

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

SURVEY ON THE TEXTBOOK CRISIS IN BANGLADESH

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii)BPET, or (iv) PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | <u>Survey on the Textbook Crisis</u> |
| | Primary Agency Running Intervention | Transparency International Bangladesh (TIB) |
| | Location | Bangladesh |
| | Sector or Level of Focus | Education with national and regional scope (TI Bangladesh is also the secretariat for TI chapters in South Asia). |
| | Type of Engagement | The survey was run in 2001 in response to the particular textbook crisis in that period. However, Transparency International Bangladesh continues to conduct other surveys and interventions with similar focus. |
| Context and Scope | What is the driving force behind the SA initiative? | The school year began without available textbooks, because the sole supplier failed to deliver them on time. As such, 25 million youth did not have textbooks for their secondary school classes. Additionally, the few books that were on hand were full of errors. |
| | What are the main objectives and what key accountability problems does it seek to address? | The general objective was to measure the overall effect of the shortage of textbooks and the nature of the losses incurred by the students and secondary schools as a result. |
| | Who is the target audience or demographic focus? | Secondary school teachers and students. The media and the general public. |
| | What is the political culture or environment? | Democratic, but poor governance. Links are weak between civil society and parliament. |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | Report Card on the Textbook Crisis (2001) |
| | Briefly describe the methodology(/ies) or tools used. | <p>This report card was a survey of students and school administrators, conducted in February and March 2001, to measure the impact of the textbook crisis. The Report Card sought to generate student feedback on the availability of books, their text errors, and the quality of their printing and binding. It also examined the prices of the books, and the financial and academic losses arising from the crisis. The views of students and headmasters were sought separately.</p> <p>The methodology applied a random sampling of 636 students from “class six” to “class nine,” and 53 headmasters of high schools in 21 districts. The survey had a sampling error below 4%. In preparing the Report Card, TI Bangladesh had to identify the nature of corruption, non-transparency, and the lack of accountability. It prepared the draft questionnaire on the basis of these factors.</p> |

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| | What advocacy and media activities support the initiative? | <ul style="list-style-type: none"> • Newsletters • Semester reports on newspaper articles regarding corruption • Essay competitions for schoolchildren • Dialogues with the business community • Mobile theaters against corruption (in primary schools) • Press conferences to publicize survey results • Formal presentation of survey results to national leaders • Formation of lobby groups <p>This is according to Md. Sydur Rahman Molla, TIB Senior Program Officer: when TIB releases any report, most of the newspapers write their lead stories on the findings. Most of the private TV channels telecast the events. BBC Bengali service always broadcast the news on issues researched by TIB.</p> |
| | How inclusive was the intervention? | All stakeholders, with a preferential focus on youth and students. |
| | Other Important Information or Comments | When TIB releases its reports, the concerned institutions or ministries tend to criticize them. They get some of their allies to write in the dailies against TIB. However, a top TIB source confides that it does not react in such situations. After a period of time, TIB meets with its critics. |
| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p><u>Headmasters' views:</u> All headmasters surveyed said that no student could buy new books on any subject. Another 19 % said that they were taking classes without any books at all. Nearly three-fourths said students were using old books from the previous year. More than half (60%) of those surveyed believed the new books contained substantial errors. Sixty-eight per cent of the headmasters surveyed said examinations of secondary level were not held in time.</p> <p><u>Students' views:</u> Only 1% of students surveyed said they were able to buy new books on all subjects. More than three-fourths (78%) said they were using last year's books. Nearly all students surveyed (92%) said that the scarcity of the books was problematic.</p> <p><u>Financial losses reported by students:</u> For students in classes six to eight, the reported additional cost incurred by each student as a result of the absence of new textbooks was 98.08 taka per student. For students in class nine, the additional cost was reported to be Tk 122.81 per student. The additional cost included the cost of notebooks, the cost of board books, and the conveyance cost. The total financial losses for all students from grades 6-9 was estimated at Tk 670 million.</p> <p>Impact of other TIB interventions “After we published the report on textbook corruption in 2001, the government filed a case of 100 million taka against the corrupt institutions. After 2001, there were no problems on the textbook issue. The government is now very attentive on the issue. The process of publishing books is now more transparent than before.” -- Md. Sydur Rahman Molla, Senior Program Officer, Policy & Research, Transparency International Bangladesh TI identified Bangladesh as one of the most corrupt countries in its Corruption Perceptions Index 2001 survey. After that, the major political parties committed that they would form an independent anti-corruption commission (IACC). The winning party that formed the government took initiatives for the establishment of the Independent Anti-Corruption Commission. TIB proposed a structure for the IACC. The government has taken most of the suggestions proposed by TIB. In 2004 TIB released a diagnostic study on the police force. The parliamentary standing committee on police has decided to implement at least 10 recommendations proposed by TIB.</p> |

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| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | There are no institutionalized partnerships between TI and the government on particular projects. |
| | (If applicable) Has the initiative been scaled up? Repeated? | Md. Molla: “A number of informal and formal groups are working on the same issues. They are trying to assist TIB in their activities. Sometimes they arrange programs on governance issues through their own initiatives using materials from TIB.” |
| Further References | Web sources | www.ti-bangladesh.org |
| | Documents and Reports | “The Textbook Crisis of the Secondary School Students,” Executive Summary, TI Bangladesh, March 2001. |
| | Resource Persons/Contacts | Md. Sydur Rahman Molla, Senior Program Officer |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

LOCAL GOVERNANCE DEVELOPMENT FUND PROJECT OF SIRAJGANJ, BANGLADESH

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| Methodology Type | Specify whether (i) PB , (ii)BA, (iii)BPET, or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | <u>Local Governance Development Fund Project, Sirajganj, Bangladesh (SLGDF)</u> |
| | Primary Agency Running Intervention | Local Government Division, Under the Ministry of Local Government, Rural Development & Cooperatives. The project is being implemented through Union Parishads (UP), the lowest tier of Local Government Institutions (LGIs). |
| | Location | Its a rural initiative and located in 81 unions of the Sirajganj district, Bangladesh. |
| | Sector or Level of Focus | Small infrastructure development and service delivery (education, health, social awareness, agriculture, human development, etc). |
| | Type of engagement. | The intervention is continuous. It began in 2000 and has been expanded over the years. |
| Context and Scope | What is the driving force behind the SA initiative? | <p>Local government in Bangladesh has had a long history. Starting from 1880 with the Choukidary system, local government institutions and systems had been changed under different regimes. After Bangladesh got its independence, the LGIs experienced shifts in policy covering political, financial and administrative authorities. Different tiers were established. Presently, there are three tiers of rural local government bodies. These are the Union Parishad, the Upazila Parishad and the Zila Parishad. Only the Union Parishad functions with elected representatives. The urban LGIs are City Corporations and Pourashavas; both function with elected representatives. Though all this, the LGIs have been struggling for sufficient fiscal and administrative power. They are constrained by little transparency, low capacity, bureaucratic control, political interference, limited authority, the lack of accountability of service providers, and weak financial resources.</p> <p>Given this context, the SLGDF project was implemented to ensure pro-poor service delivery through responsive local governance. Union Parishads (UPs) in particular were wanting in transparency and accountability. After being elected, the representatives of the UPs mostly felt accountable to the Upazila or their district bureaucratic bosses, rather than to the community. They did not practice transparent systems like open budget meetings. They rarely consulted with the communities on the planning and implementation of development projects. The services provided to the community by the union Parishads were of remarkably poor quality. Additionally, widespread corruption was evident in UP functions. This bad governance directly contributed to the pervasive nature of poverty.</p> |
| | What are the main objectives and what key accountability problems does it seek to address? | <p>Considering the need for transparent, accountable local bodies, the SLGDF project introduced participatory government. One of the key objectives of the project was to ensure transparent, accountable Union Parishads to contribute to poverty reduction in rural Bangladesh. Different studies revealed that the lack of accountability of Local Government bodies was a major constraint for local development. This deficit in accountability afflicted Bangladesh in general.</p> <p>Transparency International ranked Bangladesh as topping the list of countries having widespread corruption. For efficient service delivery, economic growth, and poverty alleviation, the Union Parishad should be accountable to the community. The project tried to address this issue.</p> |

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| | Who is the target audience or demographic focus? | The target audience to benefit from the exercise are the rural communities. Central government was also targeted for policy change towards accountable, transparent, and strong local governments. At the local level, the Union Parishad was targeted as the main actor for the accountability exercise. |
| | What is the political culture or environment? | <p>Bangladesh is a declared democratic country. Parliamentary democracy has been in place for the last 13 years, but this was disrupted in the late 90's by military rulers. Parliamentary elections were held every five years under an interim non-partisan government.</p> <p>In general, the media are free. However, the government has been criticized for media repression at times. Democratic tolerance has yet to be firmly established, and there have been violations of minority rights. In the last three elections, one could observe an un-declared two party system. Though Parliament is the supreme institute, frequent session boycotts by major oppositionists make it more difficult to establish national consensus.</p> |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | <p>To exercise and ensure social accountability, the following methodologies were employed:</p> <ul style="list-style-type: none"> • Participatory performance assessment tools • Participatory budget meetings • Participatory planning sessions • Organization of different committees through public meetings • The use of UP notice boards • Complaint books • Community gatherings at the start and end of each scheme (program) • The community's scheme supervision committee |
| | Briefly describe the methodology (/ies) or tools used. | <p><u>Participatory Performance Assessment of the Union Parishad:</u> Using a public score card, the Participatory Performance Assessment revealed the strengths and weaknesses of the Union Parishads, grading their officials, financial management, service delivery, female participation in decision making, transparency, accountability, and overall governance.</p> <p>The assessments were done once a year with the participation of community representatives, UP bodies, and occasionally local government officials. Around 100-300 persons attended the assessment sessions. The assessments were facilitated by representatives of the UP. The score cards were hung on a board and the participants provided their scores. Based on the assessments, the UP developed a capacity building plan.</p> <p><u>Participatory Budget Meeting:</u> The annual income and expenditure statements of the UP were presented in the budget meeting, along with the succeeding year's income-expenditure plan. Formerly, the UP budget was quite unknown to the community as it was not disclosed to them. But this project made it transparent to the people. The UP prepared a draft budget by the 15th of May and displayed this budget on the notice boards. A date was fixed to discuss the draft budget, to finalize it, and to send it to the Deputy Commissioner for approval. On the fixed date, the participants reviewed the budget and asked the UP representatives about different items on income and expenditure. They suggested corrections. Through this session, the people came to know about the UP's plan, financial status, and expenditures patterns. Such transparency helped the UP to mobilize local resources.</p> |

