the design of the projects, and lack of participation of the users in the maintenance of these infrastructures.

The reports from the CRR were presented in commune assemblies, submitted to provincial authorities, used for organized media campaigns within provincial centers, and disseminated widely through a national workshop in Phnom Penh. There were big improvements in communes' response to public concerns raised in the CRR. Commune councils accepted CRR results as a reflection on their performance. All commune councils repeatedly noted that the CRR project was good for the commune.

The commune research teams (CRTs) conducted advocacy activities with the commune councils based on the CRR findings. These activities resulted in some concrete gains in terms of improved services including repair of water pumps, availability of health officials at health centers, waiving of fees for services, and allocation of land for new school building projects. Engagement also resulted in the adoption of better internal processes and more participatory actions by commune councils such as requirements for more regular reporting by the health center, inclusion of people's issues in commune planning, and holding of public consultations to design infrastructure projects.

Some lessons and insights:

Prior experience in working with commune councils facilitates the smooth acceptance of the initiative by commune councils. In communes where NGO partners had no prior experience or presence, the introduction of CRR was accepted with skepticism and suspicion. CRR thus is not a viable if made a point of entry for NGO work in a particular commune. Without prior trust, CRR can be easily misunderstood as monitoring the performance of individual members of the commune council.

While the CRR is taken as a civil society initiative, it is very important at the start to develop allies from other sectors that will be instrumental in demanding actions based on results. The support of the commune council is therefore very necessary to improve chances of a successful advocacy campaign.

In Cambodia, the delivery of basic social services remains primarily to be a mandate of the national government ministries. However, the Law on the Management and Administration of Communes (LAMC) delegated monitoring or oversight functions on basic service delivery to the commune council. By gaining the support of this body for the CRR, the CRT's have a strong ally in articulating CRR results and pushing for service delivery reforms. In that sense, CRR is an alternative form of civil society-commune council partnership.

Sources:

Trasmonte Jr., Ismael E. 2005, Promoting Social Accountability in Rural Cambodia: The Citizens' Rating Report. CCSP: Phnom Penh, Cambodia.

CCSP 2007. Refinement of Methodology and Process: The Citizens' Rating Report Promoting Social Accountability in Rural Cambodia Evaluation Report. CCSP: Phnom Penh, Cambodia.

The Filipino Report Card on Pro-Poor Services

The Filipino Report Card on Pro-Poor Services assessed the performance of selected government services based on client experience. These services are basic health, elementary education, housing, potable water, and food distribution. The Report Card results throw light on the constraints Filipinos face in accessing public services, their views about the quality and adequacy of services, and the responsiveness of government officials. They provide valuable insights on the priorities and problems faced by the clients and how the various services may be better tailored to the needs of Filipinos in general, and the poor in particular.

It is expected that the service providers would take the Report Card findings into consideration in adjusting their programs to improve service delivery. However, many past assessments did not have a lasting impact on service delivery because they were often one-shot exercises with no effective means to follow through. It is necessary to implement the Report Card surveys periodically in order to assess the improvements in service delivery from a bottom-up perspective. The incentive to respond with concrete improvements would be greater, if service providers know they will be tracked again. Thus, there is a need to institutionalize the Report Card mechanism as an ongoing process to be repeated periodically (say, at 12 to 18-month intervals).

Such a regular mechanism is timely, as enhanced accountability of the state to the people (clients) has become an important area of development focus in the past decade. Various initiatives have been underway on such related aspects as corruption as well as on the overall reform of the civil service. Further, the vital role of a socially responsible private sector and a vibrant civil society as key actors in enhancing good governance and reducing poverty is being increasingly recognized. In the aftermath of People Power II, there is general consensus in the Philippines that citizens must continue to monitor the government to ensure improved performance and greater accountability.

The first (pilot) round of the Report Card spread the net wide and tried to cover as many facets of service delivery as possible within the budget. Based on the lessons learned, it is recommended that the scope of future Report Cards be limited to a few principal performance indicators. Ideally, the performance indicators selected for coverage under the Report Card should have a significant overlap with those (to be) used by DBM in monitoring outputs and processes. This would facilitate the triangulation of the results obtained from the three perspectives (i.e., outputs, processes and client feedback) and provide a comprehensive picture of the performance.

Source: Action Learning Program on Participatory Processes for PSRP Countries. Voices and Choices at the Macro Level: Increasing the value of participation in country-owned poverty reduction strategies. "Filipino Report Card on Pro-Poor Services Chapter VIII Institutionalization of the Report Card"

Synthesis

- If you are given the chance to conduct a CRC Project, what specific public service in your country or locality would you like to monitor and evaluate? Explain why.
- Who are the key actors in participatory performance monitoring?
- What are the enabling policies that would allow civic engagement in performance monitoring initiatives?

Readings

- Social Monitoring (Introduction, Concept, Potential Areas of Application, Tools/Mechanisms). South Asia Social Accountability Network, <http://www.sasanet.org/themes6.do> (web resource)
- An Assessment of the Mid-day Meal Scheme in Chittorgarh District, Rajasthan India. Social Accountability Series, Note No. 3, Sustainable Development Department, The World Bank, August 2007

- Citizen Report Card Surveys, A Note on the Concept and Methodology, Participation and Civil Engagement, Note No. 91, The World Bank, February 2004
- Public Services Provided by Gram Panchayats in Chattisgarh, A Citizen Report Card, Sekhar Sita, Nair Meena, Prabhakar, 2008
- Web-based learning tools on CRC at www.citizenreportcard.com, Public Affairs Center (PAC) and Asian Development Bank, 2000.

References

Public Affairs Centre (1995) Implementing Citizen Report Cards for Improving Public Service Delivery: A Resource Kit

World Bank (2004) Citizen Report Card Surveys: A note on the Concept and Methodology. Social Development Notes Participation and Civic Engagement Note Number 91, February 2004

World Bank Institute Core Learning Program on Social Accountability

Caveats in Facilitating a Constructive Civic Engagement for Social Accountability

The word “caveat” comes from the Latin word *cavere*, which denotes “let him/her beware.” This section presents some considerations that future social accountability trainers should take into account when explaining social accountability concepts and tools.

Citizen-government engagement is a highly complex process. Its success or failure depends on a particular configuration/s of multi-layered web of factors (socio-political, cultural, and economic dynamics) specific to a particular local, national, and regional context. Hence, trainers and training facilitators should always ground the discussions of social accountability within the participants’ local realities.

Why does a country remain poor and marred by corruption despite a seemingly vibrant citizenship and a well celebrated “democracy”? What makes some local governments receptive to citizen’s opinions while others are not? Is it possible to capitalize on political patronage to advance the interests of the poor and the marginalized without necessarily resorting to cooptation? Is there a proper timing to engage with the government? How and why does the meaning of good governance, accountability, citizen participation, and other related concepts evolve through time from one country or locality to another? Are the poor and the marginalized naturally powerless and incapable to engage constructively with the government? Is the dichotomous representation of the conceptual pair,

citizens and governments (e.g. the good and the bad, top and bottom, powerful and powerless, etc.), accurate and just?

The above questions illustrate the complex nature of citizen engagement for good governance. While these items may be viewed as challenges, they can also become sources of practices and principles that can spell success to any social accountability initiatives.

The list of caveats herein does not attempt to exhaustively cover all the nuances of doing social accountability work. Rather, this list serves as a guide to sharpen the minds of future trainers and facilitators to be critical in teasing out the intricacies of applying social accountability concepts on the ground.

Caveat 1: Quantity vs. quality of citizen participation

In Session 6 (Participatory Planning), it was mentioned that the viability of citizen participation to deliver concrete results is not determined by the number of participants but by the extent of how the decision-making power is shared with citizens. But sometimes, civic engagement is viewed as a numbers game. Public officials tend to accept citizens' opinions if a large number of citizens who will vote for them in the next election subscribe to it. In this case, citizens will be able to push for their agenda without threatening the political power of government officials. But at the end of the day, whose interest and agenda should determine the institutional commitment of the government to social accountability?

Caveat 2: Citizen Apathy or Fear of Government?

In societies where democracy is well-established, citizens' lack of interest to take part in government affairs is oftentimes viewed as citizen apathy, a manifestation of citizen disgust or disillusionment with the government (Clark 2009). However, in East Asia and the Pacific, this seemingly indifference of the citizens could not be reduced to a single explanation. In some countries where democracy is still young, citizens are afraid of "speaking out or identifying with a cause that may lead to reprisals, loss of liberty, or possibly worse," (Clark 2009). To illustrate the implication and gravity of this point, one of ANSA-EAP's trainees from Cambodia said:

"In my context, the traditional authority is a mindset. Community people believe that authority is boss and boss is parent. The boss's word and the boss's manner are always good. Community people assume that boss have compulsory and authority to do many things as necessary without consultation with people. And community acknowledges themselves as powerless."

In other countries, this lack of interest to take part in government affairs is rooted from citizens' low consciousness and awareness about their roles and rights in promoting good governance. Taking the case of participatory local development planning in Quezon City, Philippines, there was a low turnout of citizens who initially participated in the first few days of the local planning at the village level. But as they realized the importance of their voices in formal public arena to resolving some of the most

pressing problems in their city, the number of citizens who participated grew tremendously over time.

Caveat 3: False expectations or lack of necessary competency?

Does opening up the planning and budgeting processes create expectations that are impossible to fulfill? This was one of the questions posed by Esguerra and Villanueva (2009) in their paper as they tell the story of Roxas, a municipality in Palawan, Philippines where the Mayor engaged his citizens in local development planning as a strategy to win votes in an upcoming election. The participatory planning process yielded a list of priority projects that was “too expensive to be funded by the municipality, even over a ten-year period.”

For the Mayor to fulfill his promises, the municipality resorted to a co-financing and co-production arrangement that brings together public funds with the resources that local people are willing to share. In the process of negotiating with the government, the citizens of Roxas have learned the complexity of local planning and budgeting processes; they had a better understanding of how the bureaucracy works; and most importantly, they have broadened their consciousness and understanding of what citizen engagement can do and cannot do given a particular circumstance and condition. While the participatory planning of Roxas was tainted with patronage politics at the beginning, it later on broadened the mindset and attitudes of the local officials toward the issues that citizens are deeply concerned about.

Caveat 4: Legitimacy of citizen groups

Clark (2009) reminds citizen groups to examine why public officials may have legitimate reservations in engaging them to local development process. While citizen groups such as nongovernmental organizations (NGOs) and community-based organizations often claim that they represent the needs and interests of the poor and the marginalized, these citizen groups are often composed of middle-class, capital city-based, or village leaders who may be “biased toward the conclusion of a vocal, middle-class constituency rather than marginalized groups.”

Citizen groups may also inject unfounded assumptions and biases to the participatory processes, which can undermine the ultimate goal of civic engagement. There is also the tendency to hide the “trade-offs” that the citizens consider warranted for the issues in question (Clark 2009).

In the first few years after the Local Government Code of the Philippines was enacted, “smart politicians” created their own NGOs that will be part of the Local Development Councils (LDC) at the local government level. The LDC is a multi-sectoral planning body that formulate short-term, medium-term, and annual socio-economic development plans and policies, public investment program, and development programs and projects. As mandated by the law, LDCs should have local NGOs representing not less than 25 percent of its composition.

Another issue that erodes the legitimacy of citizen groups is accountability. If the plans and programs

that they proposed fail, to whom are citizen groups accountable? Will they be held accountable to the donors that fund their projects or to the citizens that they are supposed to represent and serve? This brings the discussion to the importance of citizen groups to clarify from the beginning the nature and level of engagement with the poor and the marginalized to avoid setting false hopes and expectations.

Caveat 5: Levels in the government system where social accountability can deliver good results

There are many documented success stories of social accountability at the local level particularly at the municipal and village level. It is at these levels where one finds people talking directly to the Mayor or village leaders through formal and informal mechanisms.

Drawing from more than two decades of experience as a social activist and organizer of many participatory planning and budgeting initiatives in the Philippines, Jude Esguerra, the Executive Director of the Institute for Popular Democracy (<http://ipd.org.ph>) explained the complex nature of implementing social accountability at the village and municipal levels in the Philippines:

"Participatory planning and budgeting has been easy at the level of the village, where people know everyone, where the most pressing problems are often well-known (e.g., isolation of the village during the rainy season) and do not require extended deliberation. The problem that we encountered, however, is that people

quickly get tired of participatory budgeting when none of those projects get funded. The funds are at the township or municipal level. However, at that level patronage politics takes center stage. In contrast to the village where relationships are usually mediated by warm ties of kinship, friendship, and common history, the relationship at the higher tier of government is mediated by politics – often manifested as the desire of the office holder to establish relations of dependence, between the office holder and people who come to his office."

While the processes for creating new policies and formulating budgets are almost the same for national and local levels of government, the level of competency requirements for individuals and citizen groups would differ significantly. Scrutinizing the national budget and expenditures for health or education, for instance, is far more complicated than tracking down expenditures at the village or municipal level. Citizen groups may have to outsource experts outside their organizations and networks to enable them to provide rigorous and reliable assessment and conclusions regarding development plans and budgets.

Caveat 6: Building the capacity of citizen groups and the government... for what?

In designing a training program on social accountability, training organizers and facilitators must be very cautious so as not to reinforce the dichotomized view toward the citizens and the government. Learning and capacity-building for social accountability should aim for a constructive exchange between these two sectors. This implies a

capacity-building program that leads to creating new spaces for collaboration, common understanding, and complementation. But there is a caveat: "Is empowerment possible under this setup? To truthfully answer this question, we need to ask and analyze how spaces for engagement were created,

in whose interests, and according to which or whose terms" (Abad 2009). If trainers and facilitators are able to engage their participants in this level of discussion, then the training on social accountability is not futile at all.

References:

Abad, Henedina. 2009. "Revisiting Participatory Governance: An Instrument for Empowerment or Cooptation?" In *From Political Won't to Political Will*. Edited by Carmen Malena. Kumarian Press. VA: USA

Clark, John. 2009. "Building Political Will for Participatory Governance: Overcoming the Obstacles." In *From Political Won't to Political Will*. Edited by Carmen Malena. Kumarian Press. VA: USA

Esguerra, Jude III and Enrique Villanueva. 2009. *Pathways out of Patronage Politics: New Roles for Communities, New Rules for Politics in the Philippines*. IDS Bulletin Volume 40 Number 6 November 2009

Special Topic

Media and Good Governance

Learning Objectives

By the end of this session, the participants should be able to:

- Explain the link between media and good governance;
- Enumerate ways on how media can support citizen monitoring of government;
- Cite ethical considerations in reporting government performance; and
- Identify key issues in media and governance.

Core Messages

- Media plays a critical role in promoting a capable, responsive, and accountable government as the media takes the role of a watchdog, agenda-setter, and gatekeeper of information.
- The effectiveness of the media to promote good governance depends on access to information and freedom of expression, a professional and ethical cadre of media personnel, and continuous capacity development efforts through education and training.
- Both the media and citizen groups perform the function of monitoring the government and other

political entities. Hence, the media should support citizens and citizen groups through fair and balanced reporting while citizens should ensure access to information, freedom of expression, and the right to information of all citizens and actors including the media.

I. Media and Good Governance



EXERCISE 11: Role Playing on Media and Governance on Page 209 in the Trainer's Guide.

Tip for Trainers



Before conducting the training on media and governance, do some research on the legal, policy, and regulatory frameworks as well as institutional arrangements on the right to information and press freedom of the country of your participants.

Identify the strengths and gaps in those policies and ask the participants about the negative consequences of such gaps.

The media plays a critical role in demanding a capable, responsive, and accountable government to citizens. Studies have shown that the presence of an independent and pluralistic media can be linked to improved public service delivery as media coverage

creates pressure for accountability (Servaes 2009). Figure 14 situates the media on the demand side of governance as the watchdog, agenda-setter, and gatekeeper of information.