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| | | <p>Participatory Planning (PP) Sessions: The PP sessions were organized at ward (village) levels to identify and prioritize the local problems of the community. They also suggested potential solutions and programs to address the problems. The PP sessions were facilitated by Ward Development Committees and the Union Facilitation team members. More than 150 persons (30-40% women) participated in the ward level PP sessions. These individuals represented 1,500-2,000 people of their ward. Tools like community gatherings, mapping, problem identification, prioritization, and action planning were used in the PP sessions. Usually the PP sessions were organized in April-June to incorporate the local plan into the UP budget. The PP sessions unleashed many opportunities for the community, especially for the voiceless poor and women, to address their problems. The project introduced the mandatory ratio that at least 30% of the schemes should be prioritized by women and approved by the UPs.</p> <p>Organizing different Committees and meetings: The project introduced a strategy to make the committees effective, accountable, and transparent. The committees were organized through open meetings and members were selected by the community. There were meetings at the start and end of the program implementation to ensure quality and community ownership.</p> <p>Notice Board, Schemes information board, Complaint books: All these instruments were used to ensure accountability and transparency. Information on the Union Parishad (Yearly Plan, Scheme lists, Funds received, Minutes of the Meetings, Notices, Budgets) were publicized via the notice board.</p> <p>The Scheme information board was established near the schemes to inform the community about their details (Fund source, Amount of work, dates, responsible persons, scheme costs etc). Complaint books were kept at each scheme site to get feedback on quality.</p> |
| | <p>What advocacy and media activities support the initiative?</p> | <p>The project did not directly initiate any media advocacy program, but the empowerment of LGIs was high on the agenda of the politicians, Media, and Civil Society. Good practices were promoted through print-and-broadcast media.</p> <p>The project directly advocated its practices to the Ministry of Local Government. As a result, it contributed to the institutionalization of performance-based funding and introduced performance assessment tools. The project also contributed to the preparation of the I-PRSP (i.e. the local government portion). It took part in preparing the revised Model Tax schedule and strategy for Union Parishads. The project had close linkages with local NGOs, other donors, and actors in the local government field.</p> |
| | <p>How inclusive was the intervention?</p> | <p>The project mobilized the Union Parishad and the community as a whole. They participated in all activities initiated by the UP. Women were also mobilized through the Upazila and District Women's development forums.</p> <p>The emphasis was on the poor to participate in decision-making. They participated in the committees, meetings, PP sessions, scheme planning, implementation, monitoring, maintenance, and operations. The project promoted learning by doing. There was no chance of elite capture, as all the activities were open, transparent and targeted towards the poor.</p> |

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| | Other Important Information or Comments | <p>The project was not a conventional capacity building program. Rather, it empowered the LGIs and the poor by offering them financial and decision making authorities. This was unique and unprecedented in Bangladesh. Note that the country has a strong constitutional commitment for local government, however, some regulations are detrimental to it.</p> <p>The main constraints to having accountable and transparent local governments were the political interference of legislators, the mindset of the bureaucrats, and the lack of awareness among the community about the roles and functions of UPs. The project focused on all these issues. To solve them, the project turned to the following measures:</p> <ul style="list-style-type: none"> • Policy advocacy to government was based on best practices of local governments. A small unit was established inside the local government ministry, so lessons from the project could be fed into policy changes. • To avoid political interference, funds were directly channeled to the UPs. Decisions for approval were made at the union level. All information regarding funds, schemes and plans were open and available to all. • Local level government officials were invited to participate in different activities of the project. They delegated responsibilities for monitoring project activities to the District Project Advisory Committees. The local level government officials were appraised for the project activities. • Massive community awareness programs were implemented. They used folk songs, theatre, leaflets, notice boards, scheme information boards, posters, etc. |
| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>The project has been implemented since 2000 in different unions (1st year in 19 unions, 2nd year in 28 unions, 3rd year in 42 unions & 4th year in 71 unions) of 9 Upazilas in the Sirajganj district. The project already achieved substantial results and is appreciated by the communities, local government representatives, the national Government and different donors. The project affected local planning and policy. The participatory planning feature of the project was widely accepted by all stakeholders. They greatly benefited from the process as priority projects were implemented. The community got a sense of ownership over the projects.</p> <p>The Participatory Performance Assessment greatly contributed to the performances of the UPs. Fully 95% of the UPs of the Sirajganj district were now found open during workdays. Their financial management and revenue generation improved. Communities trusted the UPs more. Female members were getting access to decision making processes. In general the communities received better services from the UPs.</p> <p>The direct funding to the UPs made them accountable to the communities. The communities in turn were vigilant over quality performance. They were the key actors in implementing and supervising the schemes proposed by them. At the policy level, the project already made the Government disposed towards directly funding the UPs. The Government already introduced the performance assessment system, revised the model tax schedule for UPs, and requested the UNCDF to replicate the project in other districts. This would enable the local governments to assimilate the practices of the SLGDF project.</p> |

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| Further References | | <p>Other donors, like SDC, SIDA, DFID, DANIDA, and WB were also interested in implementing local governance initiatives based on what was learned through the SLGDF. In short, the main outcomes of the SA initiatives were as follows:</p> <ul style="list-style-type: none"> • Enhanced UP efficiency in service delivery • Greater ownership of the community in local level development • General trust of the community for the UPs • UPs were able to mobilize more local resources • UP representatives became responsive to local needs • The central government thought about devolving more authority to the local governments • The problems of LGs were discussed in different forums • Corruption in development activities within participating UPs was reduced and reported by the communities. • Communities asked more about the different development activities of UPs. • The quality of service delivery improved substantially. The poor had more access to the services. |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | The Government (Local Government Division) already internalized the Performance Assessment System and implemented it during the last two years. Based on the Performance Assessment results, the Government would provide a 15% bonus to the best performing LGIs (just like the SLGDF project provided to the best UPs). |
| | (If applicable) Has the initiative been scaled up? Repeated? | <p>To internalize the whole system, national Government already asked the UNCDF to replicate the project to other districts.</p> <p>Performance-based funding, direct funding to UPs, open budget sessions, and participatory planning processes were all well appreciated by the different donors and LG actors.</p> <p>Some donor initiatives also scaled up SLGDF efforts.</p> |
| | Documents and Reports | <ul style="list-style-type: none"> • Project Documents • Baseline Survey Reports • Mid-Term Evaluation Reports • Case study reports on Pro-poor service delivery • Report on the National Workshop of the SLGDF project on 14-15 December/2003 • Case study on Local Government and pro-poor service delivery- Published by the ADB, ADBI & UNCDF. |
| | Resource Persons/Contacts | <p>Roger Shotton, E-mail: Roger@undp.org , Duraafshan H. Chowdhury, Telephone: 88-02-8118600 E-mail: duraafshan.chowdhury@undp.org , Md. Sharful Alam, DG-LGD, Phone: 88-02-7167911 E-mail: slgdp@gononet.com Azizur Rahman Siddique, Phone: 88-02-7160371, E-mail: slgdp@gononet.com</p> |
| | Web sources | www.uncdf.org |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

WEBSITE ON INFRASTRUCTURE PROJECTS IN BANGLADESH

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii) BPET , or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | <u>Website on public works projects</u> |
| | Primary Agency Running Intervention | Roads and Highways Department and the Ministry of Communication |
| | Location | Dhaka, Bangladesh |
| | Sector or Level of Focus | Public Works |
| | Type of Engagement | The engagement is continuous. |
| Context and Scope | What is the driving force behind the SA initiative? | <p>The national government has committed itself to improving the flow of its data to the citizens of Bangladesh. As such, the Ministry of Communication has set up a series of websites in 2003. The official commitment is that all government agencies “shall set up web sites where all policy documents, forms, circulars, orders, notifications, and all information relevant to the public shall be posted and regularly updated.”</p> <p>The IT effort is part of a \$7 million reform project of the Ministry of Communication. Fully 80 percent of the funding comes from donors.</p> <p>Four key websites include those of:</p> <ol style="list-style-type: none"> 1. Ministry of Communication (MoC) 2. Roads and Highways Department (RHD) 3. Bangladesh Road Transport Authority (BRTA) 4. Bangladesh Railway (BR) <p>The Roads and Highways Department website is the most advanced with regards to transparency.</p> |
| | What are the main objectives and what key accountability problems does it seek to address? | <p>Enabling citizen to access government information.</p> <p>Improving capacity and transparency of different government agencies.</p> |
| | Who is the target audience or demographic focus? | <p>Construction companies;</p> <p>Government auditors;</p> <p>Key intermediary organizations rather than the masses (poor people).</p> |
| | What is the political culture or environment? | Bangladesh is democratic, but the nation is plagued by pervasive corruption. |
| | Tools and Methodologies Used | What specific SA tools and methodologies are being used? |

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| | Briefly describe the methodology(/ies) or tools used. | <p>The RHD website covers:</p> <ul style="list-style-type: none"> • Road and bridge data • Personnel data • Financial project information • Contractors database • Tender database • Organizations database • Documents database • Schedule of rates • Test procedures • Management plans • Survey manuals • Training database • Audit reports <p>The RHD site has disclosed much information. Every month it updates financial and physical information on all of the department's 182 infrastructure projects. This covers 20,000 kilometers of roads.</p> <p>Road construction plans for the coming year are listed, and this provides information on opportunities for contractors.</p> <p>The site even posts items of staff promotions and employment vacancies.</p> |
| | What advocacy and media activities support the initiative? | <p>Little has been done to popularize getting government information from the Internet. This is due to the formidable digital divide obstacle. Few citizens of Bangladesh can read English. Only a tiny fraction has access to the Internet -- Fixed telephone penetration: 0.34%; Mobile penetration: 0.14%; PC penetration: 0.09%; Internet penetration: 0.04%.</p> <p>Computer use is not popular in Bangladesh's culture. PCs are seen as tools of the elite and irrelevant for daily life. In government offices, computers are lacking, and even fewer have access to the Internet. Computers are sometimes seen as little more than glorified typewriters.</p> <p>Truth be told, in Bangladesh there is little public demand for delivering information via the internet. This problem has yet to be addressed decisively.</p> |
| | How inclusive was the intervention? | <p>It is not yet inclusive for the poor and the general population because of problems arising from the digital divide.</p> |
| | Other Important Information or Comments | <p>The web expertise needed was developed in-house to reduce direct costs, to develop expertise, to better understand project needs, and to ensure greater ownership and control over the project.</p> <p>To strengthen the ownership, they also purchased all of the hardware, software, and network infrastructure for the project.</p> |
| Results and Impact | <p>What (if any) has been the impact of the initiative? What have been the incentives?</p> | <p>The project has just started, so it is more appropriate to speak of the potential of the Highways' website rather than its present impact.</p> <p>However, the information offered by the site can be accessed by intermediary groups and the media. They can wield the financial data on behalf of the poor.</p> <p>At least it has already shown the staff of the Roads and Highways Department that project information, which they come to know as internal, will definitely be published and this promotes accountability.</p> |

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| Further References | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | <p>There have been linkages and partnerships with other government units, the media, and NGO communities.</p> <p>The UK Department for International Development has provided much of the funding for the IT drive.</p> <p>Another interested party is the Centre for Policy Dialogue, an NGO concerned with governance.</p> <p>The University of Manchester's Institute for Development Policy and Management, and the Commonwealth Telecommunications Organization, were part of the UK Department for International Development's "Building Digital Opportunities" program. They also provided funds and organized the project.</p> |
| | (If applicable) Has the initiative been scaled up? Repeated? | Not yet. |
| | Web sources | http://www.mocbangladesh.org http://www.rhdbangladesh.org http://www.brtabangladesh.org |
| | Documents and Reports | |
| | Resource Persons/Contacts | Moshtaq Ahmed (moshtaq76@yahoo.com) |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