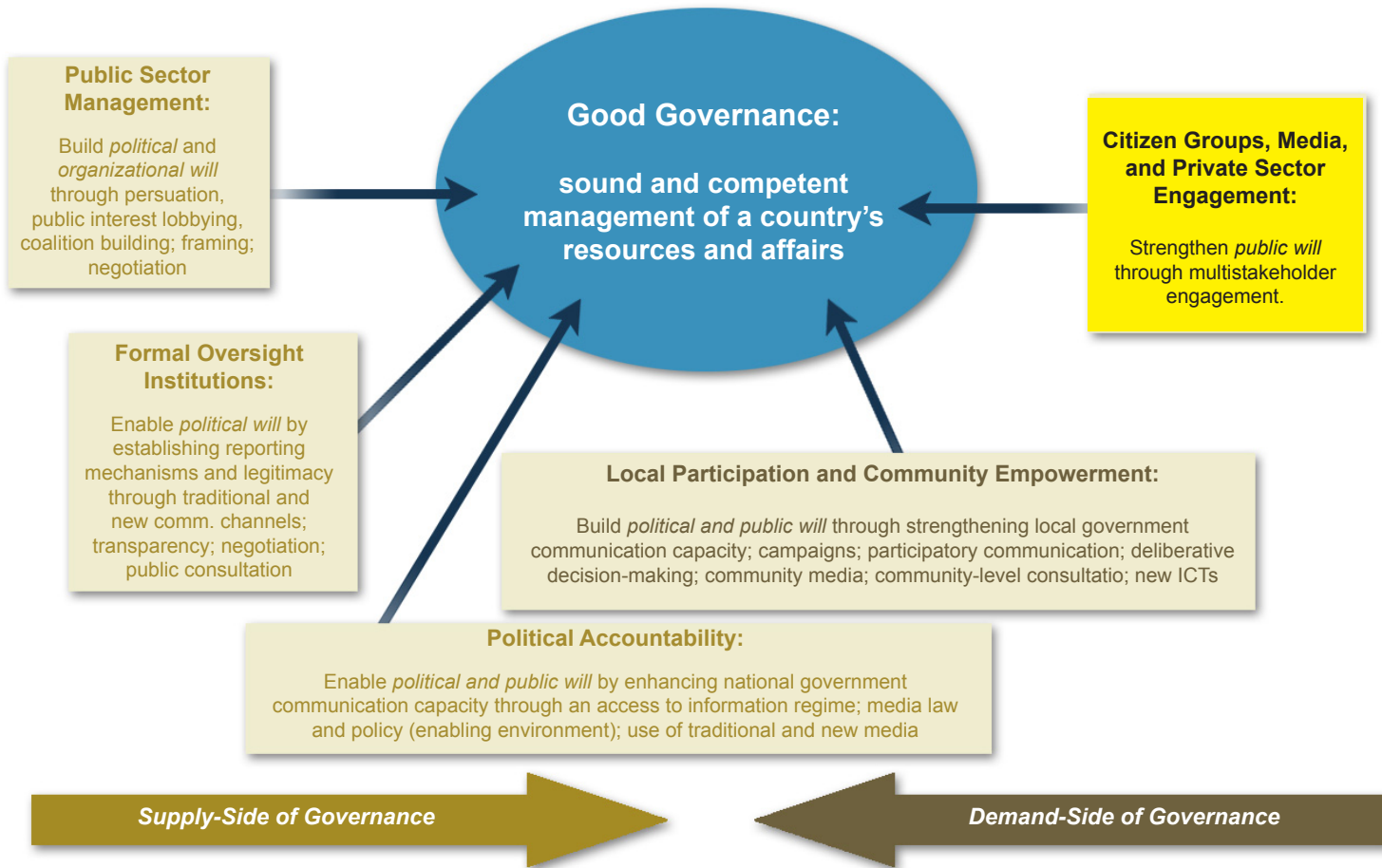
While the media's role in social accountability is known for its coverage of corruption incidence and abuse of power in the government, its major strength lies in shaping public opinion and in influencing public policies. Ideally, public opinion puts pressure on the government to behave in the manner citizens expect them to be. Such mechanism should redound to changes in public policies that reflect citizen's opinions and participation.

If this is the ideal situation, how can the media achieve effective coverage of governance issues in the way that results in more responsive, capable, and accountable governance systems?

II. Key Factors to Enable the Media to Promote Good Governance

For the media to be effective in promoting good governance, a number of factors must be satisfied (Servaes 2009):

- Existence of a legal, policy and regulatory framework that ensures freedom of expression and information.
- A state that actively promotes the development of the media sector in a manner that ensures plurality and transparency of ownership and content in public, private and community media.
- Media workers with access to professional



Source: CommGAP Concept Note titled "Communication and Governance"

Fig. 15. Supply-side and Demand-side of Governance

training and development and the media sector as a whole as being monitored and supported by professional associations and citizen groups.

- Infrastructural capacity sufficient to support independent and pluralistic media to provide adequate access to information, including among marginalized groups, and efficient use of technology to gather and distribute news and information, appropriate to the local context.

Another important enabling factor that would help the media perform its social responsibility in monitoring government's performance and thus, promote good governance is a constructive engagement with the citizens.

III. Media and Citizen Monitoring of Government's Performance

An effective, independent, and pluralistic media contribute significantly to an enabling environment for an active citizenship. Moreover, both the media and citizen groups perform the function of monitoring the government and other entities. As shown in Figure 13, the media is clustered with civil society in the demand-side of governance, as the media should be accountable, first and foremost, to the general public (caveat: large media firms with national coverage are either owned by the state or the country's elite). Hence, both the media and the citizens should be supportive of one another in monitoring government's performance.

The media can support citizens in monitoring the government in the following ways:

- Reporting not only of the government affairs but also of citizen groups' initiatives in monitoring the government;
- Building the capacity of media personnel in recognizing citizen groups as a potential news beat to promoting good governance; and
- Maintaining high standards for media professionalism and competence and observing ethical standards in dealing with both the government and citizen groups to avoid manipulation by a particular political actor or interest group.

On the other hand, citizen groups must ensure that access to information and freedom of expression are observed in the society to enable the media to effectively perform its functions.

IV. Media Ethics in Monitoring and Reporting Government's Performance⁴

Media coverage of government affairs, especially issues that put the government in bad light, is not an easy task especially in countries where press freedom exists only in papers and not in practice. Media ethics not only set standards of professional competence but also to protect the rights of the citizens to information and help prevent or stop the killing of journalists and media harassments in the

Definition of Terms

Media Ethics

Media ethics refers to the principles of behavior appropriate to media practice. While it oftentimes gravitates to ensuring citizen's access to information, media ethics is also concerned about the impacts of media practice (media content, reporting, and organizational structure) to the public as a whole.

long-term. Similarly, ethics in media practice can also prevent media personnel and media institutions to abuse their power and resources as well as to avoid manipulation by political actors with vested interests that can constrain press freedom and fair and balanced reporting.

Below are some ethical considerations in media reporting particularly in monitoring and reporting government performance (Sevilla 2007):

1. Telling the Truth

There are four working principles of truth in communication: (1) completeness; (2) understanding; (3) objectivity and balance; and (4) accuracy.

a. Completeness

While attaining completeness in media reporting is impossible, what is desirable is substantial completeness or the "point at which a reasonable reader's requirements for information is satisfied." Finding and sifting information in reporting government performance should depend on practical or decision-making, moral, political, human

interest, and policy considerations (Sevilla 2007).

b. Principle of Understanding

Similarly, it is also next to impossible, if not undesirable, to strive for a complete understanding of a particular issue or topic at hand. The media personnel should instead attain substantial understanding that pertains to "apprehension of all material or important descriptions but not all the relevant and certainly not all possible descriptions," (Sevilla 2007). To achieve this, media personnel should be aware of the range of the topic that s/he wants to cover, as well as, the things that are beyond his or her knowledge.

In reporting controversial issues, a journalist may find it necessary to establish the socio-historical-cultural background of the issue to help him or her generate an "in-depth and fair understanding" of the issue.

c. Objectivity and Balance

To ensure objectivity and balance in reporting, media personnel should "use a fair process

to compare different sides of an account or issues, often weighing different considerations against each other," (Sevilla 2007). It is also important to organize the material in a way that does not suggest a preference of one set of values over another.

d. Accuracy

Accuracy in reporting requires media personnel to build on sufficient and good evidence that are difficult to contest or argue with. "The need for accuracy also requires that at times when there is some serious doubt, a report must not be made public until the questionable facts are rechecked and only then should the account be released," (Sevilla 2007).

2. The Problem of Bias

Bias is a "distorted and unfair judgment or disposition caused by the values of a reporter, filmmaker, researcher, or even the institutions they represent." Bias is usually a product of irrationality, illusion, greed, ambition, religious fervor, among others (Sevilla 2007).

To avoid biases in the integrity of media coverage of government performance, media personnel should exert effort in maintaining a distance between their personal beliefs and values and the issues, personalities, or government offices they are covering.

3. Maintaining People's Trust

Sources of distrust of people towards the media include:

- Incompetence;
- Inaccuracy/incompleteness of work;
- Careerism;
- Sensationalism;
- Biased reporting;
- Callousness;
- Negligence;
- Arrogance;
- Contempt for the public;
- Abuse of privilege/right;
- Intense competition among practitioners; and
- Advancing unfairly their personal or partisan interests.

4. Avoiding Manipulation and Being Manipulated

Because of the immense resources and influence, the media are the lead actors in the process and as they at times manipulate their users, they are also principal targets of manipulation.

The most common cited types of media manipulation are:

- Keeping people being manipulated in at least partial ignorance or confusion;
- Using the source's words out of context;
- Withholding information;
- Exaggerating information;

- Altering perceptions and thereby range of choices of readers/viewers;
- Impersonating someone else to get information from sources or subjects of stories;
- Press conferences and news releases;
- Structured leak;
- Complicity between media people and advertisers in which advertising material is packaged like news;
- Program host endorsing commercial products without setting this apart from the rest of the program; and
- Deft use of the media.

V. Other Ethical Issues and Concerns

Other ethical issues and concerns that media personnel should be wary about in reporting government's performance are as follows:

- Corruption in the media in the form of extortion, bribe solicitation, and bribe taking;
- Sensationalism (exaggeration, focus on sex, emphasizing blood and gore, detailing crimes and other forms of violence);
- Deception (concealing one's identity/ assuming a different identity for the story, using hidden cameras and microphones);
- Invasion of privacy;

- Stereotyping;
- Pack/cartel journalism (i.e. assigning someone to cover and write a story which everyone will submit to their media organizations with their bylines).

Synthesis

- How important are the media in promoting good governance?
- How can the media support citizen's monitoring of government's performance?
- What are the ethical considerations in reporting government's performance?

Readings

CommGAP Concept Note titled "Communication and Governance"

CommGAP Brief for Policy Makers titled "Public Sentinel: News Media and Governance Reform"

CommGAP (2008) Towards a News Model: Media and Communication in Post-Conflict and Fragile States

Servaes, Jan (2009) Communication policies, good governance, and development journalism. COMMUNICATIO Volume 35 (1) pp. 50-80

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Trainer's Guide

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Trainer's Guide

I. Organizing a Social Accountability Training

Organizers of a social accountability training need to decide on specific topics that are to be included in the training program. If previous workshops have been conducted, evaluation results from these trainings should be considered in designing the new modules. Attention should be given in customizing the modules to the organization, community, or country contexts of the participants. Ideally, context-specific information should be integrated in the learning materials that will be used in the actual run of the training. Training organizers should meet and coordinate with the prospective facilitators and resource persons to set and finalize the objectives, contents, and flow of the sessions. A training agenda should be prepared detailing the objectives, key contents, methods or process, outputs, and people in-charge for each session. This will be further discussed in the succeeding sections.

Criteria for Selecting Participants

Members from the citizen groups and government staff and officials are the primary target participants of a social accountability training.

Citizen groups would include the nongovernment organizations (NGOs), community-based organizations, citizens' organizations, trade unions, academic institutions, research and training organizations, and media practitioners groups.

A social accountability training also aims to bring in representatives from government bodies and structures, at the national and local levels, to participate in an engaging learning encounter with citizens groups.

Participants to a social accountability training from citizen groups and government institutions will be selected based on the following criteria:

Demonstrated leadership in the organization

The candidate must have clearly demonstrated leadership capacities in his or her organization in formulating policies, negotiating with stakeholders, and advocating innovative and creative solutions to governance issues. The prospective participant should also be able to continue in this leadership position for the next two years.

Clear commitment to people's rights and welfare

A candidate must have been recognized and acknowledged by the citizen groups or public offices they have worked with for his or her integrity and commitment to protecting people's rights and welfare. S/he must have demonstrated capacity and commitment to work with women, minorities, and other marginalized groups and sectors. The candidate should also be interested in going back to his or her area of work after the learning program.

Experience or interest in participatory governance

The prospective participant should have verifiable track record in promoting, facilitating, and/or advocating for active and substantive citizen participation in governance. S/he should have an interest and/or actual experience in creating and sustaining spaces for citizen engagement, facilitating the analysis and articulation of poor people's needs, and exacting accountability from government to ensure its response to the articulated needs.

Willingness and capacity to take part in the learning program

The candidate should commit to attend, participate actively, and finish the entire learning program. S/he should be able to secure the commitment and support of his or her organization in participating to the program in terms of allocating time, providing some resources for learning, and extending other technical assistance. Prospective participants should also have some familiarity or experience with the proposed learning methodologies for the program (including the face-to-face discussions, online learning, as well as the mentoring-coaching-exposure visits or MCEV process).

Commitment and ability to apply lessons in their work

The applicant should have a clear commitment or agreement with his or her organization to apply the lessons and insights gained from the learning program. Moreover, the candidate should be able to develop a project idea or proposal applying or mainstreaming social accountability approaches in his or her organization or network. Since sharing lessons from the learning program with their colleagues, community partners, and the public would be an expected output from the program, prospective participants should also have some basic skills in effective communication or facilitating learning processes.

Other criteria that can be considered when selecting participants for the training are as follows:

- Appreciable level of English proficiency (if English is the medium of instruction);
- Reasonable access to the internet (for the subsequent online mentoring and coaching); and
- The ability to translate learning or make adaptations in national languages and/or local dialects (to ensure that lessons will be shared and disseminated to their organizations and local stakeholders).

Training Needs Assessment¹

The training needs assessment (TNA) is a process wherein training organizers and facilitators gather information about the participants before the training begins. Specifically, a TNA gives the training organizers and facilitators the knowledge which s/he needs to:

- Design an effective learner-centered training that builds on the experiences and knowledge of the participants on good governance and social accountability;
- Prioritize and select topics based on the participants' learning needs and not on the preference of the training organizers and political actors; and
- Select or design appropriate training methods and learning approaches.

The TNA should be part of any regular learning and capacity-building program on social accountability. This should proceed from determining what the potential participants are actually doing in terms of engaging with government, what are the existing issues and gaps in knowledge and skills in their work, what are the existing learning or capacity-building processes and what have these provided in addressing the issues and gaps, and how can a training on social accountability address the remaining issues and gaps.

There are numerous ways of designing and conducting a TNA depending on the available budget, time, scope, and purpose of the training as well as on the participants' socio-political, economic, cultural, and organizational context. Some of the data gathering techniques commonly used in a TNA are survey, key informant interviews, and focus group discussion.

As mentioned above, a TNA for a social accountability training should cover the following attributes of an INDIVIDUAL participant:

- Socio-demographic information
- Level of knowledge, attitude, and skills on social accountability concepts and tools
- Perceived learning needs
- Preferred learning strategies

¹ Adapted from "The ART of Building Training Capacities in Community Forestry Development" published by the Regional Community Forestry Training Centre for Asia and the Pacific (RECOFTC) on February 2002 (<http://www.recoftc.org/site/index.php?id=551>)

- Preferred length and frequency of training delivery
- Experience in participating in trainings and other capacity-building programs related to social accountability
- Work experiences in engaging with the government and/or citizen groups.

Ideally, information about individual participants should feed into the process of developing the training modules. Workshop organizers, facilitators, and resource persons should have clear ideas of the participants' answers to the following:

- How does good governance come in to my work or to the attainment of my organization's objectives?;
- What have we attained in terms of advancing good governance?;
- How can social accountability approaches help improve our work?