DATABASE OF CORRUPTION CASES IN BANGLADESH

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii) BPET , or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | <u>Database on corruption news items and cases</u> |
| | Primary Agency Running Intervention | Transparency International – Bangladesh (TIB) |
| | Location | Dhaka, Bangladesh |
| | Sector or Level of Focus | The audience is very broad: both the public and private sectors. |
| | Type of Engagement | The engagement is continuous. |
| Context and Scope | What is the driving force behind the SA initiative? | <p>The mass media are helpful in raising public awareness of corruption cases. In fact, because of media coverage, there is less corruption in countries with free access to information.</p> <p>The Director of the Organization of American States believes, ‘the media are civil society’s great ally, especially in fulfilling the need to inform, in a serious and responsible way, so the citizens can exert pressure to clean up cases of corruption.’”</p> |
| | What are the main objectives and what key accountability problems does it seek to address? | <p>The TIB corruption database aims:</p> <ol style="list-style-type: none"> 1. To measure the magnitude, form and depth of corruption; and 2. To inform the government and public of the consequence of corruption. |
| | Who is the target audience or demographic focus? | The general public. |
| | What is the political culture or environment? | Bangladesh is deeply immersed in corruption, a fact lamented by the Prime Minister. In her speech to the 18 th session of Parliament, she voiced her despair at its (corruption) sheer magnitude. Bribery is widespread. She said that even the institutions created to fight corruption have turned corrupt. |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | <p>The national dailies do publish a lot of reports on corruption cases. However, it is not possible for the average reader to remember all these news items. The stories drift out of public attention due to the overload of information.</p> <p>Hence, Transparency International Bangladesh compiles the news stories, classifies them, and tracks their development. This collection is called the corruption database. The information can then be subjected to rigorous analysis.</p> |
| | Briefly describe the methodology(/ies) or tools used. | <p>TIB has agreed on working definitions for corrupt acts. It then gathers the reports published in 16 national and 5 local dailies. The selected reports are grouped into different sectors. A template questionnaire is then used to collect the information from each news report.</p> <p>TIB believes it must verify and authenticate the information. So it chooses a few cases through random sampling. It then sends teams to investigate the case. The teams interview (1) the reporter, (2) the concerned office, and (3) a third party with knowledge of the case. Through this process of corroboration, TIB has found most news reporters to be valid.</p> |
| | What advocacy and media activities support the initiative? | The integrative reports in turn are fed back to the media. |

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| | How inclusive was the intervention? | The intervention is limited to professionals: the reporters of the dailies who write the articles, and the TIB staff members who compile and analyze them. |
| | Other Important Information or Comments | The database can be used for some quantitative analysis. For example, in 2000, an overwhelming 94 percent of the reports focused on government agencies, while only 6 percent dealt with the private sector. Out of 1,948 reports, 860 posted figures on government losses due to corruption; 460 gave figures on losses in general; 404 had no data on financial losses. |
| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | Research on news items in 2000 classified corruption stories into 38 sectors. TIB analyzed an average of 11 reports per day. The law-implementing agencies were found to be the most corrupt, accounting for 320 reports out of the total 1,948. The other top sectors in corruption were education, local government, health, forestry and environment, post and telecommunications, land administration, and finance. TIB's analysis showed that monopoly power figured prominently in the corruption cases. There was "large-scale" monopoly power in 662 out of 1,948 reports, and smaller scale monopoly in 371 cases. TIB noted discretionary power in 1,401 cases and the lack of accountability in 1,745. Official action taken against these cases was not satisfactory. Only some action was taken in 31% of the cases. In fact the anticorruption bureau dealt with only 5% of the cases. |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | TIB values its partnership with the vibrant and courageous print media of Bangladesh. |
| | (If applicable) Has the initiative been scaled up? Repeated? | The global secretariat of Transparency International has adopted the News Scan Database as a tool for fighting corruption. |
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| Further References | Web sources | www.ti-bangladesh.org |
| | Documents and Reports | Transparency International Bangladesh Corruption Database Report, July – December 2000. |
| | Resource Persons/Contacts | N/A |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

CORRUPTION SURVEY OF THE CENTER FOR SOCIAL DEVELOPMENT, CAMBODIA

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii) BPET , or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Surveys on Corruption |
| | Primary Agency Running Intervention | Center for Social Development (CSD) |
| | Location | Phnom Penh, Cambodia |
| | Sector or Level of Focus | General public, policy makers |
| | Type of Engagement | January to May 1998 |
| | What is the driving force behind the SA initiative? | Promotion of democratic values and the improvement of the quality of life in Cambodia. |
| Context and Scope | What are the main objectives and what key accountability problems does it seek to address? | CSD goals that pertain to the survey objectives are: <ul style="list-style-type: none"> • To promote public accountability and transparency • To advocate for good governance through the institutionalization of democratic values and principles • To serve as a neutral forum for open and candid debates and discussion of issues concerning Cambodian society. |
| | Who is the target audience or demographic focus? | Policy makers, civil society, and the general public. |
| | What is the political culture or environment? | Democracy is relatively new. Cambodia still has to fill its void of professionals, a legacy of the Khmer Rouge era. Civil society is just at its infancy stage. |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | Opinion surveys on corruption |
| | Briefly describe the methodology(/ies) or tools used. | In 1998, CSD conducted the first scientific survey on public attitudes towards corruption. The sample consisted of 1,513 urban and rural adults. Among the most important findings of the survey were: <ol style="list-style-type: none"> 1) 84% of Cambodians believed that bribery was the normal way of doing things. 2) 99% believed that ending corruption was important. 3) 89% expressed more concern for high level than low level corruption. 4) 9 out of 10 believed that corruption hurt the economy, reduced confidence in government and increased the gap between the rich and the poor. 5) 58% did not see corruption as greasing the wheels of government. 6) 79% thought that increasing civil servants' salaries would end corruption while 57% thought passing an anti-corruption law would. 7) 4 out of 5 said corruption could be eradicated within a mean of 5 years. 8) Government workers showed greater tolerance for corruption than private sector employees. |

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| | | <p>The CSD found it significant that the young expressed little concern and awareness of corruption. In particular, 18-20 year olds ranked below other age groups on almost every measure.</p> <p>A second study on <i>The Impact of and Attitudes Towards Corruption</i> is on-going. It is a qualitative analysis of the impact of corruption on Cambodian households. It aims to document corrupt practices and how they affect people's lives. The study is premised on the idea that to fight corruption, one must know how ordinary people deal with it in their daily lives.</p> |
| | What advocacy and media activities support the initiative? | <p>The CSD organized the Coalition for Transparency-Cambodia (CTC) in 2002. It consisted of representatives from various sectors and served as a forum to advocate for laws, programs, and policies to fight corruption. A major concern was the passage of the Anti-Corruption Law. The group lobbied with the King, the Prime Minister, the President and members of the Senate and National Assembly.</p> <p>CSD arranges for regular televised public forums on issues of national importance. It publishes a monthly bulletin on democracy, accountability and transparency issues, as well as on the major activities of the CSD. Some 40 pages long, it runs in full color and is distributed free of charge. Read by people from all walks of life, it is made interesting by the satirical cartoons on the back and front covers.</p> |
| | How inclusive was the intervention? | N/A |
| | Other Important Information or Comments | <p>The CSD was founded in 1995. It started as the Cambodian Public Accountability and Transparency Project (CPATP), under the auspices of the Preah Sihanouk Raj Academy. Other activities include:</p> <ul style="list-style-type: none"> • Research: the CSD prepares studies and organizes local and international conferences on democracy, accountability and transparency. • Legislative work: CSD compiles reports on activities of the National Assembly and Senate, and advises legislators on the drafting of new laws. • Election monitoring: CSD played a leading role in the Coalition for Free and Fair Elections (COFFEL). CSD produces training materials on elections; it published a non-partisan voters guide in 2001. |
| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>The Council of Ministers adopted a draft bill which incorporated 80% of the draft version prepared by a working group that included the CSD and the CTC. In response to the survey's finding on youth's indifference to corruption, CSD campaigned to introduce anti-corruption education into the education curriculum. A Transparency Task Force (TTF) was formed in 1999. It developed the needed instructional materials, and integrated them into the national training program for teachers. TTF was composed of 5 specialists from the Ministry of Education and 4 senior researchers from CSD.</p> <p>Workshops were organized to package transparency and accountability education into suitable lessons in the Language and Civic Education books of the first through seventh grades. Pilot tests were conducted in 6 schools in Phnom Penh, Kandal, and Takeo provinces. Teacher's guides, known as the "Pedagogical Additive Papers," were produced. The next step was a textbook orientation program which trained senior education officials and teachers on the use of the new material. The Ministry of Education began revising textbooks in 2002 to integrate the material produced by TTF. The integration of anti-corruption material into mainstream textbooks is a major achievement.</p> |

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| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | N/A |
| | (If applicable) Has the initiative been scaled up? Repeated? | N/A |
| Further References | Web sources | http://www.bigpond.com.kh/csd |
| | Documents and Reports | NGO Statement to the 2001 Consultative Group Meeting on Cambodia. National Survey on Public Attitudes Towards Corruption. |
| | Resource Persons/Contacts | Mr. Heav Veasna, Managing Director, veasna@online.com.kh |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

REPORT CARD ON PUBLIC SERVICES IN AHMEDABAD, INDIA

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii)BPET, or (iv) PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Report Card survey in Ahmedabad |
| | Primary Agency Running Intervention | Self-Employed Women’s Association (SEWA), Foundation for Public Interest (FPI) |
| | Location | Ahmedabad, Gujarat, India |
| | Sector or Level of Focus | Poor women in Ahmedabad, The poorest areas of Ahmedabad, Ahmedabad Municipal Corporation (AMC). Municipal services like electricity, water and sanitation. |
| | Type of Engagement | The engagement is continuous. It began in 1997. |
| Context and Scope | What is the driving force behind the SA initiative? | There was a time when India did not have many studies on urban services, even if urban analyses abounded. Research tended to focus on access to land, housing rights, and housing finance. Scholars neglected municipal services like water, electricity, and sewerage. And yet these services were critical for the poor resident’s investment in his or her own housing. The Foundation for Public Interest (FPI), thus, felt that such research should be conducted in slum areas. |
| | What are the main objectives and what key accountability problems does it seek to address? | <ul style="list-style-type: none"> “To determine how the report card methodology could be used as a governance tool by the poor and their organizations; “To determine how poor self-employed women rank municipal services in Ahmedabad; “To determine how women, who are the direct and frequent users of most basic services, especially water and sanitation, would rank urban services.” |
| | Who is the target audience or demographic focus? | Women in the poorest wards of Ahmedabad. |
| | What is the political culture or environment? | Democratic, strong people’s movements, strong women’s movement. |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | Report card survey |
| | Briefly describe the methodology(/ies) or tools used. | <p>The Public Affairs Center’s Bangalore Report Card questionnaire was reviewed and modified to suit SEWA’s needs and the AMC context in a one-day workshop. The questionnaire was then translated into Gujarati, verified with SEWA members, and further modified.</p> <p>Pre-testing using 50 forms lasted for two days, and this resulted in the shortening of the questionnaire. The revised questionnaire was then sent to AMC officials, PAC and others for further improvements. The outline was also shared with the Government of Gujarat’s Urban Development Department. Once the questionnaire was finalized, the Foundation for Public Interest conducted a three-day training seminar for the survey team, with the help of the PAC and Gallup India.</p> |

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| | | <p>Twelve wards were identified as the areas to be surveyed, based on the poor provision of selected services, and membership in SEWA. From here a random sample of 1,200 names was drawn, and the actual survey was conducted in 20 days. The PAC team verified survey information and monitored the pace of work. The collected data were sent to PAC to process. PAC trained one representative of the Foundation for Public Interest in data analysis methods.</p> <p>The draft report of the survey was written up and sent to PAC, AMC and SEWA for comments.</p> |
| | <p>What advocacy and media activities support the initiative?</p> | <p>In addition to the survey report itself, the sponsors produced information brochures about the Report Card, articles for the press, posters and exhibits, and training materials. The survey findings were presented to Ahmedabad's Municipal Councilors, but only 30 out of 129 attended. A shorter version of the report card was written up by the FPI and shared with a group of surveyed respondents. The comments of the respondents became inputs to a photo documentation of the Report Card, which was presented to a wide range of audiences.</p> |
| | <p>How inclusive was the intervention?</p> | <p>The survey deliberately targeted and focused on the poorest wards.</p> |
| | <p>Other Important Information or Comments</p> | <p>SEWA, established in 1972, is the largest single union in Gujarat with a membership of over 200,000. Its members include urban and rural women who are home-based workers, hawkers and vendors, and those who perform other types of manual labor.</p> <p>Nearly all of India's unorganized labor sector (93%) are self-employed women. In the 18 poorest wards of Ahmedabad, SEWA has 40,000 members. SEWA is considered to be both an organization and a movement. SEWA was approached by the FPI for the Report Card project in Ahmedabad precisely because of the strength of its organization and membership.</p> <p><u>Report Card Findings in brief:</u></p> <ol style="list-style-type: none"> 1. Services commonly used by poor women in Ahmedabad are food and civil supplies, water and sewerage services, public toilets, and garbage disposal; all of which are provided by the AMC. 2. 88% of the women surveyed had access to municipal water, but only 33% of them were satisfied with its provision. The main complaints were: irregular supply, distance of water source from the home, long queues, and poor water quality. While the AMC provided an average of 125 liters per head per day in Ahmedabad, the volume of water supplied in the areas surveyed was a mere 10-28 liters. 3. 91% of the respondents made use of sewerage facilities, but less than half (47%) were satisfied with them. The major reasons for dissatisfaction were poor maintenance and the continuous overflow of gutters. 4. Garbage disposal services were available to only 65% of the respondents, of whom only 40% were satisfied with the service. 5. Only 6% contacted the AMC to complain about the poor performance of their services. This minority was highly discouraged due to the poor behavior by AMC staff and their lengthy response time. The project drew a strong positive response from AMC's Municipal Commissioner and zonal level officers. (However, the latter tended to be more defensive in their reactions and blamed the poor for the quality of service). The Deputy Commissioner of the AMC asked that the data be disaggregated by zone, services, community and constituency. 6. A fourth of respondents (26%) admitted to paying "speed money" (bribes) to solve problems related with urban public services. |

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| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <ul style="list-style-type: none"> • FPI and AMC negotiated for step-by-step improvements in service provision. As a result, the municipal councilors supported the reforms. • FPI attempted to link the rating with AMC’s annual budget allocations, and this move was supported by the AMC. • SEWA saw an increase in SEWA members coming forward to register complaints on the poor performance of services. • The report has been mainstreamed and used by the municipal government itself when participating in regional and international forums. This has added to the report’s credibility, and has made it easy for AMC to act upon the information. • The project resulted in the transfer of knowledge, information and skills among the NGOs involved, community residents, and the AMC itself, on the methodology for conducting assessments. • Many lessons were learned on the empowerment resulting from participatory research, on the power of information, and the power of united community action. • “FPI made it a point of having immediate and speedy two-way exchanges of information. If information was collected from a community focus group, then another related or even unrelated, but meaningful, piece of information was immediately exchanged with them.” (Mihir Bhatt, November 1999) • Furthermore, the wide use of the data generated by the Report Card was crucial to the success of the Report Card project itself. SEWA used it for its own organizational work. The SEWA Bank used it for its financial planning. The AMC used it as baseline data for international proposals. The FPI used it to expand its own work in the urban sector. <p>The lessons learned can be summed up in the following phrases: (a) the potential of robust and systematic data; (b) the potential of organized communities to use data; (c) the importance of participatory, mutually empowering processes of generating information; (d) the importance of carefully constructing and tailoring the dissemination of information; and (e) the importance of identifying common interests.</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | <p>SEWA internalized the project and conducted it on a yearly basis, but this depended on AMC’s cooperation. Eventually an outside group was created, including AMC, FPI, SEWA, the Centre for Environmental Planning Technology, and the Ahmedabad Management Association, et. al, to conduct the exercise every year before the submission of the AMC budget.</p> <p>The findings of the survey have been modified into training materials and incorporated into the housing clinics program of the Mahila Housing Trust of SEWA. These clinics are conducted by the Trust for SEWA members who live in slums. They have been selected by the AMC to receive services under the Slum Networking Program. FPI has used the Report Card outcome as an advocacy tool in several national and local forums.</p> |
| | (If applicable) Has the initiative been scaled up? Repeated? | <p>SEWA subsequently applied the Report Card approach on itself to assess its own performance after 20 years of existence.</p> <p>FPI has produced other Report Cards, of Street Vendors of Radhnapur, Recipients of Malaria Relief, and of the Corporate Sector on the Gujarat Government’s Cyclone Relief of 1998.</p> |
| Further References | Web sources | www.sewa.org |

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| | Documents and Reports | <p>Foundation for Public Interest (1997). <i>Report Card of Poor Self-Employed Women on Public Services in Ahmedabad.</i></p> <p>Mihir R Bhatt (Nov 1999) <i>Assessing the Performance of Municipal Services for the Poor in Ahmedabad: The Report Card Project.</i> Foundation for Public Interest Working Paper No. 103.</p> |
| | Resource Persons/Contacts | Mihir Bhatt, Director, FPI |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

PROOF'S MONITORING OF BANGALORE'S MUNICIPAL CORPORATION, BUDGET ANALYSIS

BANGALORE, INDIA

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii) BPET , or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Public Record of Operations and Finance (PROOF) |
| | Primary Agency Running Intervention | PROOF is a joint project of the Centre for Budget & Policy Studies (CBPS), the Public Affairs Centre (PAC), Janaagraha and VOICES. |
| | Location | Bangalore, India |
| | Sector or Level of Focus | Multi-Sectoral, special program for students, city-wide |
| | Type of Engagement | The engagement is continuous. It was launched on July 4, 2002. |
| Context and Scope | What is the driving force behind the SA initiative? | PROOF notes the view of the Governmental Accounting Standards Board (GASB). That view being that financial reporting standards are essential to the effective functioning of a democracy. "So, if accountability and transparency have become critical benchmarks for governance in India today, PROOF is Bangalore's vehicle by which to root both into the city. The PROOF campaign provides an opportunity for government and local people to join hands and to ensure that public money is used for public good." |
| | What are the main objectives and what key accountability problems does it seek to address? | PROOF pursues transparency and accountability in financial operations of the government through a collaborative process between the stakeholders of the city and its municipal corporation. The people subject the corporation, the Bangalore Mahanagara Palike (BMP), to regular monitoring and auditing. |
| | Who is the target audience or demographic focus? | Bangalore city government, BMP officials, and the residents of Bangalore. |
| | What is the political culture or environment? | Democratic, though with problems in governance. Decentralized government. |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | <ul style="list-style-type: none"> • Quarterly Report of BMP • Audit by the PROOF Energy Centre (PEC), a group of Bangalore activists who meet regularly to steer PROOF's activities and to discuss service delivery issues with the communities. • PEC Workshops • Public Debate and Discussion on Quarterly Reports of BMP |
| | Briefly describe the methodology(/ies) or tools used. | <p>Quarterly Report of BMP: This is published by the city's municipal corporation, the BMP. The report adopts a standardized form and yields key performance data. This is done on a quarterly basis.</p> <p>PEC Audit: PROOF scrutinizes the quarterly report. The budget analysis is undertaken by the Centre for Budget and Policy Studies, one of PROOF partners. Part of PROOF's work involves developing performance indicators for each public service department.</p> |

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| | | <p>A matrix lays out, per department, the required <i>information inputs</i>, expected outputs, expected outcomes (such as customer satisfaction, reduction in clandestine dumping sites, access to education, improved tax collection, improvements in basic infrastructure), <i>efficiency measures</i> (waste per worker, number of streets cleaned per day, staff-to-student ratios, etc.), <i>productivity measures</i>, and other relevant information like climate, wages, per capita income, population density, etc.</p> <p>For example, five city corporation schools were selected for a pilot project to improve their standards. Together with BMP officials, NGOs and other stakeholders, PROOF held a meeting in November 2002 to agree on the performance standards of these five schools. A similar exercise was undertaken with regards to performance indicators for storm water drains in Bangalore. The first budget analysis was released by PROOF in October 2002, and the latest review looked into the fourth quarter 2003-2004 report of BMP.</p> <p>PEC Workshops. Training is conducted to provide PROOF members with the technical skills for analyzing the budget and financial statements of the BMP. Through the Namma Budget team, PROOF builds its capability to understand and analyze the BMP budget. The team, whose aim is to make the budget more citizen friendly, has met with BMP engineers to understand the processes and factors involved in budget preparation. The team then met with the BMP Commissioner with more questions about the budget process.</p> <p>Public Debate and Discussions. This involves both government and non-government stakeholders, bringing together BMP officials and Bangalore citizens. A popular, easy to read, version of the report is prepared and disseminated to the general public.</p> |
| | What advocacy and media activities support the initiative? | <p>Newsletter: Talk about PROOF, or TAP, is a fortnightly newsletter with a circulation of about 1,000. TAP provides regular updates on the campaigns and activities of PROOF. TAP has a counterpart newsletter in the local language, Kannada. It is called Proof Sanchike, with a circulation of 200 hard copies, and is released only occasionally.</p> <p>Radio Program: Puttana on Air, is a weekly radio program in Kannada. Discussions have covered many of the concerns of the citizens of Bangalore – the finances of the BMP, ward-problems, environment, health, sanitation, etc.</p> <p>Namma Budget Team is a team of eight members, which meets every week at VOICES. The team studies the BMP’s Budget and proposes ways in which it can be communicated so that it can be understood by the common resident.</p> <p>Mini-Discussion Series – More than ten have been conducted in various parts of Bangalore to introduce participants to the PROOF campaign and to present the quarterly performance data of BMP. The outcomes of these talks have inspired the PEC to conduct a lecture series called “including the excluded.”</p> <p>Building Bridges is responsible for getting responses to any comments or queries that are raised in any of the PEC activities.</p> <p>College Activities involve half-day workshops for university students. As a result, a Students PROOF Energy Centre (SPEC) has been formed.</p> |
| | How inclusive was the intervention? | Open to all stakeholders |
| | Other Important Information or Comments | N/A |