Aside from the learning needs of individual participants, a TNA should also provide an understanding of the organizational context where the participants are coming from. The TNA should look into the thrusts and programs of the participants' organizations and their link to citizen's engagement for promoting good governance and civic engagement. This is particularly useful for the training organizers and facilitators to assess the potential for mainstreaming social accountability in organizational policies, programs, and ways of working.

Lastly, the TNA should help the training organizers and facilitators understand the participants' community and country contexts that are relevant to good governance and social accountability. These include:

- physical (i.e. geographic, ecosystems, natural resource base);
- socio-economic (e.g. social stratification, ethnicity, poverty, GDP);
- cultural (e.g. language, traditional political systems); and
- political/institutional contexts (i.e. governance system, policy framework on civic engagement and public accountability, decentralization).

A sample TNA survey form is attached as Annex 1. A survey may be more appropriate in assessing individual learning needs than organizational or community/country contexts. Qualitative research techniques could be more useful in gathering data about the latter. These research techniques include document research, key informant interviews, and focus group discussions. On the other hand, secondary data research may be enough to provide the necessary knowledge about the participants' country context.

Developing the Trainer's Agenda

A trainer's agenda is a detailed agenda containing: (1) the learning objectives of every module; (2) the

key lessons/content and the learning methods; and (3) instructions on how to deliver the training such as time allotment, materials, etc. A well-designed training agenda should:

- Focus on achieving the learning objectives in order to meet the training needs identified by the participants during the TNA;
- Follow the learning-in-action cycle from (1) “grounding” on the participants’ experiences and local context, (2) the acquiring of new knowledge, attitudes, and skills on social accountability, and (3) action planning to identify social accountability strategies that are feasible in their local context;
- Employ participatory learning approaches and techniques; and
- Plan out the training sessions in a manner that allows facilitators to energize the participants at the start of every training day and facilitate reflections and synthesis toward the end.

There are three samples of training agenda for you to choose from (Table 1).

Option 1 is a one-day appreciation course on social accountability (Annex 2a). This is often used to raise the awareness and appreciation of the participants on social accountability. It only requires minimum amount of time, financial, and human resources.

Option 2 is a three-day training workshop ideal for a comprehensive, capacity-building workshop on social accountability (Annex 2b). The length of

the training is neither short nor too lengthy for the participants to undergo the learning-in-action cycle (i.e. grounding, learning, application).

Option 3 is an intensive two-week training program on social accountability, which intends to provide the participants an intensive training from general to specific social accountability concepts, tools, and issues (Annex 2c). This is ideal for future trainers and leaders in social accountability. The organizers and facilitators may also opt to have a sectoral focus if the composition of the participants is homogeneous (e.g. natural resource managers, city engineers, health workers). With plenty of time, you can bring your participants in a study site outside the training venue where they can interact with people and observe how social accountability is practiced in a local setting. However, a two-week training would also require high level of financial, human, and technical resources and lengthy time to plan and organize. It may also pose some difficulties on the part of the participants to find time to attend.

Logistical preparations

The logistics would include deciding on the appropriate time and venue for the face-to-face workshop. Organizers need to plan for the physical arrangements in the proposed venue (layout of the chairs and tables, placement of projector and screen, translators’ and documenters’ tables, whiteboards, etc.).

Preparation of the training materials would require continuous coordination with resource persons. It would be helpful to prepare a list of these materials

Table 1. Three samples of training agenda, their advantages and drawbacks

Training Agenda	Advantages	Drawbacks
1-day appreciation course	<ul style="list-style-type: none"> -ideal in raising the awareness and appreciation of participants on social accountability -participants can get a little of everything without a long training -a good way to introduce social accountability to busy people like local chief executives and civic leaders -requires minimum amount of time and financial resources 	<ul style="list-style-type: none"> -will not provide depth in terms of learning content -learning methods may be limited to classroom-type of training -limited time to elicit active participation from the participants
3-day comprehensive course	<ul style="list-style-type: none"> -enough to facilitate grounding, learning of new content, and discussions on how to apply lessons learned -not too short to keep the participants from wanting to learn more; not too long that it will bore the participants or lead to information overload 	<ul style="list-style-type: none"> -may not be enough to learn new skills on social accountability -requires moderate to high level of human, financial, and technical resources -may not be enough to train future trainers who would like to specialize in social accountability
2-week intensive course	<ul style="list-style-type: none"> -ideal for future trainers and champions of social accountability -offers plenty of time to learn new skills and field applications -may allow facilitators and training organizers to conduct time-consuming activities such as field visits -may have thematic as well as sectoral focus 	<ul style="list-style-type: none"> -requires lengthy time to plan and organize the training -requires high level of human, financial, and technical resources -the training schedule may come in conflict with the participant's work schedule in their respective organizations

for each session. Presentations, guide questions, instructions for exercises, case studies, and reading materials may need to be translated to the national language of the participants before the training. Invitations and training design need to be drafted and sent out. The resource persons may require some special materials for their exercises or session activities.

Organizers may need to ensure proper coordination among resource persons and local experts, between resource persons and facilitators, and among the different institutions organizing the social accountability training. Evaluation instruments for each module and for the entire social accountability school should also be prepared.

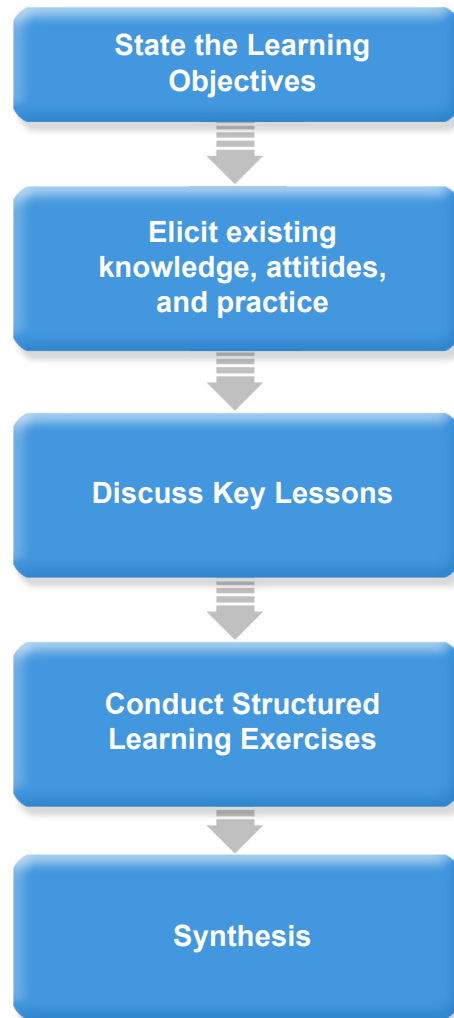
II. Facilitating a Social Accountability Training

Suggested Flow of Training Delivery

The facilitators should begin the training by clearly stating the *learning objectives*. In this way, the participants will have a feel of the range of the topics to be discussed. As much as possible, the structure of the discussion should follow the learning objectives. For this manual, the general rule is to define the concept or topic to be discussed, the importance or benefits of the concept/tool in relation to social accountability and good governance, the process of implementing the concept/tool, and the key issues and challenges that future social accountability practitioners may likely face.

After stating the objectives, all sessions should begin with a learning exercise to reflect on the participants' *existing knowledge, attitudes, and practice*. This can be in a form of a structured learning exercise (SLE) or just a simple small group discussion about their experiences. In this particular exercise, the facilitators should look for: (1) perceived gaps in the participants' knowledge; (2) preconceptions about the topic; and (3) problems encountered in practice.

The next step is to facilitate a discussion of the *key lessons* of the session. Make sure to highlight the core messages that you want to convey to your



participants. You can use powerpoint presentations, visual aids such as photos, flipcharts, and other presentation tools.

At various points in your presentation, you may feel the need to conduct SLEs. They are designed to improve the interests of your participants on the topic and to substantiate further what is being discussed. Learning exercises are also very important to facilitate a learning process that is learner-centered.

Every session should end with a *synthesis* of the discussion. Please take note that synthesis is different from a summary. You can also ask the participants to synthesize the discussion by posing some guide questions for reflections.

Role of the Facilitator

In the context of social accountability school, a facilitator is someone who walks the participants throughout the entire learning-in-action cycle, from grounding, learning, and application. This is different from a resource person who has to be an expert and have all the answers to all the questions.

In the social accountability school, the main role of the facilitators is to engage the participants in the learning process and draw out the lessons from the participants themselves. S/he may add value to what the participants know by sharing new lessons, good practices, and case studies. But the main driver of the learning process should be the interest, motivation, and active participation of the participants and not of the facilitator.

A good facilitator is someone who...

- Listens most of the time to experiences, inputs, and problems of the participants;
- Support the participants to share experiences and learn themselves;
- Ensures equal participation and mutual understanding; and
- Provides new knowledge and skills to help the participants make better choices and not to impose or dictate decisions on them.

S/he should possess the following²:

- a) Basic attitudes for working with others
 - Empathy
 - Interest
 - Unconditional positive regard
 - Unconditional trust in group potential

- b) Interpersonal communication skills
 - Observing and listening
 - Asking and answering questions
 - Probing
 - Paraphrasing
 - Encouraging dialogue
- c) Group-centred skills
 - Trust and confidence building
 - Provide and receive feedback
 - Encourage full participation
 - Building group dynamics and team work
 - Monitoring group roles and stages
 - Promoting mutual understanding
 - Fostering inclusive solutions
 - Support problem solving
- d) Planning skills
 - Assist in realistic agenda setting
 - Suggest meeting process
 - Monitor meeting process
 - Support action planning
 - Support, monitoring and evaluation

² Source: "The ART of Building Training Capacities in Community Forestry Development" published by the Regional Community Forestry Training Centre for Asia and the Pacific (RECOFTC) on February 2002 (<http://www.recoftc.org/site/index.php?id=551>)

III. Evaluating the Social Accountability Training

In any training evaluation, the training organizers should answer the following questions:

- Why evaluate?
- What/when to evaluate?
- Whom to evaluate?
- How to evaluate?

Why evaluate. A training evaluation is conducted to know if the goals and learning objectives of the social accountability training have been met. This will also provide feedback about the effectiveness of the learning methods, facilitators, and resource persons. Hence, a training evaluation is important to draw out information that will be useful for improving the effectiveness and efficiency of the training.

What/when to Evaluate. The training evaluation can cover various levels of training outputs and outcomes. The lowest level is the changes in knowledge, attitudes, and practice at the individual level. It would depend on the training organizers if they are interested to evaluate how these changes in the participants' knowledge, attitudes, and practices will translate to positive changes at the organizational and community level. The levels of evaluation will also determine the proper timing to do the evaluation. For instance, the facilitators can evaluate the learning gains of individual participants at the end of every training module. If the training organizers are interested to know the feedback of the participants on the overall design of the training program, the evaluation should be done when all the modules are finished. You may have to wait for

months or even years before the learning gains of the participants influence organizational processes and create impacts on the overall goal of good governance.

Whom to evaluate. A simple training evaluation would focus on the training participants as the primary target group of evaluation. But in cases where a more comprehensive training evaluation is needed, the target groups of evaluation may also include the resource persons, facilitators, training organizers, and even the participants' organizations and institutions.

How to evaluate. There are various ways to evaluate a training program. The most common evaluation technique is the survey where the participants are asked to answer a questionnaire about the new knowledge, attitudes, and skills that they gained from the training (see Annex 3 for an example). Other unconventional evaluation techniques are found in the box below.

Table 2 shows a sample matrix of the information that can be collected in a training evaluation. This may vary from one organization to another depending on the purpose and scope of evaluation.

Table 2. Sample Training Evaluation Framework.

Level/when	What	How
Individual/during the training	<ul style="list-style-type: none"> • Feedback on specific topics and methods • Measures or gains or change in knowledge, attitude, and skills 	<ul style="list-style-type: none"> • Daily monitoring or feedback activities • Observations • Group or individual assignments
Individual/at the end of the training	<ul style="list-style-type: none"> • Measures or gains or change in knowledge, attitude, and skills • Relevance of the overall learning objectives • Feedback on the overall menu of topics and methods 	<ul style="list-style-type: none"> • Conventional questionnaire • More creative methods
Individual/at the job 2-3 months after the training	<ul style="list-style-type: none"> • Relevance of the training experience • Measures of use of learning • Measures of change of behavior 	<ul style="list-style-type: none"> • Interviews • Observations • Questionnaires

Table 2. Sample Training ... (continued)

Level/when	What	How
Organizational/1-2 years after the training	<ul style="list-style-type: none"> Measures in organizational change (e.g. changes in policies, thrusts, strategies, ways of working, programs, etc.) 	<ul style="list-style-type: none"> Interviews Focus group discussions
Impacts on overall goals of good governance and social accountability/2-3 years	<ul style="list-style-type: none"> Assess how the organizations helped in creating an enabling environment for social accountability Assess how the organizations contributed to promoting more accountable, responsive, efficient, and effective government (e.g. improved services and better development outcomes) Contributions to promoting a more constructive civic engagement in the community or society. 	<ul style="list-style-type: none"> Can only be done as part of a wider impact assessment of the organizations

Source: Adapted from "The ART of Building Training Capacities in Community Forestry Development" published by the Regional Community Forestry Training Centre for Asia and the Pacific (RECOFTC) on February 2002 (<http://www.recoftc.org/site/index.php?id=551>)

Ideas for unconventional training evaluation methods and techniques

1. Evaluation Collage

Using newspapers, magazines, drawings, and/or found objects, groups create collages to express their ideas and feelings about an evaluation question, which the trainer provides. For example: what lesson/activity in the training do you find most useful?

2. Metaphors to capture learning and/or change

Group or individuals can choose an object (either from the objects provided or their own drawings) and use this object to describe some aspect being evaluated. For example, participants could be asked to choose a plant and describe how their experiences in the training are similar to that plant. They may speak of it flowering, or they may speak of it withering because of insufficient nurturing. The trainer can then ask questions in relation to the participants' responses.

3. Label parts of self that have changed

Ask participants to make a simple drawing of a person on one or two flip charts. They will then label parts of them that have changed. For example, perhaps they listen more and would therefore somehow highlight the ears (make them larger, use a bright color, etc.). Perhaps they have a new understanding or a concept so they would highlight or label the brain and list or say what the change has been.

4. Use various forms of creative expressions

Ask groups to express their feelings and ideas about a question using culturally acceptable and familiar forms of creative expression (the facilitators should decide ahead of time whether the group/s would be creating a collage, developing and presenting a drama, etc.). Possible question: how has the training changed you?

5. Dear trainer: invite participants to write a letter to you

At the end of the training, invite every participant on an individual basis to write an informal and short letter (may be unsigned or unnamed) about their feedback on the training. They could focus on the training content, method, or facilitator. The facilitator will give a summary of letters and give reactions to the feedback and suggestions of the participants. This method often provides valuable feedback as people express themselves more openly in a letter than they would do orally or through a questionnaire.

Source: "The ART of Building Training Capacities in Community Forestry Development" published by the Regional Community Forestry Training Centre for Asia and the Pacific (RECOFTC) on February 2002 (<http://www.recoftc.org/site/index.php?id=551>)

IV. Mentoring, Coaching, and Exposure Visits (MCEV)

MCEV is a combined learning strategy that aims to take the learning process from a classroom-based type of learning to a cross-country, field-based, and mediated mentor-mentee learning process. As the acronym implies, MCEV is constituted of various learning strategies: mentoring, coaching, and exposure visit.

In the context of the “Program to Enhance Capacity for Social Accountability” (PECSA) in Cambodia, the mentoring and coaching learning strategies have focused on the joint development of a project proposal on social accountability wherein the mentors from the Philippines and India provided technical assistance and continuous mentoring

to the participants in Cambodia. The mentors and mentees used online technologies; however, it should not prevent future training organizers to explore combining online with face-to-face mentoring strategies. An example of a project that makes use of a blended learning approach to facilitate mentoring is the Mentoring Program of Oxfam Great Britain-East Asia and ANSA-EAP. This learning program combines regional training workshops with online chat, blogging, and social media to assist Oxfam country teams to develop project ideas on social accountability.