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| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>Increased capability of the PEC to analyze the financial statements of the municipal corporation. There is also increased interaction with government officials responsible for implementing the BMP budget.</p> <p>BMP Commissioner Srinivas Murthy has said: “We are now involved in not just maintenance, but are being increasingly expected to take up development work.” According to the Commissioner, the PROOF campaign “has been a tremendous experience and an opportunity for us to not only improve our performance but also to showcase our achievements.”</p> <p>The BMP has shifted to fund-based accounting, and with the help of a Bangalore-based IT firm has set up a geographical information system (GIS) for better planning and administration. It is reputedly the first municipal corporation to undertake such a step. Rules for revenue collection, and the allocation of contracts for infrastructure, have been simplified.</p> <p>The BMP has introduced a helpline and emergency brigades to be more responsive to its end-users. A PEC centre was recently set up in a rural community (Budikote Village, Kolar district) to enable the community to deal with education-related services, health services, the availability of qualified health professionals, road infrastructure, crop insurance, and other rural services.</p> <p>Ahalya Bhat of the Singamma Sreenivasa Foundation, who participated in the workshop to review the 4th quarter 2003/2004 performance of the BMP, said: “This workshop has been a thought provoking exercise, which gives us an idea of what transparency is all about. If it is continued, people will become empowered to make Bangalore a model city in the developing world.”</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | Meetings with BMP officials to discuss the PROOF analysis of the BMP quarterly reports are now undertaken on a regular basis. Initially they were held quarterly, but they are now done semi-annually. |
| | (If applicable) Has the initiative been scaled up? Repeated? | N/A |
| | Web sources | www.voicesforall.org |
| | Documents and Reports | Talk About PROOF, various issues, Issues no. 1-47 available at website above. Talk about PROOF, issue no. 48 (June 2004). BMP Performance Indicators (excel file). PROOF of good governance (October 2002). PROOF: The Citizen-Government Bridge (June 2003). |
| Further References | Resource Persons/Contacts | Ashish Sen, director of Voices Rajeev Yeshwanth, coordinator for Talk about PROOF |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

BUDGET ANALYSIS OF CBPS, BANGALORE INDIA

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| Methodology Type | Specify whether (i)PB, (ii) IBA , (iii)BPET, or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Budget analysis and assistance in budget policy formulation |
| | Primary Agency Running Intervention | Centre for Budget and Policy Studies (CBPS) |
| | Location | Bangalore, India |
| | Sector or Level of Focus | Social sector expenditures, women and children, local finances |
| | Type of Engagement | The engagement is continuous. |
| Context and Scope | What is the driving force behind the SA initiative? | <p>A constitutional amendment in India has established governments at the district level. Therefore, it is important to understand the inner workings of these strata, especially their budgets, and how they impact the poor.</p> <p>Dr. Vinod Vyasulu, CBPS Director said: “Many of the problems of governance stem from a multiplicity of agencies. For example, the city government does not deal with drinking water. There is also a separate agency for planning. The constitutional amendment creating local self governance, the term used in the law, through devolution of power has yet to be implemented. Things should improve.”</p> <p>The Centre for Budget and Policy Studies was formed in February 1998 by professionals from the TIDE Development Research Foundation. Its core work focuses on the budget process and its impacts, especially on poverty, gender, and the environment.</p> |
| | What are the main objectives and what key accountability problems does it seek to address? | <p>In general, the objective of CBPS is to contribute to discussions on the public issues through its research. As such, its helps accomplish change for more equitable development.</p> <p>CBPS believes it can be relevant in the new decentralized setting, for there are calls to look more deeply into local budgets.</p> <p>The analysis of the budget tries to expose discrepancies between what was allocated at the national level and what was actually disbursed at the state level.</p> |
| | Who is the target audience or demographic focus? | The main target audience of CBPS includes local communities, local governments, and other NGOs. |
| | What is the political culture or environment? | Democratic, but with problems in governance. |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | <p>Budget analysis.</p> <p>Trainings and workshops on budget analysis.</p> |

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| | Briefly describe the methodology(/ies) or tools used. | <p>Budget analyses and reports</p> <p>These include the process of budget allocation, the disbursement of funds across different levels of government, and the implementation of development programs.</p> <p>An example concerns the Budget for Education. One report shows data on education expenditures at the district level in Karnataka state. The study was conducted with the support of the Karnataka government. The official bodies wanted to use the findings for their budget policy work. Data on education budgets at the local level were gathered. The results showed that there was still much to be done to promote transparency and the smooth flow of funds from central to local levels. Monitoring at the local level was certainly needed so that NGOs could collaborate with the government in this task. CBPS reports also cover district income and poverty, education, health, family welfare, food security, other social sector expenditures, and city budgets.</p> <p>Trainings and Workshops</p> <p>Various seminars have expounded on:</p> <ol style="list-style-type: none"> 1. Using budgets for advocacy. 2. How to estimate district level income for the planning of local governments. 3. Learning from abroad: budget exposure workshop for South Asia held in Katmandu, Nepal. |
| | What advocacy and media activities support the initiative? | <p>Some reports are reproduced in the vernacular to make information accessible to the local population.</p> <p>When asked whether CBPS findings get much coverage in the media, he replied: “Not well at all. Occasionally someone asks a specific question, but budget analysis per se does not seem to interest them. They would like newsworthy stuff like corruption etc, I am afraid.”</p> |
| | How inclusive was the intervention? | <p>Dr. Vyasulu: “The poor are not involved. We have tried to include slum dwellers associations, but this has not been successful. We work with locally elected representatives, and because of reservations in the Indian system, many of them are poor. We are trying to build their capacity in this regard.”</p> |
| | Other Important Information or Comments | <p>On problems faced by CBPS:</p> <p>Dr. Vyasulu: “The main problem has been the lack of proper records in various local government offices, and in getting access to them. The new Right to Information law has not really made a difference in this regard. We have to spend lots of time in getting data. We deal with it by visiting officers often and by being persistence.”</p> <p>An interesting feature of the CBPS experience is that, at the onset, the individuals involved did not have much experience in budget analysis. However, they decided that public finance was indeed the arena for effective work. So they got funding from the Ford Foundation, equipped themselves with the necessary skills and began to build a network with other organizations in the field.</p> |
| Results and Impact | <p>What (if any) has been the impact of the initiative? What have been the incentives?</p> <p>Since its formation, CBPS has gained distinction and credibility. It has been involved in consultations with the government and has been commissioned to conduct various analyses. The Centre is now capable of transferring its expertise in budget analysis to other organizations. Its printing of numerous reports has contributed to a better-informed public.</p> <p>Dr. Vyasulu: “Our point about a lack of clarity and the need for better auditing has influenced the government in passing a new fiscal responsibility law for local bodies.”</p> | |

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| Further References | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships established with the government, parliaments, media, NGOs, communities etc.? Describe. | <p>The government has accorded CBPS active participation in policy formulation. Its studies on budget analyses have been used as a reference for newly-elected government officials.</p> <p>Dr. Vyasulu: “The government has come to accept our results. For example, on how data are kept, what is where, and so on. This has been used by the World Bank in its discussions with the state government. They have also consulted us on various issues over time.”</p> <p>CBPS belongs to the vital network of “the International Budget Project of the Center on Budget and Policy Priorities” in the United States. Through discussions within the network, they identified their particular niche, being local government budgets. This choice has proved to be crucial in establishing themselves as a major contributor in budget analysis, research, and training.</p> |
| | (If applicable) Has the initiative been scaled up? Repeated? | The CBPS has been imparting its skills to other organizations. Dr. Vyasulu: “We have been part of a process that has led to the setting up of the Centre for Governance and Budget Accountability in Delhi. We take part in various training programs for different NGO audiences and also take part in public discussions. One example is the PROOF campaign in Bangalore.” |
| | Web sources | www.panchayats.org/dnrm_cbps.htm |
| | Documents and Reports | <ul style="list-style-type: none"> • Social Sector Expenditures in Karnataka, by A. Indira and Vinod Vyasulu; • Education Finances at the District Level, Karnataka; • The Health Budget of Karnataka: A Preliminary Study, by A. Indira and Vinod Vyasulu; • How do We Implement the Recommendations of Karnataka's Task Force on Health & Family Welfare?, by M.A. Deepa; • Estimating District Income in India, by Rohini Nayyar, Meenakshi Rajeev, Vinod Vyasulu, Macmillan India, 2003; • City Governments, Budget Analysis and Public Participation: The Experience of Bangalore, by Seema Dargar |
| | Resource Persons/Contacts | Dr. Vinod Vyasulu, Director |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

CHILDREN’S SURVEY OF ROADS IN BANGALORE, INDIA

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii)BPET, or (iv) PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | <u>Junior Citizens’ Assessment of the Quality of roads in Namma Sundara Bengaluru, Bangalore</u> |
| | Primary Agency Running Intervention | Children’s Movement for Civic Awareness (CMCA) of the Public Affairs Centre and Swabhimana. |
| | Location | Bangalore, Karnataka state, India. |
| | Sector or Level of Focus | Public works in the city. |
| | Type of Engagement | This was the first ever children’s road survey. It may be continued and replicated in the future. It was conducted as part of the PAC’s civic awareness summer camps, held in April - May 2000. 28 schools in Bangalore joined the activity. |
| | What is the driving force behind the SA initiative? | The PAC and the Swabhimana movement realized that nurturing civic values at an early age was a less daunting task than changing the attitudes of adults. The two groups, therefore, forged ties to create the Children’s Movement for Civic Awareness in 2000. Training was to be interactive and participatory. It swept classroom lectures, quizzes, demonstration models, role -plays, field visits, and practicum work. “Imparting civic knowledge, civic skills, and civic dispositions form the core of civic education. There is increasing evidence to show that young people who are active early in life whether in school or the larger community are more likely to be active as adults. Similarly students who are given greater responsibility often develop a greater sense of responsibility later on in life.” -- the Children’s Movement for Civic Awareness. |
| | What are the main objectives and what key accountability problems does it seek to address? | The exercise helps Bangalore citizens hold their public works officials accountable. More importantly, it gives the children their first taste of civic involvement. |
| | Who is the target audience or demographic focus? | The children of Bangalore. |
| Context and Scope | What is the political culture or environment? | India is democratic, but with problems in governance. Bangalore is known for its social accountability mechanisms rolled out by the Public Affairs Centre (PAC). |
| | What specific SA tools and methodologies are being used? | A survey on the quality of city roads involving school children armed with checklists. |
| | Briefly describe the methodology(/ies) or tools used. | Roads were randomly selected around the venues of four civic awareness camps. They numbered 23 roads spread across the north, south, central and eastern zones. The children, aged between 12 and 14 years, were first briefed on the need to drain water from the roads to maintain their quality. The lecturers also explained the various critical road dimensions like: the efficacy of the drainage system; impediments to pedestrian and road safety, and the quality of the riding surface. |
| Tools and Methodologies Used | | |

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| | | <p>The children were then sent to observe 300 meters of each road fill out their checklist. Some of the items covered were:</p> <ul style="list-style-type: none"> • Presence of side and shoulder drains. • Evenness of the surface of the footpath. • Whether or not the footpath is covered with slabs. • Proper height of the curb stone. • Obstructions to pedestrians. • Number of potholes. • Number of cracked areas. • Presence of signs or painted lines to indicate a road hump. • Unfilled or non-compacted diggings for electrical or telephone cables. <p>The checklist included instructions like, “Observe and count the number of locations where the entry point or opening of the shoulder drain is at a higher level than the road surface (i.e. water cannot freely flow out from the road surface through the shoulder drain).”</p> |
| | What advocacy and media activities support the initiative? | The findings were presented by the children to the Bangalore Municipal Commissioner at a public function. The findings made headlines in Bangalore’s newspapers. One striking value of this intervention is its ability to attract media attention. Mere children monitored the public works and presented it to the public officials. |
| | How inclusive was the intervention? | Very inclusive. The methodology was simple enough to be undertaken by 12-14 year-old youths. |
| | Other Important Information or Comments | N/A |
| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>The survey graphically captured the deficient quality of public works in Bangalore. It also complemented the work of the PAC’s Citizen Panel examining the quality of roads in Bangalore. The Municipal Commissioner told his officials to take immediate steps to upgrade the roads covered in the survey.</p> <p>Because of all these measures, there was indeed a visible change in road maintenance in Bangalore. For example, one could see improvements in the filling of pot-holes.</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | The Children’s Movement for Civic Awareness is expanding to 60 schools in Bangalore. Each school will have a civic awareness club. |