The exposure visit, on the other hand, aims to add value to the participants’ knowledge by bringing-

in real-life accounts of citizen groups from other countries that have demonstrated success in doing social accountability work in their locality. In the case of PECSA, six participants coming from various citizen groups in Cambodia visited the Philippines to interact with the members of the Concerned Citizens of Abra for Good Government, a community-based organization who have been actively engaged in monitoring government projects in the Province of Abra.

In a broad sense, MCEV aims to accomplish the following objectives:

- Deepen the participants' conceptual understanding and know-how in selected topic for the project proposal on social accountability (mentoring and coaching);
- Guide the participants in crafting a sound and feasible project (mentoring and coaching);
- Provide direct exposure to on-the-ground and tested social accountability practices from other localities within the participants' country or from other countries (exposure visit); and
- Facilitate reflection on the applicability of social accountability practices (MCEV).

Organizing a mentoring and coaching program

1. **Set the learning objectives of the mentoring and coaching.** The objectives should clearly define how mentoring and coaching will add value to what the participants learned from the other learning strategies in the social accountability school (i.e. face-to-face training and exposure visits).

2. **Identify the mentors/coaches and match their expertise with the learning needs of the participant/s that s/he will mentor.** If the objective of the mentoring and coaching is to help the participants develop a feasible and technically-sound proposal, the mentors should have the expertise and experience in doing similar social accountability projects.
3. **Orient the mentors/coaches and the participants on the learning strategy.** A general orientation on mentoring and coaching as learning strategies should be given to both the mentors and mentees. This should deal with the nature of both modalities, how different they are from the usual face-to-face mode, how they could effectively complement the other learning modalities, what the responsibilities or roles of those in a mentor-mentee relationship are, what the common issues or problems encountered in the mentoring/coaching process are, and how can such problems be addressed.
4. **Develop a detailed mentoring schedule and agenda.** Mentors should develop a detailed mentoring schedule which includes the number of hours allotted for chatting, submission of discussion outputs, viewing of videos, and other online activities. They should also develop a detailed mentoring agenda, stating clearly the learning objectives of mentoring, the activities set for analyzing the context as well as the exemplars and sound practices that will be shared to the participants.

Roles of the Mentor-Coach

The Mentor is a key resource in facilitating the learning experience of the participants during

the MCEV process. The mentor is responsible for delivering a customized and responsive learning process and content. Specifically, they oversee and guide the designing and implementation of a mentoring program by working closely with the participants under their care. The following are the specific tasks and responsibilities of the mentors-coaches:

1. Provide a mentoring syllabus consisting of the following:
 - Contextual analysis
 - Conceptual handle
 - Exemplars and sound practices
 - Project management
2. Conduct online mentoring to help the participants prepare a sound and feasible project proposal (in the case of PECSA, the mentors allotted a total of 30 hours/month for online mentoring activities).
3. Prepare and conduct a two-day interaction with the mentees. The workplan and schedule may include a visit to appropriate citizen groups and government offices in other cities/municipalities or countries.
4. Serve as member of the review panel during the presentation of individual project proposals.
6. Help design an appropriate assessment protocol and tool for the MCEV program.
7. Submit a brief progress report and evaluation report.

The mentor shall deliver the following:

- Syllabus
- Lesson plan/schedule of activities
- List of learning materials
- List of organizations and offices to visit
- Visit agenda
- Progress reports
- Evaluation report (in the case of PECSA, this includes the certificate of approval of project proposal)

The mentor is given the flexibility to allot the necessary number of hours for each phase of the mentoring and coaching process and this will largely depend on the mentor's assessment of the mentee's readiness and capacity to adapt the learning interventions.

Exposure Visits

In organizing an exposure visit, the main task of the organizing team is to identify a citizen group with extensive experience in social accountability and is willing to share their experiences with citizen groups from other countries. The citizen groups that will host the visiting participants will execute the following responsibilities as part of their scope of work:

1. Orient the MCEV participants on the host citizen group's history, organizational setup, advocacy and monitoring programs, volunteer management, networks and linkages, accomplishments and challenges, among other things that define their work in social accountability.

2. Organize a visit to social accountability projects sites.
3. Set up a community dialogue with one of the host citizen group's partner communities to have a discussion on citizen engagement on relevant governance/development issues.
4. Arrange all logistical requirements of the visiting participants in the social accountability project sites including transportation, meals, accommodation, venue of activities, and communication with concerned organizations and offices.
5. Coordinate with the MCEV organizing team the preparations for the exposure visit.
6. Submit a brief narrative and photo documentation report of the exposure visit, including all

presentation and reference materials used during the visit.

7. Provide feedback about the entire exposure visit.
8. Ensure security and safety of the visiting participants.

The partner organization for the exposure visit shall deliver the following outputs:

1. Plan of the activities during the exposure visit (activities, objectives and target results)
 - A. Program of Orientation
 - B. List and location of projects to be visited
 - C. Program of Sharing-Discussion with a partner community
2. Narrative and Photo Documentation Report

V. Building a Community of Social Accountability Practitioners in East Asia and the Pacific

ANSA EAP's learning and capacity building initiatives on social accountability hopes to provide an impetus for the creation of a community of social accountability practitioners in East Asia and the Pacific. ANSA EAP recognizes the potential of networks as channels and key agents of mainstreaming social accountability within the policies, programs, and ways of working of citizen groups and government agencies in the region. The idea is to equip select individuals with the necessary knowledge, attitudes, and skills and build their capacities in communicating and advocating what they learned to a wider community of civil society in their respective localities and countries. In more

concrete terms, participants who have undergone learning and capacity building activities or processes are in the better position to:

- Identify and map existing networks of citizen groups in their respective countries;
- Build an in-country network of networks for social accountability and setup organizational structure called the Conveners Group;
- Develop and implement a work plan outlining the social accountability strategies and methodologies;

- Create spaces for mainstreaming social accountability through partnership and coalition-building, imbedding of social accountability practices in local programs through piloting of initiatives, and continuous knowledge sharing of sound practices and results; and
- Replicate capacity-building initiatives on social accountability such as the social accountability school and MCEV in their respective localities/countries.

However, both learning and networking are not linear processes in which one follows the other. The arrangement for mainstreaming social accountability would still depend on the specific circumstances of a locality or country. In fact, different configurations of learning and networking occurred in the four EAP countries where ANSA EAP is working on. These countries are Cambodia, Indonesia, Mongolia, and the Philippines.

Cambodia. ANSA-EAP's work in Cambodia began when it conducted three runs of the social accountability school for the World Bank's PECSA. This partnership with WB/PECSA has good strategic value for ANSA-EAP's operations in Cambodia as it helped in the process of identifying key actors in the field of social accountability and provided a jumping-board for viable activities to keep their interest and participation. The learning component led to a partnership with Star Kampuchea, a network of citizen groups in Cambodia, which paved the way for the development and implementation of a work plan. Some of the accomplishments of partnership in Cambodia include the continuing liaison work with 120 citizen groups and 37 government agencies/offices, continuing run of a radio program on social

accountability, and mentoring/coaching of partner citizen groups that have ongoing governance or social accountability initiatives.

Note, however, that the different key stakeholders are still loosely organized and have yet to be formalized as a Conveners Group. Planning and coordination are still centralized within the key network partner, which is the Star Kampuchea.

Indonesia. Unlike in Cambodia, ANSA EAP's work in Indonesia started with the formation of a Conveners Group in Java and in Sulawesi. The Java Conveners Group is composed of eight strongly committed citizen groups based in the island of Java. The Indonesian country office of the World Bank, specifically the Anti-Corruption Unit, has pledged funding support to its social accountability program. In Sulawesi, ANSA EAP partnered with YASCITA, a broad-base media and environmental organization, by providing a short learning course on social accountability. The partnership subsequently drew in seven other organizations in Kendari City interested in monitoring government allocation and performance in terms of providing environmental management and basic public services.

Mongolia. Similar to the configuration of the learning-in-action program in Indonesia, ANSA-EAP's operations in Mongolia began with the establishment of the Mongolian Conveners Group. Also called as the Partnership for Social Accountability, it is composed of nine citizen groups all working on various governance and development issues in Mongolia. Its main partner in resource mobilization is the Mongolian country office of the World Bank. The Mongolian Conveners Group will be in charge of initiating capacity-building activities in close coordination with ANSA-EAP and the World Bank.

Philippines. ANSA-EAP has partnered with the Transparency and Accountability Network (TAN) and the North Luzon Coalition for Good Governance (NLCGG). TAN is a network of CSOs advocating constructive civic engagement to promote transparency and accountability in the government. Some of the accomplishments of ANSA-EAP's networking efforts in the Philippines include the continuing liaison work with civil society networks, government agencies, media, and the World Bank; conduct of a social accountability introductory

training course for various sectoral groups; and technical and manpower assistance provided to TAN.

The NLCGG, on the other hand, is a group of NGOs, community-based organizations, church-based groups engaged in monitoring local public services in the northern part of the Philippines. It includes the Concerned Citizens of Abra for Good Governance (CCAGG) which was among the few citizen groups that pioneered the social accountability approach in the country.

Trainer's Guide

Structured Learning Exercises

Exercise 1.1 Governance Circles

Learning Objectives

At the end of the exercise, the participants should be able to share their ideas of good governance with their co-participants and training facilitators.

Method

1. Prepare at least five thought-provoking statements or keyword/s about governance issues. If the participants speak the same native language, you can use local constructs on governance.
2. Ask the participants to form two concentric circles, facing each other, and to move around in opposite directions.
3. After a few seconds, ask them to stop and pair up with the person standing opposite them in the other circle. You can use music to signal when it is time to move around and when to stop.
4. Read out a statement on governance issues and ask the participants to talk about it in pairs for about one minute for each statement or keyword/s. If the participants speak the same native language, allow them to speak on their mother tongue.
5. Ask them to move around again and repeat the exercise until they have talked about all the statements.

6. Ask participants to form a large group again and get 3-5 participants to make a comment on the exercise.
7. Relate their post-activity reflections to the learning objectives and key lessons of the session.

Time Requirement

Approximately 10-15 minutes

Exercise 1.2 The RICE Exercise (Role, Interest, Contribution, Effect)

Learning Objective

At the end of the exercise, the participants should be able to:

- Identify the stakeholders involved in achieving good governance; and
- List down their roles, interest, contribution, and effect to good governance.

Method

1. Group the participants into two groups. Ask the two groups to identify as many stakeholders as possible which they think has a role to play in achieving good governance. The first group will identify stakeholders within the GOVERNMENT while the second group will identify stakeholders within the CIVIL SOCIETY. The goal is to make the participants realize how varied stakeholders are both in the realms of government and civil society.

- In a brown paper, ask the participants to write down the roles, interest, contribution, and effect of these stakeholders to good governance. Answers to each category should be written in a short and concise manner.

Roles - What is/are the roles of the stakeholder in promoting good governance?

Interest - What is the stakeholders' primary interest? What is at stake?

Contribution - What are they doing to promote good governance?

Effect - What is the effect of their contribution to good governance? If they are not doing their roles properly, what are the negative effects of their "misdeeds"?

The participants may follow a template like this:

Stakeholder	Roles	Interest	Contribution	Effect

- Ask each group to share their outputs to the whole group.

Time Requirement:

Approximately 30 minutes for the group work, 10 minutes for the presentation (5 minutes each group), and five minutes for the discussion and reflection.

Exercise 1.3 Creating a Better World Exercise

Learning Objectives

At the end of the exercise, the participants should be able to:

- Identify principles and values that guide a better way of living; and
- Link these principles and values in solving ethical dilemma in governance.

Method

- For a big group (15-20), divide the participants into two groups. Each group will act out a scenario below:

The participants will be transported to a new planet to create a new society. To accomplish this mission, they need to think of principles and values that will guide the new society that they will create. They will do this without prior knowledge of their past life on earth.

- Think of a creative way to present the principles and values following the scenario. It does not have to be exhaustive since they will be working on a limited time (a maximum of 10 minutes to prepare and 5 minutes for the presentation).
- Take note of the principles and values that will transpire from the presentation. As a trainer/facilitator, you have the option to classify them as either internal (from the self) or external (from the outside world). See examples below:

From Within You	From the World
-personality	-family
-character	-school
-attitude	-community
-worldview	-church
-skills	-workplace
-knowledge	-organization
-values	-society

4. Link these principles and values to the discussion of ethics and dilemma.

Time Requirement:

Approximately 30 minutes

Exercise 1.4: Anecdotes on Ethical Leadership in Governance

Anecdote 1: The Case of the Missing Couple

Two UP students from rich families had been kidnapped. The couple, Coco and Roxie, was abducted by armed men while having snacks in an eatery in Quezon City. Chief Inspector Ricardo de Guzman, Chief of Police of Quezon City immediately organized a task force that would investigate the sensational case.

In the following weeks, the task force followed various leads. As if their efforts were not enough, other investigative bodies soon joined in the search for the missing couple, whose families and friends exerted pressure on the government to help find them.

With so many organizations and people involved, the case dragged on. The couple's loved ones began losing hope of ever finding them alive. Not a single word had been received from the abductors. If this was a case of kidnap-for-ransom, surely the kidnappers would have contacted the victims' families a long time ago.

One day, Chief Inspector de Guzman got a call from one of the investigating bodies involved. Its Director had called a press conference, tagging members of the Quezon City Police as suspects in the kidnapping case, based on eyewitness accounts. The Chief was aghast at the accusation. He knew his men well. They worked hard to fulfill every mission given them. He was sure that they did not have the motive to kidnap two students. In fact, they were following a hot lead that pointed to members of the police force from a big province North of Manila as the masterminds of the abduction. How come the tables were being turned against them?

The next day, the Quezon City Police was ordered to desist from involving any further in the investigation. Four of Chief de Guzman's men were charged and detained, along with other suspects who were tagged as their cohorts. The Chief was fuming mad over this development. Whoever insinuated the Quezon City Police Force's involvement in such a heinous crime surely wanted to destroy its image and credibility. Chief de Guzman knew that he and his men have made a lot of enemies in the past because of their tough campaign against syndicated vices. Could it be that one of them was behind all this grand scheme of lies and deception?

After a few days, Chief Inspector de Guzman was called to the NAPOLCOM (National Police

Commission) office. There, the NAPOLCOM Chairman warned him against showing or stating any support for his men, especially now that all the major dailies in the country had begun running stories of the possible involvement of the Quezon City Police in the kidnapping case.

“Everybody would take you for a coddler of scalawags in uniform if you show any support for them. You should call a press conference immediately to denounce the acts of these suspected criminals,” barked the NAPOLCOM Chairman.

“With due respect, Sir, I believe that my men are innocent. Unless I have hard evidence against them, I will continue denouncing the act but not my men. In fact, Sir, they were following a hot lead that could lead us to the real masterminds just before they were thrown into prison,” Chief de Guzman answered firmly.

Enraged by the Chief’s reply, the NAPOLCOM Chairman lost no time in threatening him with immediate relief as Chief of Police.

“If you do not follow my orders, then take this as the end of your career in the police force. Think about it, your career or your blind loyalty and concern for your men,” muttered the angry NAPOLCOM Chairman under his breath.

There was a long silence as the two men stood facing each other, one waiting for the other’s next move. The NAPOLCOM Chairman left the room unceremoniously, leaving the Chief to ponder on what option to consider. He could do as the NAPOLCOM Chairman ordered and keep his position as Chief of Police of Quezon City. His men, innocent

though they may be, would languish in prison and their families would go hungry. If he refused to obey the Chairman’s orders, he would surely lose his position, get bad publicity, but his men would forever be thankful for his unwavering support to them. “If only somebody, somewhere could lead us to the real masterminds behind this crime...” he silently wished.

Chief Inspector de Guzman closed his eyes and uttered a short prayer for guidance in solving his dilemma.

Anecdote 2: The Vice-Mayor’s Wrath

Senior Inspector Bing Magadia was enjoying his afternoon snack of coffee and chicken pie with his buddy, Inspector Marcelo when his cellphone rang. There was a traffic altercation at Garcia Avenue he was told and that gunshots were heard from the scene. Bing took a last big bite from his empanada and a quick gulp of his coffee before standing up.