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| | (If applicable) Has the initiative been scaled up? Repeated? | <p>The commissioner of the Bangalore municipal corporation visited Jaathre, where he spoke with CMCA children. The members from different schools reported to him on the absence of and deteriorated conditions of toilet facilities. He quickly ordered their renovation.</p> <p>In 2001-2002, the CMCA children ran a survey on people's awareness of the environmental hazards caused by polythene bags. They interacted with 800 firms and 1,200 households. The survey got much media attention. It pushed the Karnataka State Pollution Control Board to expedite the process of enforcing the ban on producing polythene bags less than 20 microns thick.</p> <p>In 2003, the CMCA conducted a survey on access to water, patterns of water consumption, and awareness levels on water conservation. It involved 1250 households and 400 companies.</p> |
| Further References | Web sources | Email cmcaexpressions@yahoo.co.in |
| | Documents and Reports | <p>"Children's Movement for Civic Awareness: (A Joint Initiative of Public Affairs Centre and Swabhimana).</p> <p>The Civic Club Initiative in Schools for Civic Consciousness and Active Citizenship."</p> |
| | Resource Persons/Contacts | Sita Sekhar of the Public Affairs Centre |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

PARIVARTAN'S SOCIAL AUDIT, DELHI , INDIA

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii) BPET , or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Public audit/jansunwai (public hearings) |
| | Primary Agency Running Intervention | Parivartan, Delhi, India |
| | Location | Sundernagari and New Seemapuri areas of Delhi. |
| | Sector or Level of Focus | Urban public finances (especially related to developmental work), social services. |
| | Type of Engagement | The engagement is continuous. |
| Context and Scope | What is the driving force behind the SA initiative? | <p>Parivartan began in June, 2000 as an organization helping citizens in their efforts to gain access to government services without resorting to bribery and extortion. Its objective evolved into empowering the people to directly fight for their rights and to force systemic changes.</p> <p>The passage of the Delhi Right to Information Act of 2001 provided an avenue for its continuance. The Act allows citizens access to government files. Even if the Delhi government has provisions for transparency, in practice, citizens are generally uninformed about their rights under the law. To aid in promoting transparency and accountability, Parivartan enlightens the public on how to use the Information Act to their advantage. One of the avenues is to perform a social audit, adopting the method of Mazdoor Kisan Shakti Sangthan (MKSS) of Rajasthan.</p> |
| | What are the main objectives and what key accountability problems does it seek to address? | <p>A social audit is conducted to bring to light irregularities in public expenditures, forcing the government to be accountable. Documents on government works are obtained and compared to reality on the ground.</p> <p>There are no legal sanctions with regards to the findings of the audit. However, public pressure instigates action and permanent changes in the system. The social audit is usually done through a public hearing where the details of the public works contracts, for example, are read out and citizens verify or refute the records.</p> |
| | Who is the target audience or demographic focus? | The target audience is the local community, local government officials and the bureaucracy, the local political establishment, and private contractors. |
| | What is the political culture or environment? | Democratic, but with problems in governance. Decentralized government. |
| | Tools and Methodologies Used | What specific SA tools and methodologies are being used? |

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| | Briefly describe the methodology(/ies) or tools used. | <p>Social or public audit – Parivartan first obtained documents through the Delhi Right to Information Act on public works in Sundernagari and New Seemapuri, 2 resettlement colonies in Delhi. Parivartan then started an awareness campaign in the areas. The field workers held street meetings, sang, and enlightened the people of public works that were supposed to have been built in their areas.</p> <p>Lapses in contracts were exposed through site visits by residents. This roused the community to demand a public hearing, which was organized in December 2001, through Parivartan and the MKSS. It was well-attended, covering 1,000 people including the residents, media, and other personalities. The various contracts were read out, and the residents testified as to whether or not the public works or services were indeed provided. Of the 68 contracts read out loud, 64 were found to have irregular appropriations.</p> |
| | What advocacy and media activities support the initiative? | Parivartan’s public hearings are well covered by the media. |
| | How inclusive was the intervention? | <p>Local residents participated by going on site visits and providing testimony to the veracity of the contracts read out. They were also instrumental in effecting corrective action from the government on these public works.</p> <p>The interventions were successful in mobilizing the local residents of Sundernagari and New Seemapuri. They created the momentum for the holding of the jansunwai (public hearings) and post-jansunwai actions.</p> |
| | Other Important Information or Comments | <p>Parivartan’s Problems with the Right to Information Act</p> <ul style="list-style-type: none"> • Fees charged to obtain information were quite high. • No action was taken against officers who refused to provide timely or accurate information. • The process of obtaining and inspecting records was not explained well. • Not much action taken on exposed corruption. <p>Despite these difficulties, Parivartan went on to educate and mobilize the people and were quite successful at it. Several tangible results arose after the social audits and public hearings: Effects on the Delhi Administration and senior MCD (public works office) officials:</p> <ul style="list-style-type: none"> • Initially, the MCD and Delhi administration tried to discourage the holding of the jansunwai. However, because of talks between Parivartan and the Chief Minister, the meeting pushed through. • Several corrective steps were taken by the Delhi administration and MCD after the jansunwai. • On each public works site, a board now displays all pertinent information. |

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| <p>Results and Impact</p> | <p>What (if any) has been the impact of the initiative? What have been the incentives?</p> | <ul style="list-style-type: none"> • A list of all completed works within the last quarter is prominently displayed on the notice boards of all division offices. • A list of all works carried out in a locality within the last year is painted on a wall in the area. • Copies of contracts for all ongoing works are displayed on the walls of the local MCD branch. • The Chief Secretary issued orders that all Delhi government departments should conduct jansunwais on their own initiative. If these orders are weakly implemented, the people respond by demanding full implementation. <p>Effects of jansunwai on the local people</p> <p>The information released by Parivartan workers enraged the local residents. The latter demanded a platform to air their grievances, even amid threats and risks to their safety. The momentum for action was quite overwhelming. Even efforts by the government to disrupt the jansunwai were overrun by the people.</p> <p>The more lasting impact of the social audit was the paradigm shift in the morale of the people. For the first time, they saw clearly that it was possible to make their government accountable to them. This new-found empowerment carried over to post-jansunwai activities. For example, Mohalla Samitis (Local Area Committees) were formed, comprising representatives of each block. The people closely monitored the civil works being done in their blocks, demanding redress when discrepancies were seen. They also recommended which areas needed to be given priority. They have become effective in exacting justice, such as the dismissal of some government officials.</p> <p>Effects on the local bureaucracy</p> <p>At first the local bureaucracy made it difficult for the people to obtain the needed information and cooperation for the jansunwai. But a markedly new attitude was observed after it became more accommodating towards the people, due to pressures exerted on them by the people.</p> <p>Effects on the local political establishment</p> <p>Some local officials began to hold parallel street meetings, spreading false accusations against Parivartan. But pressure from the residents prevailed. During the jansunwai, one local official and his men tried to disrupt the proceedings. They were forced to leave after their efforts had no avail. Again, after the jansunwai, he tried to gain the cooperation of Parivartan by offering concessions if they left his area due to the upcoming elections. The people's response was to pressure him to distribute publicly all copies of contracts before the start of each civil works project. He refused, because no contractor would allow that, as it would affect their profit margins. In the end, due to the fact that almost all work was being effectively stalled by the people, the official's brother went to Parivartan and agreed to make all contracts public.</p> <p>Effects on local contractors</p> <p>Initially they issued threats before the jansunwai, but there were no ensuing incidents. After the jansunwai, due to the new sense of transparency, the contractors became more careful in completing their works.</p> |
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| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? | The Chief Secretary has ordered government agencies to run social audits. Pertinent information on public works and services is now made available to the public. |
| | (If applicable) Has the initiative been scaled up? Repeated? | The success of the social audit in Sundernagari and New Seemapuri has propelled Parivartan to conduct social audits in other areas of Delhi. |
| Further References | Web sources | www.parivartan.com |
| | Documents and Reports | N/A |
| | Resource Persons/Contacts | Arvind Kejriwal Research Associate, Parivartan |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

THE RIGHT TO INFORMATION ACT OF GOA, INDIA

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii) BPET , or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Goa Right to Information Act (GRIA) |
| | Primary Agency Running Intervention | State Government of Goa |
| | Location | Goa, India |
| | Sector or Focus Level | Residents, civil society groups, and businesses in Goa |
| | Type of Engagement | The engagement is continuous. |
| Context and Scope | What is the driving force behind the SA initiative? | Many activist groups fight for the citizen’s right to information. But this was not the genesis of GRIA. Rather, the law was thrust upon them by the government. The following account is startling: “In mid-1997 the Congress chief minister of Goa, Pratapsing Rane, announced that his government would soon introduce right-to-information legislation. Goa’s activists and press corps were caught off-guard. When the press finally obtained a copy of the bill -- ironically, through a leak from sources within the bureaucracy -- they discovered a number of draconian provisions, which had little to do with increasing accountability. One clause provided for fines for those who used information obtained under the act for ‘malafide purposes.’ Many felt that this clause revealed the government’s true intent: intimidation of the press.” (*) |
| | What are the main objectives and what key accountability problems does it seek to address? | To institutionalize the right to information. To strengthen transparency and accountability. |
| | Who is the target audience or demographic focus? | Residents of Goa |
| | What is the political culture or environment? | Democratic, but with some resistance to full disclosure and accountability. |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | The Goa Right to Information Act, which was passed in July 1997. |
| | Briefly describe the methodology(/ies) or tools used. | The Goa Right to Information Act, as amended, guarantees the right of any citizen to apply in writing for “any information relating to the affairs of the state or any local authorities.” Information can be refused only in special cases. A list of “competent authorities” provided in the Act have 30 days to furnish or refuse the information, once the application is received. The law also provides a procedure to adjudicate appeals against requests that have been denied. Three years after the law was enacted, over 1,000 applications had been filed by a wide range of citizens (not just watchdogs or campaign NGOs). |
| | What advocacy and media activities support the initiative? | N/A |
| | How inclusive was the intervention? | All citizens |
| | Other Important Information or Comments | Amendments to the GRIA were pushed by the Goa Union of Journalists, which mobilized civil society against what it saw as the “offending provisions” of the Act. Amendments to the law were passed in early 1998. |