“Mar, we have to go. There has been an accident at Garcia Ave. There’s a shoot-out” he said. The two took off in their old and battered police car, siren blasting off. Arriving at the scene, they found a young man aboard a silver Honda Civic car, bleeding to death from a wound at the temple. Another vehicle, a black Ford Expedition van was rammed against the car’s right side. The Expedition was empty. Bystanders were milling about, talking excitedly about the incident.

“Sir, that man was shot by a man and ran to that direction” said a cigarette vendor who was looking on. Bing asked his buddy to radio for help for the dying victim and to gather information from witnesses. He, on the other hand, peered inside the

Expedition to look for any identification or evidence. He opened the door to the passenger's seat and looked in every corner of the vehicle for anything that might be of help. Soon enough, he found a gun, carelessly thrown onto the floor of the van's backseat. He took his handkerchief and picked up the gun. "This could be an evidence," he told himself. He searched for other documents or things inside. He found the keys which the driver left in his hurried escape.

Soon an ambulance and some back-up forces came. Bing quickly instructed them to attend to the victim and to the witnesses before cleaning up the scene.

Bing was appointed as head of the Traffic Management Unit of Talisay City, a huge city South of Manila barely a month ago. It has been relatively smooth sailing for him although minor accidents happened everyday. He could use some challenge, he told himself then. He needed something that could bring out the best in him. Three years in the police force after graduating from the Philippine National Police Academy (PNPA) has not dampened his spirit nor killed his idealism. If anything, it has made him more eager to make a difference in the police force. Patience, he told himself.

Back at the police station, Bing was waiting for the report which his buddy, Mar was preparing with the help of a witness who was narrating the events to him. Bing was looking at the gun that he picked up from the van and which he placed in a plastic bag. It was an expensive gun, he thought. Whoever owns it is surely moneyed and privileged. The phone rang and Bing stood to answer it.

"Hello, Talisay Police Headquarters. May I help you?" he politely uttered.

It was the Vice-Mayor.

"Yes Ma'am? Yes, this is Senior Inspector Magadia. We just arrived from Garcia Ave. to investigate a traffic altercation. It was a black Ford Expedition and a silver Honda Civic car, Ma'am. The driver of the silver Honda Civic was pronounced dead on arrival at the hospital."

As he hung up, Magadia was wondering why the Vice-Mayor was interested in the case. He had met the lady a couple of times in official functions. She seemed nice and kind although he has not had the chance to have a conversation with her.

The answer came a few days after as they established the identity of the driver of the black Expedition. The young man, twenty years of age was a nephew of the Vice-Mayor. He was a resident of Manila and the son of the Vice-Mayor's sister. The gun that Bing found at the van's backseat gave positive results from the paraffin test. Worse, the gun was unlicensed and the young man has not been found.

Bing got another call from the Vice-Mayor. She wanted to know if a gun was found at the scene. If they did, would they tell her where it was and who was holding it?

Bing felt a surge of adrenaline in his body.

"We have established the identity of the suspect, Ma'am," he said firmly. We had the gun tested and it yielded positive results."

The Vice-Mayor hung up.

Another call from her came a few hours after.

“Magadia, I am asking you to cooperate with me. Yes, the boy is my nephew and he accidentally killed the young man. But it was not intentional. He only came here for a visit. He is such a nice young man and he has a bright future ahead of him. Give me the gun, Magadia. I will help you get a good assignment, perhaps a promotion,” said the lady Vice-Mayor sweetly, trying to sound convincing.

Bing Magadia could hardly speak. He could not believe that he was hearing this from a nice woman like the City’s Vice-Mayor. When at last, he found the guts to speak, all he could say was, “Let me think about it, Ma’am.”

In the next few days, Magadia worked hard to prepare the case against the Vice-Mayor’s nephew. There was a strong case against him because of the gun and the testimony of the witness. “I wanted a challenge, now I have got one,” Magadia told himself. He knew that the Vice-Mayor was after him. But he also wanted to stick to his ideals, to prove himself to prove to everyone that not everyone in the police force was a scalawag.

The calls from the Vice-Mayor became frequent. She was demanding that the case be dropped and that the gun be surrendered to her. She promised him money and a juicy assignment. She threatened to have him thrown out of the city and out of the police force if he did not cooperate. Not long after, Bing got another call, this time from the Mayor. He was urging him to do as the Vice-Mayor ordered. He told him of the possible consequences.

Bing Magadia could not sleep that night. He was thinking of the money and the juicy assignment that the Vice-Mayor promised him. On the other

hand, he remembered the victim’s bloodied face, life ebbing quickly from a gunshot wound on his temple – all because of a traffic altercation. Would he hold on to his principles and ideals? If he did, how would he face the Vice-Mayor’s wrath?

Anecdote 3: The Media Man’s Threat

The atmosphere in Metro Manila and all over the country was euphoric. The People Power Revolution had succeeded. It was a shining moment for Filipinos. The Armed Forces, the Police, the Civilians - all were united, with the spirit of nationalism burning deep in everyone’s heart and mind. The dictator had been ousted from power. Suddenly, Filipinos could dream of a brighter future.

Senior Inspector Abraham Villanueva was among the millions of Filipinos who were ecstatic over the prospects of a better life for everyone in this country. Like the others, he remained hopeful that Ninoy’s widow could lead everyone to a fresh start towards peace and progress.

Not long after, the country’s future began to take shape as the national leadership started to clean up what remained of the dictator’s mess. Quezon City got a new Officer in Charge (OIC) who acted as Mayor. To prepare himself and his organization for the long haul, the OIC formed a committee to undertake the selection of key persons who would occupy sensitive positions in his local government. One of these was the Chief of Police.

Senior Inspector Villanueva considered himself an unlikely candidate. Rumor had it that he had been disqualified because he was an Ilocano. In those days, it was common for Ilocanos to be branded as

Marcos loyalists, and anything or anyone associated with the former President was met with disdain. Furthermore, he was the most junior and the youngest of the "probables".

As fate would have it, Senior Inspector Villanueva was named as the new Chief of Police of Quezon City. During the turnover ceremonies, the new Chief expressed his commitment to the ideals of the new government. He vowed to work with the OIC and his men to promote peace, freedom and unity in the City and in the country. Chief Villanueva could never forget how the people applauded after his brief remarks.

The Chief's first few days in office were hectic – meetings, planning sessions, and orientations occupied most of his time. He made an agreement with the OIC that they would clean up the city of syndicated vices, especially now that there was a moral recovery program in the country.

"So far so good," he told himself one lazy morning. Crime rate was low, with only a few petty incidents reported. Nightspots featuring unwholesome shows had been shut down. "People power must have truly awakened the people's love for their country and their fellowmen," he thought to himself.

One day, Chief Villanueva was surprised by the unexpected arrival of an influential nightclub operator and gambling lord, with a famous media personality in tow. Though feeling a little uneasy over this little bit of surprise, the Chief entertained the two guests warmly.

The two visitors lost no time in discussing their business with the Chief.

"Chief, it seems like you're crossing the borders with your campaigns against nightclubs.

"Sir," replied the Chief, "We're just doing our job. This is the promise we made to the people."

"Be careful with your words and actions, Chief. I am a media personality. I can make or break you," boasted the other man.

"You're just a new comer here. You should learn how to deal with us" said the media man while looking the Chief straight in the eyes.

Chief Villanueva's face turned pale. He knew he had done nothing wrong. How come these two influential persons were confronting him as if he was a criminal?

Seeing Chief Villanueva's expression, the nightclub operator cooled down and spoke to him in a low voice.

"Okay, I can let go of my nightclub operations because I know you have to impress your boss. I just have one little favor to ask from you."

There was silence as the Chief and the media man eyed each other warily while the nightclub operator cleared his throat.

"Uhhm, Chief, we are planning to operate a casino somewhere in your area of jurisdiction. Since you have shut down our nightclub operations, I think it would be fair to let us find other means of earning.

We would appreciate it if you gave us your blessing. Don't worry, I will give you a share," spoke the nightclub operator convincingly as he winked at the media man. Both men smiled.

Chief Villanueva could feel the anger rising in his chest. He took a deep breath. He took a handkerchief from his pocket and wiped off the sweat on his forehead.

"The Mayor and I have an agreement to keep this place free from vices," he said uneasily, his voice quivering.

"If you refuse, I promise to give you bad publicity in my column," said the media man menacingly, "That will be the end of your career in the police force. What we're asking you is just simple. You will get a big share"

Chief Villanueva thought of his family who lived in a small apartment in a nearby province. This man's offer will be of great help to them. And what of this media man's threat? He knew how powerful the media has been – to make or break him. But what they were asking was, for him, too much. It meant compromising his principles and breaking his vow to the OIC-Mayor and the people. Would he remain true to his commitment or would he succumb to the threats of these persons of dubious character?

Exercise 2.1: Thumb Exercise

Learning Objective

At the end of the exercise, the participants should be able to illustrate that the assumptions peacebuilders bring to a situation will directly affect the kind of processes they design.

This exercise is fun and energizing and never fails to get everyone involved. Because many participants will make false assumptions about the exercise, some will be upset with the "messenger" unless you give precise directions.

Method:

1. Ask everyone to stand and face a partner.
2. Tell the teams you will be demonstrating a "thumb exercise." Say explicitly that "the object of the exercise is for each person to get as many points as possible." (Do not say "thumb game"; that could imply winners and losers.)
3. With another trainer, hold up your right hands, locking the fingers of your right hands together with your thumbs touching.
4. While demonstrating, explain that to get one point, you must press down your partner's thumb. Your partner gets a point by pressing down your thumb.
5. State that each team will have exactly thirty seconds.
6. State, emphatically, two very important rules:

- Partners may not talk to one another.
 - Partners may not hurt one another.
7. Without further discussion or questions, say, "Ready, set go" and begin timing. Most teams will struggle trying to get one or two points per person, assuming that they must compete with one another for points. Usually, however, at least one team will begin to cooperate and quickly get twenty-five to thirty points each in the allotted time. If you do not see anyone doing this, a team of leaders who know the exercise can get the points.
 8. Call "stop." Ask those who got at least two points to raise their hands. (Several will probably have this many.) Then ask for five, ten, or more. As those who scored high to share their "secret" with the group. Although the leader never states that the exercise is competitive, those who make this assumption will not get as many points as those who assume that the exercise can be cooperative.
 9. Close this session with a reminder of the importance of the assumptions we all bring to the processes we design and employ to deal with conflicts. Mediators who assume that people are not capable of making their own decisions soon move to arbitration. When interveners assume they have the right answers or best approach to a conflict situation, they may find their excellent suggestions rejected because their process was not acceptable

Time Requirement
30 minutes

Exercise 2.2: The "Hand Tangle"

Note to Facilitator: This activity can be physically demanding and is not appropriate for many persons with physical handicaps. Each group may be composed of 6-9 persons.

Learning Objective

At the end of the exercise, the participants should be able to identify the values necessary in resolving a conflict.

1. All participants form a circle.
2. Stretch out your hands toward the center of the circle, move forward, and each person take a hand of two different people. You may not hold the hand of the person standing next to you.

Note to Facilitator: Pause to check that all groups are accurately "connected".

3. Each group should slowly and carefully "unwind" and form a single circle without letting go of one another's hands. It is all right to turn backward or even have crossed arms in the finished circles.

Note to facilitator: Some groups may end up with two separate circles, and some may not be able to succeed. The facilitators may assist groups still working to unwind.

Processing:

While still standing, process the exercise, asking how each group accomplished forming its circle.

(Responses may include “We all needed to change position,” “We used outside assistance,” “We had to cooperate,” and so forth.)

Compare these responses to those needed to begin resolving a conflict. Especially if you have an “unsuccessful circle,” remind the group that some conflicts cannot be settled by negotiation or mediation.

Time Requirement:

30 minutes

CASE STORIES ON COALITION BUILDING

Case story 1

A coalition of citizens’ groups working on urban poor concerns has been engaging with the head of a government’s housing agency who used to be from the civil society sector herself and in fact led one of the member NGOs in the coalition. Maximizing the space opened up by the entry of their former colleague into government service, the coalition has been monitoring the work of the agency and the effectiveness of its housing program for the poor. Engagement between the coalition and their former colleague has not been completely smooth however, especially since the latter started office and began knowing the intricacies of the reform agenda inside government. The housing chief started emphasizing this during dialogues with her former colleagues in civil society. Coalition members began seeing such positions of the housing chief as signs that she was “selling out” and that she was slowly being influenced by perspectives of the bureaucracy.

A contentious issue has been the findings and advocacy of the coalition that delivery of quality housing services to the poor is being hampered by existing legal and policy frameworks of government. The housing chief has repeatedly emphasized the fact that such policy reform is simply beyond her mandate and powers. Despite such tension points and challenges, engagement between her and the civil society groups have continued. Come election time, the housing chief suggested to the coalition to do a monitoring of the presidential candidates’ positions and performance on the housing issue. With her own position on the line, especially in the event that the administration’s candidate is not elected, the housing chief reminded the coalition members on the importance of preserving the space that they’ve gained with her appointment to the housing agency and continuing with their reform efforts. But apart from their growing disenchantment with their former colleague, the coalition members are wary that the suggested monitoring work might give a political color to their actions and cast doubt on their independence.

A meeting has been set by the housing chief to discuss her suggested monitoring action. How would you discuss the issue/work with her in such a meeting if you were the members/representatives of the coalition? What would be your positions?

Case story 2

A coalition set out to engage a town Mayor in the assessment of the delivery of public services to the communities. He is politically allied with the unpopular administration government, but he is known to be an effective leader and manager of the town.

The coalition members anticipate cooperation from the Mayor in the planned assessment. After presenting the plan and the survey questionnaire to the Mayor, however, they were surprised with his reaction. He said, "We are not hiding anything in this town, but your survey will not be helpful. Many questions, especially those on budget, are not appropriate for the people in the community. The language is not appropriate. They will not understand that and will only create unnecessary confusion. That survey might also dwell on the government's shortcomings and put my administration in a bad light. All my accomplishments will be disregarded. I don't like that!"

Taken by surprise, a representative of the coalition responded by saying that they will revise the questionnaire to make it "more appropriate" to the people in the community. The Mayor agreed to meet again to see the revised questionnaire.

After the meeting, some coalition members expressed disappointment with the way the discussion was handled. Now they must decide the next course of action, which some members insist should include the option of proceeding with the survey, as originally designed, without the Mayor's cooperation. What is now the best course of action for the coalition?

Case story 3

A coalition has been formed to check road projects nationwide. It fields volunteers to observe the bidding and to inspect actual construction. After exhausting all possible networks of CSOs, it is still in need of more volunteers in three provinces.

Interestingly, the radio advertisements attracted three well-meaning organizations. In the Province of Luz, a highly regarded contractors' association came forward and offered assistance to mobilize volunteers. Many coalition members, however, raised the issue of conflict of interest as some of the association members may have existing contracts or may enter into contracts that will be covered by the monitoring.

In the Province of Seng, an emerging alternative political party also offered to call on its volunteers to help in the work of the coalition. The coalition was cautioned about such involvement as it may leave an impression of partisanship.

In the Province of Masduki, a union of public employees said its members are willing to volunteer for the initiative. Some coalition members asked, "How can they check the government when they are actually part of government?"

What should the coalition do with these expressions of interest in their work, keeping in mind the principle of inclusivity?

Case story 4

After 10 years of sustained engagement, the coalition feels that it has already made significant contributions in improving the Ministry of Education's textbook procurement and delivery. The members are very happy with the coalition's achievement, which is also well recognized by the officials and employees of the ministry. Its reform advocacies had likewise already reached the level of institutionalization.

The ministry is now more concerned with the problematic, erroneous content of the textbooks. It approached the coalition for help, but many members felt incapable of responding to the problem. They may have done important things for the procurement and delivery, but checking the content of books (like conceptual, factual and grammatical information) is beyond their skill and competency.

As the coalition has already served its purpose, some members say that it has no more reason to exist. Others, however, insist that it could still do more, reinvent itself and address new problems. How should the coalition respond to this situation?

Exercise 3.1 Mind Mapping Exercise

Learning Objective

At the end of the exercise, the participants should be able to draw their ideas of democratic decentralization in a coherent mind map.