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| <p>Results and Impact</p> | <p>What (if any) has been the impact of the initiative? What have been the incentives?</p> | <p>One year after GRIA, 400 applications were filed by individuals seeking the release of information. Such information sought ranged from potentially illegal construction, to clearances given to polluting industries, and business taxes paid by individuals known to be favored by those in government.</p> <p>Since the passage of GRIA, only a few civil society organizations such as the All-Goa Citizens' Committee for Social Justice and Action (AGCCSJA) have extensively exercised their rights under the law. Even many of Goa's journalists prefer to use their established channels of privileged disclosure rather than invoke the GRIA.</p> <p>The AGCCSJA filed 28 applications for information in the first year of the Act's existence. As a result of one such application, the AGCCSJA obtained the audited financial statement of a district cooperative bank. The audited statement contained details of the bank's mismanagement, which the AGCCSJA published. The local politician who controlled the bank subsequently lost in the election that followed this expose.</p> <p>Another organization, the Gomantak Bahijan Samaj Parishad (GBSP), a federation of "other backward castes" (OBC), used the GRIA to look into the granting of OBC status to a large "forward" caste. The GBSP obtained minutes of the Cabinet meeting in which the decision was made. It discovered that it was the ruling political party, not the Goa State Commission for Backward Castes, that granted the OBC status to the said group. Armed with this document, the GBSP succeeded in securing a Supreme Court stay on the notification of the decision.</p> <p>Despite the growing exercise by citizens of their right to information through the GRIA, the petitions that have been filed so far "do not yet add up to a concerted campaign against corruption affecting less privileged constituencies." (Robert Jenkins and Anne Marie Goetz)</p> <p>There is mixed feedback about the law. Some cases of corruption, nepotism and patronage have been exposed with the information obtained through GRIA. But the government has imposed processing and photocopying fees, which critics warn may be too prohibitive for those in the marginalized sectors who would probably benefit most from the GRIA. (The law empowers the imposition of fees, but critics see the high/above market rates to be a deterrent to its enforcement.)</p> <p>There are also some gray areas in the law, particularly in the invocation of "personal information" as an objection to disclosure. At the level of the panchayat or village, one group was convinced that the local community leader was corrupt. So they filed an application to obtain a range of panchayat level documents. The group that submitted the application suspected that this person and his cronies were being under-assessed and consequently were paying taxes below what they ought to pay. The panchayat secretary, however, refused to release the tax records and land survey documents, citing as his basis, the argument that the documents were a matter of "personal information which would serve no public interest."</p> <p>The opposing views on the GRIA can be summarized in the following quotes. A retired officer, Arvind P. Bhatikar, expressed his dissatisfaction with the law: "I've not yet got a reply to a query about the assets of four ex-ministers. They say it's confidential." But journalist Damodar Ghanekar replied, "Why be skeptical about the law? Only when you test fire a missile do you know whether it works. This (law) is a real missile. Of course, not enough people are aware (to utilize it effectively and explore it fully)."</p> |
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| | | <p>Monitoring of the law is supposed to be undertaken by a State Information Council which includes representatives from NGOs and the press, but it is not yet operating effectively.</p> <p>The response of government employees to the GRIA, likewise, is mixed. Some have complied with the law by disclosing information in response to applications filed. But other departments have ignored the applications and the 30-day response time limit. In one case, after refusing an application which subsequently won an appeal at the Tribunal, the agency resorted to bureaucratic measures to deny the citizen her right to information.</p> <p>Further, some employees now treat EVERY request for information as an application under GRIA, while such information should be readily accessible as standard operating procedure. In response to this, a women’s organization, the Bailanchao Saad, is advocating a culture of automatic information disclosure as a matter of course, without the need for filing an application.</p> <p>For GRIA to become effective in enhancing transparency in government, what is needed is a civil society constituency that is committed to the exercise of the right to information under the law. For this to happen, it is imperative to forge a stronger link between the right to information, and broader social, political, and economic rights, specifically, the right to livelihood and basic services.</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? | GRIA is not promoting a culture of automatic information disclosure. Rather, it leads to the mere grudging release of information in response to individual petitions. But this may merely be part of the “growing pains” as both government and citizens learn how to use the law. |
| | (If applicable) Has the initiative been scaled up? Repeated? | N/A |
| Further References | Web sources | www.goacom./rti/yrlater.html www.goacom.com/rti/simple.html |
| | Documents and Reports | <p>* Robert Jenkins and Anne Marie Goetz. “The Goa Right to Information Act One Year One.”</p> <p>Frederick Noronha. “Goa’s Little-Noticed Experiences with the Right to Information.</p> <p>Adhar Socio-Legal Forum (1999). “The Goa Right to Information Act ... Made Simple.”</p> |
| | Resource Persons/Contacts | N/A |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

REPORT CARD ON PUBLIC SERVICES IN HYDERABAD, INDIA

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii)BPET, or (iv) PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Report Card on Public Services in Hyderabad |
| | Primary Agency Running Intervention | Administrative Staff College of India |
| | Location | Hyderabad, India |
| | Sector or Level of Focus | Hyderabad residents, with a special focus on slum dwellers. |
| | Type of Engagement | It was conducted in 2000. |
| | What is the driving force behind the SA initiative? | The general perception that public services in India are unsatisfactory. |
| Context and Scope | What are the main objectives and what key accountability problems does it seek to address? | To generate feedback primarily from users about public services in Hyderabad, in order to improve their effectiveness and accountability to the public. To stimulate interest among citizens for improved public services through informed collective action. In the absence of competition (the service providers are monopolistic), to use public feedback to signal to them the need to improve their performance. |
| | Who is the target audience or demographic focus? | Citizens of Hyderabad, with a special focus on slum dwellers. |
| | What is the political culture or environment? | Democratic, but with problems in governance. The public services are monopolies of the government, so there is a sense of complacency in the staff. |
| | What specific SA tools and methodologies are being used? | Report card survey |
| Tools and Methodologies Used | Briefly describe the methodology(/ies) or tools used. | The Report Card acts as a statistically rigorous research technique to assess the performance of government agencies. It can serve as a powerful instrument for local interest groups to demand adequate, efficient and reliable public services. It provides a means to assess and highlight certain dimensions of service delivery. It can function as a diagnostic tool to identify problem areas. And it can encourage the agencies concerned to adopt a consumer-friendly orientation, through clear performance standards. The Report Card on Public Services in Hyderabad looks at: the performance of the government agency assessed; the levels of user satisfaction with the various services; the responsiveness of the agency to user needs; citizens' ratings on efficiency and reliability; the extent of corruption; the cost of coping mechanisms borne by citizens, and their willingness to pay for improved services. The services covered were solid waste disposal, storm water drains, roads, open spaces and parks, street lights, water supply, sewerage, electricity, telephones, public transport buses, and postal and telegraph services. The survey used a sample of 1,000 respondents, a third of whom (326) lived in the slums. |

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| | What advocacy and media activities support the initiative? | N/A |
| | How inclusive was the intervention? | Only households were surveyed; commercial, industrial and administrative zones were not covered by the Report Card. |
| | Other Important Information or Comments | <p><u>Survey Results, slum dwellers:</u></p> <p>The following services got a satisfaction rating of below 25%: solid waste disposal, storm water drains, roads, other public services, water supply, sewerage, electricity and telephones. Storm water drains received the lowest rating of 2%, while postal services fetched the highest satisfaction rating of 93%.</p> <p>Only two out of five (39%) slum dwellers had an individual water connection, 80% had electricity, and 68% had sewerage access. Half had complaints with the service provided. But 85% of those with complaints did not do anything about them because of their lack faith in the system.</p> <p>The commonly cited problems faced by slum dwellers were the absence of street lights, choked drains and gutters, clogged and leaking sewerage, inadequate telephone connections, contaminated water, and irregular, unscheduled power outages.</p> <p>Slum dwellers extended gifts and favors to local officials for providing them with public services. About 42% paid this kind of speed money (bribes) for water. Even in the slums, the residents invested their own money in tanks, pumps and wells to augment their water supply.</p> |
| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>Problems with the delivery of public services were exposed:</p> <ul style="list-style-type: none"> • Low esteem held by end-users for public service providers. • High recurrence of problems, indicating the absence of long-term institutional reforms. • Ineffective training of government employees to be service-oriented and efficient. • Common use of “speed money” to hasten service delivery. |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | There is a recommendation to undertake the Report Card survey regularly, twice a year. |
| | (If applicable) Has the initiative been scaled up? Repeated? | The Report Card was replicated from that of the Public Affairs Centre, in Bangalore. |
| Further References | Web sources | www.asci.org.in |
| | Documents and Reports | V. Srinivas Chary. (2000-2001) Report Card on Public Services in Hyderabad. Administrative Staff College of India. |
| | Resource Persons/Contacts | N/A |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

CITIZENS' CHARTERS OF LOK SATTI, HYDERABAD, INDIA

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii) BPET , or (iv) PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | People's Watch, Swarajya, People's Ballot |
| | Primary Agency Running Intervention | Lok Satta (People's Power) |
| | Location | Hyderabad, India |
| | Sector or Level of Focus | Multi-sectoral. The primary focus lies on governance, political and electoral reform. Advocacy also includes the education, healthcare and power sectors. As a people's movement, it is limited to the state of Andhra Pradesh. As a think tank and advocacy body, its reach is nationwide. |
| | Type of Engagement | The engagement is continuous. |
| | What is the driving force behind the SA initiative? | The informed and collective assertion of the people as the potent force for the democratic transformation of India. The struggle against corruption in government and against poor service delivery. The search for institutional solutions. i.e. change in the rules of the game, not merely a change in the players. |
| | What are the main objectives and what key accountability problems does it seek to address? | Mission: To promote the peaceful, democratic transformation of India's processes of governance. Key Goals: <ul style="list-style-type: none"> • Electoral reforms (which won't be discussed here) • Judicial reforms (won't be discussed) • Empowerment of local governments <ul style="list-style-type: none"> Devolution of funds, functions and functionaries to local governments Establishing links between votes and the public good, between authority and accountability, and between taxes and services. • Instruments of accountability <ul style="list-style-type: none"> Right to information Citizen's charters Independent anti-corruption agency |
| | Who is the target audience or demographic focus? | Grassroots communities, ordinary (disempowered) citizens, parliamentarians, political parties, and the media. |
| Context and Scope | What is the political culture or environment? | Democratic, but with problems in governance. Decentralized government. |
| | What specific SA tools and methodologies are being used? | People's Watch: Citizens' groups get together locally under the banner of Lok Satta and resort to collective, informed assertion for better governance. The Swarajya movement advocates specific governance reforms at the State and local level. In terms of right to information, citizen's charters, empowerment of local governments and citizens as stake holders. People's Ballot and Signature campaigns on specific issues like the empowerment of local governments. |
| Tools and Methodologies Used | | |

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| | Briefly describe the methodology (/ies) or tools used. | <p>People's Watch: Lok Satta's name and credibility give local people the power and confidence to intervene and improve the quality of public services. A whole range of issues are discussed, like birth certificates, registration, police complaints, and passports.</p> <p>Swarajya: This is aimed at enforcing accountability in government and its agencies through collective and informed assertions of citizens. Citizens have to arm themselves with knowledge, or else they can never wade through the thicket of regulations and procedures. The Swarajya movement involves these initiatives:</p> <ul style="list-style-type: none"> • <i>People's Charters:</i> A series of people's charters containing precise, accurate and simple information on common public services has been published in Telugu, English, Hindi and Urdu. • <i>People Neighborhood Watch Groups:</i> People were organized as local watch groups to monitor issues of interest to them. • <i>Demonstration Campaigns:</i> For instance, Lok Satta waged a campaign against cheating in the measures of petrol and diesel. The advocates used simple 5-litre calibrated plastic cans to help consumers detect short-measurement. <p>People's Ballot and Signature campaigns: These are response capture mechanisms which quantify people's support for the reform agenda. Lok Satta used these mechanisms to great effect during the campaign for the Empowerment of Local Governments.</p> |
| | What advocacy and media activities support the initiative? | <p>Public Broadcasting Capsules. Lok Satta produced short (2-3 minutes) video films on its concerns regarding each public service.</p> <p>Right to Information Bill. Lok Satta drafted a stringent law to increase transparency in the administrative apparatus.</p> <p>Lok Satta was also instrumental in the enactment of the Societies Registration Law of 2001 in Andhra Pradesh. This Act reduced unnecessary and unwarranted government intervention in a multitude of societies.</p> |
| | How inclusive was the intervention? | Open to all stakeholders |
| | Other Important Information or Comments | N/A |
| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>People's Watch; notable successes :</p> <ul style="list-style-type: none"> • Petrol bunks were monitored by citizens. Short delivery was effectively stopped in all the 1,500 petrol stations of Andhra Pradesh. • In many cities the personnel at the property registration offices were forced to refund the bribes they collected. • The State government responded to the public pressure generated by the movement, and Citizen's Charters are being framed in nine departments. • Over 10,000 youth have been trained in the technique of citizen assertion. • Thousands of local initiatives are made possible as a result of applying accountability techniques. |