Method

1. Provide a piece of blank sheet of paper for each participant.
2. Ask the participants to think of an object or image that would represent their idea of “democratic decentralization.” Using crayons and colored pens,

they will draw the object or image at the center of the paper.

3. Add a branch from the center and write the main themes at the end of each branch. The main themes are like the chapter headings of a book. Print the main themes in capital letters or you can draw objects or images that represent the main themes.
4. Add sub-themes by adding another layer of branches extending from the main themes.
5. Add another level of ideas, if necessary.
6. To manage the limited amount of time, the trainer may use the “one minute flat” method for the presentation. Each participant will present his/her mind map no more than one minute.
7. Tip for the trainer: After everyone presented their mind maps, if possible, bring to the discussion how social accountability and good governance surfaced from the exercise.

Time Requirement:

Approximately 15-20 minutes in preparing the mind map. The presentation time depends on the number of participants.

Adapted from Illumine Training (<http://www.mind-mapping.co.uk/about-us.htm>)

Exercise 3.2 Bus Stop Graffiti Exercise

Learning Objectives

At the end of the exercise, the participants should be able to share his/her knowledge of and experiences on the different types of decentralization.

Method

1. Place four brown papers or manila papers in the four walls of the room.
2. At the top of the brown papers, write "political," "administrative," "fiscal," and "market." Each brown paper should represent one type of decentralization. Pick a participant from the participant who will act as 'bus dispatcher' for each station.
3. Ask the participants to form a big circle and start moving in one direction. You may use music to signal when to stop and when to proceed moving.
4. When the music stops, the participants in front of the brown paper will informally discuss what they know about the type of decentralization posted in the brown paper (e.g. fiscal decentralization). The discussion should only last for one minute. The facilitator will then take note of what was discussed in the brown paper using key words and short phrases.
5. The passengers should proceed on moving when the music starts again.
6. Make sure that all the participants pass through all the stations before ending the exercise.

7. The trainer will summarize what transpired in the graffiti in all the four bus stations.

Time Requirement:

15-20 minutes

Exercise 4.1 Poster-Making on Social Accountability

Learning Objectives

At the end of the exercise, the participants should be able to draw out their experiences and knowledge of social accountability.

Method

1. Group the participants into 3-4 groups (with 4-5 members each group).
2. Provide crayons and a piece of white cartolina for each group.
3. Ask the groups to make a poster about social accountability. The poster may answer the following guide questions:
 - *What are the governance issues that social accountability can help resolve? Provide at least two issues.*
 - *What are the social accountability mechanisms that you have experiences on or tools that you are aware of?*
 - *In what context these social accountability mechanisms have been applied to?*

4. Ask the groups to present their posters.

Time Requirement:

15 minutes for making the poster and 10 minutes for the presentation

Exercise 4.2 Building Blocks of Social Accountability

Learning Objective

At the end of the exercise, the participants should be able to discuss some building blocks, principles, and key indicators of social accountability.

Method

1. Group the participants into 3-4 groups.
2. Give them colored cartolina, scissors, pen, and adhesive tapes. Ask them to think of a structure that would represent "social accountability." It can be a skyscraper, a house, a bridge, a tower, a pagoda, a temple, etc.
3. They will cut the cartolina into shapes and pieces that will form their structure.
4. Write down the principles and key attributes of social accountability in the pieces of paper, one idea per card. It would be interesting to know what principles would constitute the foundation of the building, the window or the roof of the house, for instance. These representations may vary from one group to another.

5. Construct the structure at the board or wall using adhesive tape.

6. After 15 minutes, each group will present their structures.

Time Requirement:

15 minutes

Exercise 4.3 Find My Perfect Match!

Learning Objective

At the end of the exercise, the participants should be able to enumerate the social accountability mechanisms and tools for the different phases of the public expenditure management cycle.

Method

1. For the trainers, prepare idea cards with the different social accountability tools and methods written on them. Make 3-4 copies of each tool/ method depending on the number of groups.
2. Provide a brown paper with four columns; each column has the phase of public expenditure management cycle written on it.
3. At a count of three, the groups will categorize and post the idea cards into the different phases of the public expenditure management cycle.
4. The group who finishes first will get a special prize.
5. After discussing the topic on "social accountability

mechanisms," the trainer will get back on the brown papers to check on the participants' initial knowledge and perception of social accountability mechanisms. The trainer may request some groups to reflect and explain their answers.

Time Requirement:

5 to 10 minutes

Exercise 6.1 Building a Community House: A Role Playing Exercise on Participatory Planning

Learning Objectives:

At the end of the exercise, the participants should be able to:

- Enumerate the benefits of civic engagement in local planning; and
- Identify the potential barriers for an effective civic engagement in planning.

Method:

1. Group the participants into two. The first group will represent the PLANNING TEAM composed of local government officials, planning officers, architects, and engineers. The second group will represent the FARMERS' ORGANIZATION.
2. Read the scenario to the participants: "In the village of Bagong Pag-asa (this is just an

example), a group of local government officials, planning officers, architects, and engineers came to develop a plan with the local communities on building a multi-purpose community house. The Planning Team has initial ideas on the purpose of the community house, its design, and the costs but they would like to consult the community to get their ideas and opinions on their proposed plans."

3. After reading the scenario, give each group 10 minutes to think of their strategies on how to go about the consultation process.
4. Allot 15-20 minutes for the participatory planning process to proceed.
5. After the presentation, facilitate a discussion (for another 10-15 minutes) reflecting on the following points:
 - Benefits of conducting a participatory planning process
 - Citizen participation as a mechanism for social accountability
 - Difficulties encountered by the Planning Team and the Farmers' Organization
6. Make a synthesis highlighting the social accountability dimension of civic engagement in development planning.

Time Requirement:

30-40 minutes

Exercise 7.1. Simul Town

Learning Objective

At the end of the exercise, the participants should be able to simulate by way of role playing how the government conducts budgeting and how civil society organizations will participate in the budget formulation process.

Method:

First, participants will have to name their Simul Town (for example Honest City, Transparent Lake City, Municipality of Accountable).

1. Participants will be divided into two (2) groups, the first group will be playing the role of Government and the other group will be CSOs.
2. Annual revenue will be given to the Government and the government will assign a portion of it to PB.
3. A set of community problems and/or needs will be given to the CSOs. The CSOs will then rank the projects they want to be funded by the government through the PB process.
4. In the last part of the role playing, the Government and the CSOs will engage in a budget debate and later on approve the final budget of their Simul Town.

Time Requirement:

15 minutes

Exercise 7.2 Building Dominos of Participatory Budgeting

Learning Objective:

At the end of the exercise, the participants should be able to learn how important each domino piece in a structure and relate it to the importance of each Building Block of participatory budgeting.

Materials needed: Dominos

Method:

1. Participants will be divided into groups and will be given a Domino set.
2. Within two (2) minutes, each group will have to construct a building made of dominos.
3. The group with the highest building will win.
4. At the end of the game, the participants will be asked to relate their experience in domino building to the importance of each building block and aspect of PB.

Time requirement:

5 minutes

Exercise 7.3 Step? Yes or no

Learning Objective:

At the end of the exercise, the participants should be able to enumerate the steps of participatory budgeting process.

Materials needed:

Colored papers with Steps of PB Board

Method:

1. The facilitator will post the Steps of PB on the board and cover the board before the game starts.
2. Participants will be divided into two (2) groups.
3. Each group will have a representative for each round of the game, there will be five (5) rounds. Tossing of coin will determine which group will go first.
4. All the representatives of each group will be blindfolded and will be given a Step of PB.

At the start of the round, the representative will approach the board blindfolded and try to post the Step in its correct place. The representatives can only ask his/her team members whether it is *Step* (yes if it is in the correct place and no if it is not).

5. If the first group was not able to post the Step in the right place, the second group will get the point.
6. The process will be repeated for five (5) rounds or until there is already a winner.

Time Requirement:

15-20 minutes

Exercise 8.1 Where did my money go?

Learning Objective

At the end of the exercise, the participants should be able to explain the basic principle behind participatory expenditure tracking by doing a personal tracking of the participants' money.

Method:

1. Before the Session on Expenditure Tracking begins, participants will be asked to write down their budget for the month.
2. After writing down the budget, the participants will next write down their expenditures
3. In writing their expenditures, they will try to come as close as possible to their budget.
4. After five (5) minutes, three (3) volunteers will be picked to show their personal expenditure tracking.
5. When the volunteers have finished their sharing, the facilitator will initiate discussion on the lessons they have learned.

Time requirement:

10 minutes

Exercise 8.2 PETS STEPS Treasure Hunt

Learning Objective:

At the end of the exercise, the participants should

be able to enumerate the steps in conducting Public Expenditure Tracking Surveys

Materials needed:

Colored papers with PETS STEPS written on them

Method

1. Before this exercise begin, the facilitator will hide the colored papers inside or in the vicinity of the venue or facility of the Training. The number of colored papers with PETS STEPS will depend on the number of groups, each group assigned with a color.
2. Participants will be grouped into three (3) or five (5) groups.
3. Each group will have to find all the PETS STEPS like a treasure hunt.
4. The first group to complete the steps wins the game.

Time requirement:

10 minutes

Exercise 8.3 Group Discussion on Expenditure Tracking

Learning Objective

At the end of the exercise, the participants should be able to explain the importance of expenditure tracking.

Materials

Cases (local and international) involving government expenditure process, unfavorable government expenses and corruption allegations; Guide questions to facilitate discussion of the groups.

Method:

1. Form 5 groups
2. Provide each group with a case to analyse and discuss, together with the guide questions.
3. Each group will have to evaluate the importance of expenditure tracking in their assigned case and how expenditure tracking could improve transparency and accountability in the government for 10 minutes.
4. A representative from each group will present their case and their answers to the guide questions.

Time Requirement:

10 minutes for discussion and 3 minutes for each group to share their answers

Exercise 10.1 Pop Quiz: Procurement Process

Objective

At the end of the exercise, the participants will be able to evaluate the participants' knowledge on procurement process and monitoring.

Facilitation

Before discussing the Procurement Process (Stages

and Steps), prepare a set of question on the topic and be the quiz master. Also, prepare writing materials for each the group (e.g. bond paper and markers).

Method

1. The facilitator will prepare a set of fifteen (15) True or False questions on the Procurement Process
2. After the quiz, the participants will exchange papers and will check their answers.

Time Requirement:

Approximately 10-15 minutes

Exercise 10.2 Role Playing: Partnering with the Government in Procurement Monitoring

Learning Objective

At the end of the exercise, the participants will be able to exercise partnership between government and NGOs in cases that are likely to happen in real life and evaluate the groups' performance.

Facilitation

This is a role playing game which would require space for the groups to prepare and present afterwards. Select a judge to decide which group performs best based on criteria such as objectivity, relevance, creativity, originality, and group participation.

Method

1. Each group will think of a situation that will require partnership with the government in Procurement Monitoring.
2. They will divide their group into NGO and Government and present how the NGO and Government should carry out Partnership and Cooperation.
3. Each group will be given time to prepare and present and the best group presentation will win.

Time Requirement:

10 minutes for the group preparation and 20-30 minutes for group presentations

Exercise 10.3 CORRUPTION IN PROCUREMENT Word Factory

Learning Objective

At the end of the exercise, the participants should be able to solicit from the participants words formed from the letters of the words CORRUPTION IN PROCUREMENT that also serve as description of corruption in procurement itself.

Facilitation

Prepare the words CORRUPTION IN PROCUREMENT written in bold letters and post them on a board.

Method

1. Form five groups.
2. Each group will write down words formed by

the letters CORRUPTION IN PROCUREMENT such as COURT, MORE, TORN, MEN, POOR, INTERRUPTION, PORT, etc. for maximum of five minutes.

3. A representative from each group will present the words they formed and connect these words to corruption in procurement by giving a short explanation and/or examples.

Time Requirement:

10 minutes

Exercise 11. Role Playing on Media and Governance

Learning Objectives:

At the end of this exercise, the participants should be able to:

- Describe the relationship between the media and the government as well as between the media and civil society; and
- Identify ways on how to improve these relationships among the media, the government, and civil society to support citizen's monitoring of government's performance.

Method

1. Group the participants into manageable size, with enough members to represent the media, the government, and the civil society.

2. Each group should identify at least one social accountability issue in any of the four phases of the public finance management cycle.
3. Assign roles to the members of the group. There should be member/s to represent the government, the media, and the civil society.
4. Give each group 10 minutes to prepare the story plot of their role playing.
5. For the role playing, the groups may follow the questions below:

-How do the media present the government in their coverage of a social accountability issue?

-How do the government and civil society react to media's coverage of a social accountability issue?

-What are the ways where the media can support and strengthen the role of civil society in monitoring government's performance?

6. Each group will have 8-10 minute presentation.
7. After the group presentations, the facilitator should provide a synthesis and should pose follow-up questions for reflections.

Time Requirement:

10 minutes preparation; 15 minutes presentation (depending on group size)

Trainer's Guide

Annexes

ANNEX 1. Social Accountability School Training Needs Assessment Form

Name:	Female:	Male:
Residence:		
Email address:		
Mobile phone number:		
Name of organization:		
Organization's address:		
Organization's phone number:		
Position in organization:		
<p>Instructions:</p> <p>Please take some time to fill out this survey form regarding learning needs in social accountability. The Affiliated Network for Social Accountability in East Asia and the Pacific (ANSA EAP) is conducting the survey and assessment as inputs to the design of an intensive learning program on social accountability.</p> <p>We are very interested in knowing about your specific learning needs and concerns as we would like to develop learning activities and materials that are relevant and appropriate to such needs. The information from this initial survey will also help us in assessing the outputs and results from the learning program.</p> <p>Thanks in advance for your help.</p>		

1. What type of organization do you work for?

- | | |
|---|--|
| <input type="checkbox"/> Civil society organization (CSO) | <input type="checkbox"/> Media organization |
| <input type="checkbox"/> International nongovernment organization (NGO) | <input type="checkbox"/> University-based/academic/research organization |
| <input type="checkbox"/> National/central government | <input type="checkbox"/> Oversight bodies/committees |
| <input type="checkbox"/> Local/sub-national government | <input type="checkbox"/> Private sector groups |
| <input type="checkbox"/> Donor organization | <input type="checkbox"/> Others (Please indicate below) |

2. Does your organization help promote citizens-government engagement? In what ways? How would you describe the nature of your organization's work?

3. How would you rate your knowledge of social accountability?

1 POOR	2	3	4 EXCELLENT
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4. Would you be interested to join a learning program on social accountability? How do you think could such program be relevant to your work?

5. Which of these actions are you familiar with or have implemented before? (Kindly check all actions that apply)

- Participatory development planning, investment planning, or participatory policy formulation
- Participatory budget formulation, formulation of alternative budgets, independent budget analysis
- Participatory public expenditure tracking, participatory public procurement monitoring
- Participatory performance monitoring processes like citizens' report cards, community scorecards, social audits, etc.

6. The lists below point to some of the knowledge, skills and attitudes that could be relevant in creating or enhancing the enabling conditions for social accountability. Please identify your top three learning needs at the moment for each of the enabling factor by putting the appropriate number on the box beside the identified competency/knowledge areas (with 1 = TOP PRIORITY; 2 = SECOND PRIORITY; and 3 = THIRD PRIORITY).

Responsive government

Refers to the presence of structures, spaces, processes, and champions within government that facilitate effective and constructive engagement of citizens' groups with public officials and service providers.

(Please choose top three)

- Understanding good governance concepts and principles
- Understanding government structures and processes
- Knowledge of policies/laws on participatory governance
- Facilitating dialogue, negotiation, conflict resolution
- Promoting effective communication among stakeholders
- Promoting government accountability to women as citizens
- Developing and applying participatory tools and techniques
- Ethics-based decision-making and governance
- Others (Please specify in the space below):

Organized and capable citizenry

These refer to the level of organization of citizens' groups, the breadth of their membership, their technical and advocacy skills, their capacity to mobilize and effectively use the media, their legitimacy and representativity, and their level of responsiveness and accountability to their members. (Please choose top three)

- Understanding civil society's roles, functions, and work
- Understanding framework for effective citizen engagement
- Shaping and mobilizing public opinion to influence government
- Facilitating inclusion of women/marginalized groups' interests
- Aggregating/articulating different stakeholders' interests
- Building women's capacities to engage with government
- Facilitating effective citizens' groups-media collaboration
- Enhancing and strengthening civil society's accountability
- Developing mechanisms for effective organizational learning
- Others (Please specify in the space below):

Access to information

The availability and reliability of public information is essential to building social accountability. Access refers to documents, to officials in possession of such documents or information, and to places where information is stored. (Please choose top three)

- Understanding access to information laws and policies
- Understanding transparent and accountable governance
- Determining and addressing information needs of citizens
- Using information for promoting government accountability
- Communicating public information to ordinary citizens
- Getting/utilizing gender-disaggregated information
- Generating information when such is not available
- Using new technologies to promote government accountability
- Others (Please specify in the space below):

Cultural appropriateness

Social accountability actions and strategies have to take into account the local political and socio-cultural contexts. Success of social accountability initiatives will also depend on the ability of practitioners to appropriate beliefs, attitudes, and practices that support accountable governance. (Please choose top three)

- Understanding of existing political and socio-cultural contexts
- Grounding citizen engagement on local beliefs and practices
- Understanding government accountability to women as citizens
- Designing culturally appropriate social accountability strategies
- Understanding local views on governance and accountability
- Developing creative/innovative strategies for engagement
- Others (Please specify in the space below):

7. Which of the following learning modalities have you experienced in the last two years? (Please check all that apply)

- Face-to-face course (all participants and resource persons together in the same setting)
- Videoconferencing (participants, facilitators and resource persons are linked by video)
- On-line learning (learning program delivered through the internet with support from facilitators)
- Mentoring and coaching (learning program customized to individual participant's needs; online and/or face-to-face)
- Self-paced online course (delivered through the internet without or with minimal involvement of facilitators)
- Field/exposure visits (participants and facilitators go to program sites and exchanges with practitioners)
- Others (Please specify in the space below):

8. Which of the following do you have access to? (Please check all that apply)

- Email at HOME
- Email at WORK
- High-speed (broadband) internet at HOME
- High-speed (broadband) internet at WORK

9. How much time can you realistically devote per day to learning activities?

- Less than an hour
- About 1 hour
- 2-3 hours
- 4-6 hours
- More than 6 hours

10. Do you have access to videoconferencing facilities near your home or office?

- Yes
- No
- Not sure

Please indicate in the space below any other information about your specific learning needs or requirements that could help us design our learning program on social accountability better.

Thank you very much.
Kindly submit the accomplished form to our learning coordinators.

Annex 2a. Sample Trainer's Agenda: One-day Appreciation Course on Social Accountability

Time	Topics	Methodology
Morning Session	<p>Part I: <i>Grounding: Understanding the Participants' Context</i></p> <ul style="list-style-type: none"> -Individual (knowledge, attitude, practice) -Organizational -Community/country 	Group discussion; creative methods to encourage the participants share their experiences and thoughts in social accountability
	<p>Part II: <i>Learning: Basic training on social accountability concepts and tools</i></p> <ul style="list-style-type: none"> -social accountability framework: an overview -Public Financial Management Cycle -Social Accountability Tools (participatory planning, participatory budgeting, participatory expenditure tracking, participatory performance monitoring) 	Powerpoint presentations, short exercises
Afternoon Session	<p>Continuation of Part II: <i>Learning</i></p> <p>Part III: <i>Action Planning</i></p> <ul style="list-style-type: none"> -identifying entry points for applying social accountability concepts and tools -listing of possible social accountability strategies -success and risk factors 	Small group workshops and presentation of results

Annex 2b. Sample Trainer’s Agenda: 3-day Comprehensive Training on Social Accountability

Social Accountability 101 for Development Practitioners AsiaDHRRA, ANSA-EAP, and TAN 21-23 April 2009, Manila

Workshop objectives

The proposed workshop aims to impress upon the participants the value of social accountability in framing their efforts to engage with government and in improving the outcomes of their development interventions. It shall have the following specific objectives:

1. Situate the social accountability framework in the participants’ existing experiences, practices and projects;
2. Introduce social accountability concepts, approaches and tools and SAc’s importance in achieving good governance;
3. Facilitate sharing of experiences in planning and implementing SAc actions and in developing SAc tools;
4. Share guidelines and lessons in refining SAc tools and designing SAc projects;
5. Provide venue for planning actions to promote SAc and improve SAc practice.

Activities	Learning objectives	Key learning contents	Learning methods	Learning outputs	Resource person/ PICs
Day 1, 21 April (Tuesday)					
1:00 – 1:30 Preliminaries	<ul style="list-style-type: none"> • Set mood and create environment conducive to sharing and learning • Introduce participants and attending organizations • Articulate and clarify learning expectations of participants • Introduce learning objectives and workshop design 	<ul style="list-style-type: none"> • Background on capacity building engagement (AsiaDHRRA and ANSA) • Workshop objectives and workshop map 	<ul style="list-style-type: none"> • Getting-to-know-you and expectations check group activity • Presentations and plenary discussion 	<ul style="list-style-type: none"> • Participants’ learning expectations • Validated workshop flow/ design 	ANSA-EAP AsiaDHRRA

Activities	Learning objectives	Key learning contents	Learning methods	Learning outputs	Resource person/ PICs
Day 1, 21 April (Tuesday)					
1:30 – 2:30 Mind-mapping: Situating social accountability in participants' contexts	<ul style="list-style-type: none"> Level off on understanding, vision for good governance Surface/analyze links between governance and development issues faced by the participants Situate SAc concepts and tools in participants' efforts to address governance issues/concerns 	<ul style="list-style-type: none"> Accountability as one key principle in good governance Social accountability as an approach in exacting accountability through citizen engagement with government; in addressing governance issues SAc actions involve citizens building solid evidences for constructive engagement with government 	<ul style="list-style-type: none"> Group mind-mapping activity with metacards Group discussions and plenary reporting Processing of results and lessons 	<ul style="list-style-type: none"> Participants' mind maps on good governance Information on existing social accountability efforts/initiatives Take off points for discussing SAc concepts and tools 	ANSA-EAP AsiaDHRRA
2:30 – 4:00 INPUT Social accountability: framework, importance, basic concepts, and tools	<ul style="list-style-type: none"> Introduce the SAc framework within the context of attaining good governance Provide conceptual overview of SAc, and explain its value in terms of identified development outcomes Introduce the different types of existing SAc tools and how they are situated in the public budget cycle (PFM) 	<ul style="list-style-type: none"> Definition of SAc, and its relationships with concepts like participation, citizenship, civic engagement, good governance, etc. Value or importance of SAc: good governance, improved development outcomes, and empowerment The two (2) key players in social accountability Basic rights of citizens that support SAc: association, information, voice (to be heard) and negotiation The four pillars of SAc: enabling environment, organized citizens, access of information, and cultural appropriateness Some SAc tools within the budget cycle; other tools 	<ul style="list-style-type: none"> Presentation and inputs by resource person Open discussion 	<ul style="list-style-type: none"> Conceptual framework for understanding SAc Analytical handles for looking at SAc tools and efforts 	Dr. Angelita Gregorio-Medel

Activities	Learning objectives	Key learning contents	Learning methods	Learning outputs	Resource person/PICs
Day 1, 21 April (Tuesday)					
4:00 – 5:15 Case studies: Social accountability in practice	<ul style="list-style-type: none"> • Draw relevant lessons from the work of other SAc practitioners in using the SAc tools • Apply previous input on SAc in analyzing the different tools, and provide handles for more in-depth discussion on the tools 	<ul style="list-style-type: none"> • How does the SAc tool work: how did it engage the power holders?; what mechanisms or processes are involved?; where in the PPEM cycle is it located? • Who are the main players: who initiated it, whose voice or interests were articulated, what particular service areas and government levels were addressed by the initiative? • Factors that limit impact/ promote success: effect on capacities and voice of citizens; effect on context or enabling environment 	<ul style="list-style-type: none"> • Guided small group discussions: • participatory policy and budget formulation • participatory policy and budget analysis • participatory public expenditure/input tracking • participatory performance monitoring and evaluation • Plenary sharing and discussion • Presentation: synthesis and additional inputs on implementing SAc tools 	<ul style="list-style-type: none"> • Lessons and insights from previous SAc experiences and practices 	ANSA-EAP TAN
5:15 – 5:30 Learning management	<ul style="list-style-type: none"> • Solicit immediate feedback from the participants about workshop content and flow • Discuss and settle other learning and administrative concerns 	<ul style="list-style-type: none"> • Learning evaluation 	<ul style="list-style-type: none"> • Administration of daily feedback forms • Plenary discussion 	<ul style="list-style-type: none"> • Accomplished daily feedback forms • Recommendations for improving next sessions 	ANSA-EAP

Activities	Learning objectives	Key learning contents	Learning methods	Learning outputs	Resource person/ PICs
Day 2, 22 April (Wednesday)					
8:00 – 8:30 Recapitulation	<ul style="list-style-type: none"> Review key learning points from previous workshop sessions and learning activities Identify and address issues or points from previous sessions that need more discussion 	<ul style="list-style-type: none"> Key lessons and insights on SAc framework, concepts and tools/actions Learning issues and points for further discussion 	<ul style="list-style-type: none"> Interactive activity Plenary discussion 	<ul style="list-style-type: none"> Reiteration of key lessons/insights from previous sessions 	Participants AsiaDHRRA
8:30 – 10:00 Continuation of case studies (Reporting and discussion)					ANSA-EAP TAN
10:00 – 10:15 BREAK					
10:15 – 12:00 INPUT Framework for adapting SAc tools and approaches: Public financial management (PFM)	<ul style="list-style-type: none"> Introduce key phases of public financial management process and identify specific entry points for SAc interventions Provide handles for selecting, implementing and adapting SAc tools to the PFM cycle Discuss existing best practices and emerging challenges/issues of citizens' intervention in the PFM cycle 	<ul style="list-style-type: none"> Importance of knowledge on government budget as a key component in SAc work Situating effective application and use of SAc tools in the PFM cycle Best practices and emerging challenges/issues on citizen interventions in PFM cycle 	<ul style="list-style-type: none"> Presentation and inputs by resource person Open discussion 	<ul style="list-style-type: none"> Framework for understanding the PFM cycle and entry points for SAc Recommendations for designing and implementing appropriate SAc strategy or program 	Sec. Emy Boncodin

Activities	Learning objectives	Key learning contents	Learning methods	Learning outputs	Resource person/ PICs
Day 2, 22 April (Wednesday)					
12:00 – 1:00 LUNCH					
1:00 – 3:00 INPUT Implementing social accountability tools	<ul style="list-style-type: none"> Discuss participatory budgeting and how it is implemented (key principles, enabling factors, etc.) Discuss budget analysis practices and tools, why is it important in SAC, limitations and challenges Facilitate familiarity with various ways by which the participatory expenditure tracking surveys can be used to assess delivery of public services Provide comprehensive overview of performance monitoring – what it does, how to do it 	<ul style="list-style-type: none"> Participatory budgeting principles, programs, and challenges What is an independent budget analysis? Why should citizens engage in budget analysis? Who actually engages in the process? Other budget review/ analysis tools Key elements and objectives of participatory expenditure tracking, other tools 	<ul style="list-style-type: none"> Presentation and inputs by resource person Open discussion 	<ul style="list-style-type: none"> List of SAC actions and interventions Pointers in doing each SAC tool 	Edward Gacusana
3:00 – 3:15 BREAK					
3:15 – 4:45 Sharing of experiences from existing SAC actions/ projects	<ul style="list-style-type: none"> Facilitate sharing and exchange of experiences in designing and implementing SAC actions Facilitate participants' reflection on experiences and draw out lessons based on previous inputs Identify gaps in SAC project development and implementation 	<ul style="list-style-type: none"> SAC in the agricultural and rural development sectors: peculiarities, dynamics, and prospects Framing current efforts as SAC, refining SAC tools and approaches, designing and starting SAC actions 	<ul style="list-style-type: none"> Presentations from participants on their own experiences in SAC: <ul style="list-style-type: none"> - CODE-NGO on budget monitoring (developing SAC tools) - PhilDHRRA on project monitoring (refining SAC tools) Plenary sharing and discussion 	<ul style="list-style-type: none"> Recommendations for improving SAC practices 	TAN CODE-NGO PhilDHRRA

Activities	Learning objectives	Key learning contents	Learning methods	Learning outputs	Resource person/ PICS
Day 2, 22 April (Wednesday)					
4:45 – 5:00 Learning management	<ul style="list-style-type: none"> Solicit immediate feedback from the participants about workshop content and flow Discuss and settle other learning and administrative concerns 	<ul style="list-style-type: none"> Learning evaluation 	<ul style="list-style-type: none"> Administration of daily feedback forms Plenary discussion 	<ul style="list-style-type: none"> Accomplished daily feedback forms Recommendations for improving next sessions 	ANSA-EAP
Day 3, 23 April (Thursday)					
8:00 – 8:30 Recapitulation	<ul style="list-style-type: none"> Review key learning points from previous workshop sessions and learning activities Identify and address issues or points from previous sessions that need more discussion 	<ul style="list-style-type: none"> Key lessons and insights on developing and refining SAc tools, and designing SAc strategies and programs Learning issues and points for further discussion 	<ul style="list-style-type: none"> ☑ Interactive activity ☑ Plenary discussion 	<ul style="list-style-type: none"> Reiteration of key lessons/insights from previous sessions 	Participants AsiaDHRRA
8:30 – 10:00 INPUT Designing SAc interventions	<ul style="list-style-type: none"> Clarify key steps in building and customizing an SAc strategy Identify key parameters and guidelines for customizing, developing, and refining an SAc tool, and in adapting it to a given local context Understand process for designing an SAc program or integrating SAc in existing programs 	<ul style="list-style-type: none"> Understanding the SAc environment – tools for assessing constraints and opportunities in applying SAc tools Process for building and customizing an effective SAc strategy, considerations in choosing, developing and refining SAc tool, dovetailing SAc tools in various program components Communications strategy, capacity building activities, monitoring and evaluating SAc development impacts, generating resources 	<ul style="list-style-type: none"> Presentations and inputs by resource person Open discussion 	<ul style="list-style-type: none"> Guidelines and pointers for planning an SAc intervention Guidelines for developing and refining SAc tools 	ANSA-EAP TAN

Activities	Learning objectives	Key learning contents	Learning methods	Learning outputs	Resource person/ PICs
Day 3, 23 April (Thursday)					
10:00 – 10:15 BREAK					
10:15 – 12:00 Workshops on developing an SAc program, developing or adapting an SAc tool, and refining an existing SAc tool	<ul style="list-style-type: none"> Facilitate application of guidelines and lessons in planning an SAc intervention Facilitate application of guidelines and lessons in developing and refining SAc tools 	<ul style="list-style-type: none"> Steps and key points that should be considered in devising SAc strategy Applying guidelines and process in designing an SAc intervention Applying guidelines in developing, refining and customizing SAc tools 	<ul style="list-style-type: none"> Guided small group discussions and planning Plenary reporting and presentations Open discussion 	<ul style="list-style-type: none"> Plans for SAc interventions Improved SAc strategies and tools 	Participants TAN
12:00 – 1:00 LUNCH					
1:00 – 2:30 Workshop on developing an SAc program, developing a tool, refining existing tools (Plenary reports)					Participants TAN

Activities	Learning objectives	Key learning contents	Learning methods	Learning outputs	Resource person/ PICs
Day 3, 23 April (Thursday)					
1:00 – 2:30 Workshop on developing an SAc program, developing a tool, refining existing tools (Plenary reports)					Participants TAN
2:30 – 3:00 The SAc challenge: Networking and collaboration	<ul style="list-style-type: none"> Impress the importance of networking and collaboration in advancing SAc Identify opportunities for linking among SAc practitioners in the region and in the world Introduce ANSA-EAP, TAN and upcoming activities 	<ul style="list-style-type: none"> The value of networking and collaboration in SAc National, regional and global linkages for SAc – the TAN and ANSA-EAP Plans for future collaboration 	<ul style="list-style-type: none"> Presentation from the resource persons Distribution of infosheets and membership forms 	<ul style="list-style-type: none"> Commitments for doing SAc Identified/clarified opportunities for doing SAc 	ANSA-EAP TAN
3:00 – 3:30 Closing	<ul style="list-style-type: none"> Get participants' assessment re: content and flow of the workshop Formally close the workshop and learning process 	<ul style="list-style-type: none"> Final evaluation of the workshop 	<ul style="list-style-type: none"> Administration of final evaluation forms Plenary discussion 	<ul style="list-style-type: none"> Accomplished evaluation forms 	AsiaDHRRA TAN ANSA-EAP

Annex 2c. Sample Trainer's Agenda: 2-week intensive training program on social accountability

Third Social Accountability School (SAS 03) on Social Accountability in the Context of Democratic Decentralization in Cambodia

Organized by PECSA, World Bank; SILAKA, Cambodia; PRIA, India and Ateneo School of Government, The Philippines

Date: 26 May – 06 June 2009

Venue: National Institute of Education (NIE), Phnom Penh

Objectives:

1. Developing better appreciation of the public value of Social Accountability by tracing its links to good governance;
2. Introducing global ideas, strategies, practices and tools on Social Accountability especially those applicable to democratic decentralization agenda in Cambodia;
3. Stimulating a shared process of creative approaches to engaging government through the application of Social Accountability tools and approaches;
4. Developing better understanding on the role of media in promoting Social Accountability; and
5. Encouraging individual and collective commitment and action through Social Accountability projects.

Date and Time	Content	Facilitating Institution
26th May 2009, Tuesday		
7.45 – 08.00	Arrival of participants and Guests	SILAKA
8.00- 9.20	Inaugural Session	SILAKA
9:20-10:00	<ul style="list-style-type: none"> • Coffee break • Group Picture • Press conference 	SILAKA

Date and Time	Content	Facilitating Institution
10:00 – 11:00	Introduction, setting the stages, Expectations Analysis, Ground rules	SILAKA,
11:00-11:40	Rationale, objectives, design, activities, expected outputs	SILAKA
11:40-12:00	Setting study circles	
12.00 pm to 02.00 pm	Lunch Break	
Module 1: Foundation on Social Accountability and Good Governance Learning Objective: To develop conceptual understanding on good governance, democratic decentralization and social accountability and the inter-connectedness of these three concepts		
02.00 pm to 03.00 pm	Study Circle	SILAKA
03.00 pm to 04.00 pm	Group Quiz Competition Basics of Social Accountability, Good Governance and Democratic Decentralization	SILAKA, PRIA & ASoG
04.00 pm to 04.30 pm	Tea/Coffee Break	
04.30 pm to 04.45 pm	Orientation on Learning Journal	ASoG
04.45 pm to 05.00 pm	Wrap Up	SILAKA
27th May 2009, Wednesday		
08.00 am to 08.30 am	Recapitulation by participants	SILAKA
08.30 am to 10.00 am	Understanding Good Governance – Formulating a working definition of ‘good governance’ – Relevance of ‘Demand for Good Governance’	PRIA
10.00 am to 10.30 am	Tea/Coffee Break	
10.30 am to 12.00 pm	Understanding Democratic Decentralization – Formulating a working definition of ‘democracy’ and ‘decentralization’ – Connection between democracy and decentralization	PRIA

Date and Time	Content	Facilitating Institution
12.00 pm to 02.00 pm	Lunch Break	
02.00 pm to 03.30 pm	Understanding Social Accountability <ul style="list-style-type: none"> – Formulating a working definition of ‘social accountability’ – Key elements of social accountability – A Few Examples of Social Accountability in the Context of Democratic Decentralization 	PRIA
03.30 pm to 04.00 pm	Tea/Coffee Break	
04.00 pm to 04.45 pm	Conceptual Connection between Good Governance, Democratic Decentralization and Social Accountability	PRIA and ASoG
04.45 pm to 05.00 pm	Wrap Up	SILAKA
28th May 2009, Thursday		
08.00 am to 12.00 pm	Examples of connections between Good Governance, Democratic Decentralization and Social Accountability	PRIA and ASoG
12.00 pm to 02.00 pm	Lunch Break	
Module 2: Deepening Understanding on Democratic Decentralization and Social Accountability Learning Objective: (i) To develop an understanding on the democratic decentralisation through global and Cambodian practices; (ii) To analyze and identify spaces for promoting social accountability in democratic decentralization process in Cambodia.		
02.00 pm to 02.30 pm	Recapitulation by participants	SILAKA
02.30 pm to 03.30 pm	Importance and Rationale for Democratic Decentralization	PRIA
03.30 pm to 04.00 pm	Tea/Coffee Break	
04.00 pm to 04.45 pm	Basic Understanding on Frameworks for Decentralization	PRIA
04.45 pm to 05.00 pm	Wrap Up	SILAKA

Date and Time	Content	Facilitating Institution
08.00 am to 09.00 am	Recapitulation by participants Re-enforcing previous day's learning through Question and Answer	SILAKA & PRIA
09.00 am to 10.00 am	Legal Frameworks of Democratic Decentralization in Cambodia	PRIA
10.00 am to 10.30 am	Tea/Coffee Break	
10.30 am to 12.00 pm	Comparative Analysis of Legal Frameworks on Democratic Decentralization	WB Resource Person
12.00 pm to 02.00 pm	Lunch Break	
02.00 pm to 03.30 pm	Presentations on Comparative Analysis of Legal Frameworks on Democratic Decentralisation	
03.30 pm to 04.00 pm	Tea/Coffee Break	
04.00 pm to 04.45 pm	Frameworks for Decentralization: Global Overview (exemplary provisions in legal frameworks of decentralization in other countries e.g. South Africa, India, The Philippines)	PRIA
04.45 pm to 05.00 pm	Wrap Up	SILAKA
30th May 2009, Saturday		
08.00 am to 08.45 am	Recapitulation by Participants reinforcing previous day's learning through Question and Answer	SILAKA & PRIA
08.45 am to 09.30 am	Case Exemplars on Civil Society Engagement in Democratic Decentralization Case 1: Report Card by CCSP, Cambodia	SILAKA/CCSP
09.30 am to 10.30 am	Case 2: Naga/Iloilo, The Philippines	ASoG
10.30 am to 11.00 am	Tea/Coffee Break	
11.00 am to 11.45 am	Case 3: Social Audit, India	PRIA

Date and Time	Content	Facilitating Institution
11.45 am to 12.15 pm	Key Learning from Case Exemplars	PRIA
12.15 pm to 02.00 pm	Lunch Break	
02.00 pm to 03.30 pm	– Concretizing Understanding on Good Governance, Democratic Decentralisation and Social Accountability	PRIA
03.30 pm to 04.00 pm	Tea/Coffee Break	
04.00 pm to 04.45 pm	Individual and Group Sharing: Social Accountability in the Context of Democratic Decentralization	SILAKA
04.45 pm to 05.00 pm	Wrap Up	SILAKA
31st May 2009, Sunday	Holiday	
Module 3A: Participatory Planning in the Context of Democratic Decentralization Learning Objective: To strengthen perspectives and skills on participatory planning as social accountability approach in the context of democratic decentralization in Cambodia		
1st June 2009, Monday		
08.00 am to 10.00 am	Understanding Participatory Planning – What is participatory planning? – Why is participation in planning required? – What are the principles of participatory planning?	PRIA
10.00 am to 10.30 am	Tea/Coffee Break	
10.30 am to 12.00 pm	Movie on Participatory Planning and Discussion	PRIA
12.00 pm to 02.00 pm	Lunch Break	

Date and Time	Content	Facilitating Institution
02.00 pm to 03.30 pm	Steps in Participatory Planning <ul style="list-style-type: none"> – Identify the site and the stakeholders – Environment building: create demand for participation in planning – Data collection: situation, resource, problems, target groups – PR/PRA tools – Data analysis: problem prioritization and identification of solutions – Develop action plan: activities, budgets, resources allocation, time frame, responsibility – Develop plan to monitor implementation of the plan – ensure social accountability vis-à-vis expenditure tracking, participatory budget meetings 	PRIA
03.30 pm to 04.00 pm	Tea/Coffee Break	
04.00 pm to 04.45 pm	Session Continued	
04.45 pm to 05.00 pm	Wrap Up	SILAKA
2nd June 2009, Tuesday		
08.00 am to 09.00 am	Recapitulation by Participants Reinforcing Previous Day's Learning through Question and Answer	SILAKA & PRIA
09.00 am to 12.00 (including Tea/Coffee Break for 30 minutes)	Participatory Methodologies <ul style="list-style-type: none"> – Understanding participatory approaches – Participatory Research (PR) and Participatory Learning and Action (PLA) Approaches Application in different stages of participatory planning	
12.00 pm to 02.00 pm	Lunch Break	

Date and Time	Content	Facilitating Institution
02.00 pm to 04.45 pm (including Tea/Coffee Break for 30 minutes)	Participatory Planning in Action <i>Simulating a village situation; undertake the following exercise as community members, for the given case study:</i> <ul style="list-style-type: none"> • Situational analysis - stakeholders, resources, problems Presentation of group reports and feedback Problem prioritization and identification of solutions	
04.45 pm to 05.00 pm	Wrap Up	SILAKA
3rd June 2009, Wednesday		
08.00 am to 08.30 am	Recapitulation by Participants Reinforcing Previous Day's Learning through Question and Answer	SILAKA & PRIA
08.30 am to 10.00 am	Develop action plan: activities, budgets, resources allocation, time frame, responsibility Develop plan to monitor implementation of the action plan	
10.00 am to 10.30 am	Tea/Coffee Break	
10.30 am to 12.00 pm	Presentation of group reports and feedback	
12.00 pm to 02.00 pm	Lunch Break	
<p>Module 3B: Local Budgeting and Expenditure Tracking in the Context of Democratic Decentralization Learning Objectives: (i) Situate the social accountability framework in the participants' existing experiences, practices and projects; (ii) Deepen participants' understanding of local budgeting and expenditure management processes and issues in Cambodia; (iii) Introduce SAc tools and approaches for tracking local budgeting and expenditure processes in Cambodia; and (iv) Strengthen commitment to engage with commune/sangkat councils in local public financial management.</p>		

Date and Time	Content	Facilitating Institution
02.00 pm to 02.15 pm	Identifying learning expectations	ASoG
02.15 pm to 02.30 pm	Framework for analyzing commune/sangkat issues	
02.30 pm to 03.00 pm	Mix and match game: Commune and sangkat development planning cycle	
03.00 pm to 03.30 pm	Group game: Commune and sangkat investment program cycle	
03.30 pm to 03.45 pm	Tea/coffee break	
03.45 pm to 04.15 pm	Group Game: Monitoring and evaluating the implementation of the commune or sangkat investment plan	
04.15 pm to 04.45 pm	Exercise on local budget preparation	
04.45 pm to 05.00 pm	Game: Commune/sangkat budget management	
05.00 pm to 05.30 pm	Learning management	SILAKA
4th June 2009, Thursday		
08.00 am to 08.30 am	Recapitulation by participants	SILAKA
08.30 am to 09.30 am	The Commune/Sangkat Fund: Exercise on the key steps in project preparation	
09.30 am to 10.30 am	Technical clearance: checking for a local project's technical standards	
10.30 am to 10.45 am	Break	
03.15 pm to 04.30 pm	Role-playing: Partnering with the government	
04.30 pm to 05.00 pm	Learning management	SILAKA

Date and Time	Content	Facilitating Institution
5th June 2009, Friday		
08.00 am to 08.30 am	Recapitulation by participants	SILAKA
08.30 am to 10.30 pm	Critiquing and assessment	
10.30 am to 10.45 am	Break	
10.45 am to 11.15 am	Exercise on effective critical engagement	
11.15 am to 12.00 pm	Group game: Performing technical audits of projects	
12.00 pm to 02.00 pm	Lunch	
02.00 pm to 03.00 pm	Video presentation: Social accountability models	
03.00 pm to 03.30 pm	Revelation of the name tag buddy (continuation of opening activity)	
03.30 pm to 03.45 pm	Course synthesis	
03.45 pm to 04.00 pm	Learning management	SILAKA
6th June 2009, Saturday		
08.00 am to 08.30 am	Recapitulation by participants on the various modules	
08.30 am to 12.00 pm	Project Proposal Consultation	SILAKA, ASoG & PRIA
12.00 pm to 02.00 pm	Lunch	
02.00 pm to 04.00 pm	Project Proposal Consultation	SILAKA, ASoG & PRIA
04.00 pm to 05.00 pm	Closing	SILAKA

Annex 3. Sample Training Evaluation Form

Title of module: _____

Date: _____

Instructions:

Please complete this questionnaire to help us evaluate the outputs and changes that have resulted from this learning program. Your responses are valuable to us as it will guide us in developing and implementing similar activities in the future. To help keep your responses anonymous, please do not write your name on the form.

Kindly rate the SAS module based on the given criteria by encircling a number next to the statement (with 1 = POOR and 4 = EXCELLENT). Please circle only one rating per statement.

Relevance to work

- | | | | | |
|--|----------|----------|----------|----------|
| 1. Usefulness of the module to your current work or functions | 1 | 2 | 3 | 4 |
| 2. Usefulness of the module to your future professional development | 1 | 2 | 3 | 4 |
| 3. Usefulness of the module to your organization's needs and thrusts | 1 | 2 | 3 | 4 |

Extent of learning

- | | | | | |
|--|----------|----------|----------|----------|
| 4. Extent to which you have acquired information that is new to you | 1 | 2 | 3 | 4 |
| 5. Improvement in your understanding of concepts covered in the module | 1 | 2 | 3 | 4 |
| 6. Improvement in your understanding of the links between concepts | 1 | 2 | 3 | 4 |
| 7. Clarity of the links between theory and practice | 1 | 2 | 3 | 4 |

Design of the module

- | | | | | |
|--|----------|----------|----------|----------|
| 8. Extent to which the module's content matched the announced objectives | 1 | 2 | 3 | 4 |
| 9. Effectiveness of the methods used in reinforcing the topics and lessons | 1 | 2 | 3 | 4 |

10. Management of time for each topic and learning activity	1	2	3	4
11. Arrangement or logical flow of the topics and activities	1	2	3	4
12. Variety of the training methods used in delivering the module	1	2	3	4
13. Amount of information covered in each topic, session or activity	1	2	3	4

Module delivery

14. Overall efficiency and effectiveness of learning management	1	2	3	4
15. Quality of the learning and administrative support to participants	1	2	3	4
16. Overall rating for the module’s resource persons	1	2	3	4
17. Interaction between the participants and resource persons	1	2	3	4
18. Quality of discussion and interaction among the participants	1	2	3	4

Learning materials

19. Quality of learning materials distributed to participants	1	2	3	4
20. Usefulness of learning materials in supporting the learning process	1	2	3	4

Please respond to the following questions.

a) What did you find most useful in the learning activity? (Please explain/comment)

b) What advice can you give us to improve activities of this kind in the future? (If any)

c) Please list three things you intend to do as a result of your participation in the activity:

Thank you for completing this questionnaire.
Please return the completed form to the training staff.

The Affiliated Network for Social Accountability in East Asia and the Pacific (ANSA-EAP) is a networking facility for networks promoting the "social accountability" approach to good governance. It provides capacity building through a learning-in-action approach and serves as an information gateway on social accountability tales, tools and techniques.

Social accountability is the process of constructive engagement between citizens and government and citizen monitoring of how government agencies and their officials, politicians, and service providers use public resources to deliver services, improve community welfare, and protect people's rights.

The social accountability approach needs four basic conditions to work: a) organized, capable citizens groups; b) responsive government; c) context and cultural appropriateness; and, d) access to information.

ANSA-EAP operates in a large and diverse region. It pursues a geographic strategy that currently puts priority on support and technical assistance to social accountability activities in Cambodia, Indonesia, Mongolia, and the Philippines. It also follows a thematic and sector strategy by supporting mainly local social accountability efforts that deal with service delivery (education, health, local infrastructure), procurement monitoring, the youth and extractive industries.



**ANSA-EAP is currently hosted by the Ateneo School of Government
of the Ateneo de Manila University.**

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