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| | | <p>Swarajya: This sweeps over more than 40 common public services in Andhra Pradesh (AP) involving 9 departments. Four services are covered by an excellent Citizen's Charter applicable to more than 50 municipalities in AP. For the first time, the citizens get compensation for every day's delay in these services. Lok Satta helped to draft and disseminate the Charter. Notable successes:</p> <ul style="list-style-type: none"> • In several local offices the right to information has been exercised. • 9 Citizen's Charters have been enacted – AP State Electricity Board; AP State Road Transport Corporation; Transport Department; Hyderabad Metropolitan Water Works and Sewerage Board; Employment Exchanges; Commercial Taxes Department; Registration Department; Municipal Corporation of Hyderabad; Municipalities. • Municipalities have been successfully mobilized, and the state government was forced to partially empower local governments. • Water Users' Societies (of farmers) and school education committees (of parents) have been given legal recognition. • The State government responded to pressure by launching a large program of household toilets. More than 1million toilets were built in 2 years. <p>Campaign for the Empowerment of Local Governments: LOK SATTA launched an unprecedented campaign to collect signatures from 10 million people in AP in support of local government empowerment. It has succeeded in doing so. Subsequently, the state government approved a series of resolutions giving effect to many of LOK SATTA'S proposals on devolution. It is in the process of issuing appropriate executive/government orders (GOs).</p> <p>Active Citizen's Training: LOK SATTA undertook a 3-year program for training 100,000 citizens in Andhra Pradesh, aiming to teach them the techniques of collective assertion and citizen's initiatives. The program was launched in 2001 and is scheduled to end in December 2004. So far nearly 53,000 citizens have been trained.</p> <p>Taxes: Anti-Corruption Campaign with Small Businesses: Agreement signed with the Commission of Central Excise to jointly evolve procedures for simplifying tax assessment and payment procedures. Lok Satta is now nationally recognized as a credible, non-partisan effective platform to fight corruption and seek better governance.</p> |
| | <p>Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe.</p> | <p>To repeat, various state laws were enacted.</p> <p>Public service delivery and other public administration processes have also improved.</p> <p>Citizens' Charters are now an integral part of governance.</p> |
| | <p>(If applicable) Has the initiative been scaled up? Repeated?</p> | <p>Citizen's Charters have been replicated. Other Lok Satta interventions that can be easily replicated are the Campaign versus short-selling of petrol, the Movement for Empowerment of Local Governments, and the Local Courts Model.</p> |
| <p>Further References</p> | <p>Web sources</p> | <p>http://www.loksatta.org/, Email: loksatta@satyam.net.in</p> |
| | <p>Docs and Reports</p> | <p>See http://www.loksatta.org/publications.htm for full list</p> |
| | <p>Resource Persons/Contacts</p> | <p>Ms. G. Pratibha Rao, Lok Satta Times editor</p> |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

KERALA PEOPLE'S PLANNING CAMPAIGN, KERALA, INDIA

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| Methodology Type | Specify whether (i) PB , (ii)IBA, (iii)BPET, or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | People's Planning Campaign (PPC) |
| | Primary Agency Running Intervention | State Planning Board, Kerala |
| | Location | Kerala State, India |
| | Sector or Level of Focus | Panchayats, or the local governing bodies in Kerala. Multi-sectoral |
| | Type of Engagement | The engagement is continuous. It began in 1997 and has been institutionalized. |
| Context and Scope | What is the driving force behind the SA initiative? | The Indian tradition of village self-rule. Kerala's policy of radical decentralization, which was set in motion in 1995. The need to democratize this decentralization process in Kerala. Previous successes of coordinated activities in Kerala state, involving elected officials, people's organizations, experts, and concerned citizens. |
| | What are the main objectives and what key accountability problems does it seek to address? | <ul style="list-style-type: none"> • The target was that 35% -40% of funding for development plans would cover plans formulated and implemented from below. • Consensus building towards institutionalized local development planning. • Broadening the capacity of "grama sabha", or the village electorate, in the planning process. • Institutionalizing procedures for greater transparency at the decision-making, planning, and implementation phases. • Because of decentralized planning, the participants (officials and ordinary citizens) are themselves transformed and become more active participants in democratic governance. |
| | Who is the target audience or demographic focus? | Grassroots citizens of Kerala. |
| | What is the political culture or environment? | Democratic political framework, strong mass organizations, ample space for governmental-NGO cooperation. |
| | What specific SA tools and methodologies are being used? | Local and state level participatory development planning. Training of state level trainers, as well as district level resource persons. Municipal level Development Seminars. The Women's Component Plan. |
| Tools and Methodologies Used | | |

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| | <p>Briefly describe the methodology(/ies) or tools used.</p> | <p><u>Planning</u>: a 6-phase planning process was envisioned.</p> <p>Phase I aimed at identifying the needs of people, through Gramasabha (meetings of the village electorate) in rural areas and ward conventions in urban areas.</p> <p>Phase II resulted in Panchayat Development Reports, a product of training and development seminars. (<i>Panchayat</i> means “governing body.”)</p> <p>In Phase III, 12 Task Forces, one for each development sector, prepared project proposals arising from the recommendations of the Development Seminar.</p> <p>Phase IV saw the formulation of Panchayat Plans, which integrated and prioritized projects prepared by the Task Forces. Block and district Panchayats then prepared annual plans based on the plans of the grama panchayats.</p> <p>Phase V carried out the plans identified in Phase IV.</p> <p>Phase VI, involved committees of experts, or technical volunteers. They appraised and approved the plans.</p> <p><u>Training and Workshops</u>: 373 state level trainers were trained. The target was that 30% of them should be women, but they constituted only 15%. The state level trainers then trained over 10,000 district level resource persons to conduct workshops, in turn, for 100,000 local activists. Where women’s participation was strong, neighborhood group meetings took place to discuss themes ranging from macro policies to community concerns.</p> <p><u>Municipal level Development Seminars</u>: These were undertaken in 990 rural panchayats, 150 blocks, and 58 municipalities. Each seminar produced Development Reports. Sectoral task forces, such as the Women and Development Task Force, reviewed ongoing programs, and analyzed issues suggested at the seminars. They prioritized and classified them into project plans. Each proposal was vetted by a Committees of Experts nominated by the Planning Board.</p> <p><u>Women’s Component Plan</u>: This emerged in the 2nd year when it was found that few projects for women were finalized. It required that 10% of plan funds for local bodies must be allocated for women’s projects.</p> |
| | <p>What advocacy and media activities support the initiative?</p> | <p><u>N/A</u></p> |
| | <p>How inclusive was the intervention?</p> | <p>The entire exercise was open to all, from the bottom up. However, the majority political party played a dominant part in these planning processes from below. As such, some members of women’s groups unaffiliated with the party were not able to participate.</p> |
| | <p>Other Important Information or Comments</p> | <p>PPC initiators say that their vision of decentralization is different from that of the World Bank. They believe that their model serves the goal of “facilitating autonomous collective action.” In their view, the World Bank’s participation work is aimed at “co-opting local communities into the global economy.”</p> |

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| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>The results, so far, are limited and mixed. A significant impact is acknowledged in 10% of Kerala's panchayats. In 20% of panchayats there has been no effect, while the fruits are marginal for the rest. Better results are seen in northern Kerala.</p> <p>A wide range of factors account for the diverse impact: the support and presence of voluntary organizations; local harmony at the political, economic and social levels; and the strength of the efforts of the campaign's protagonists. The challenge, hence, is to continue to decentralize. The impact is significant in that it has elicited strong support from the State Planning Board. Local officials facilitated training, capacity building and raising awareness.</p> <p>Because of PPC, empowered institutions now exist at the village level and are reinforced in some areas by neighborhood groups. Further, this process has devolved decision-making authority on a range of activities. Where voluntary contributions are involved, initiatives from the bottom can take place with less need for approval from higher authorities. Nevertheless the degree of central control remains high.</p> <p>Also significant is the "dramatic enhancement" of the financial resources of Kerala's local governments. They used to source their funds for poverty reduction solely from the central government.</p> <p>There has been a qualitative shift in the investment plans. They assign much greater priority to basic needs such as housing, drinking water and sanitation. Investment priorities in special plans prepared for Scheduled Castes and Tribes more closely reflect the special needs of these sectors. But the quality of the projects still needs to be improved.</p> <p>The preparation of plan documents has proven more difficult than expected. There is also a need to balance planning from below with feedback from central planning authorities. In some cases, the vertical programs of the Central Government are difficult to integrate into local plans, due to the reluctance of the bureaucracy and the inflexibility of the schemes themselves.</p> <p>"The democratic decentralization being carried out in Kerala still has a very long distance to travel before its ideals can be realized. But let us not forget that a period of even three years is too short to pass a verdict of failure or success on a major exercise such as Kerala." (T.M. Thomas Isaac, 2000)</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | <p>The Committee on Decentralization of Powers submitted its report to the Kerala State Board in December 1997, with recommendations to institutionalize the PPC.</p> <p>PPC has since been institutionalized in the state of Kerala.</p> |
| | (If applicable) Has the initiative been scaled up? Repeated? | N/A |

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| Further References | Web sources | http://www.kerala.gov.in/dept_planning/ |
| | Documents and Reports | <p>Isaac, T.M. (2000) "Campaign for Democratic Decentralization in Kerala," Centre for Development Studies and Kerala State Planning Board.</p> <p>Velayudhan, M. (2004) "Engendering the Democratic Space in Kerala," Conference on Grassroots Participation in Governance, Karnataka Women's Information and Resource Centre, UNDP and World Bank (20-21 February 2004), Bangalore, India.</p> |
| | Resource Persons/Contacts | N/A |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

SAMARTHAN'S BUDGET ANALYSIS ON BEHALF OF OPPRESSED SECTORS, MAHARASHTRA, INDIA

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| Methodology Type | Specify whether (i)PB, (ii) IBA , (iii)BPET, or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Budget Analysis in Maharashtra |
| | Primary Agency Running Intervention | Samarthan Center for Budget Studies |
| | Location | Maharashtra, India |
| | Sector or Level of Focus | Marginalized sectors: bonded labor, tribals, “scheduled castes,” women and children. |
| | Type of Engagement | The engagement is continuous. |
| Context and Scope | What is the driving force behind the SA initiative? | <p>Bonded labor – slavery – is banned by the Indian Constitution, and laws provide for the release of bonded workers. However, the practice persists in certain areas, notably the Thane district in Maharashtra.</p> <p>Vidyullata and Vivek Pandit have fought slavery for more than 25 years, to the point of being threatened, beaten, and jailed. They set up an organization, Vidhayak Sansad, to fight for the rights of the enslaved workers. Later on they founded Samarthan, which advocated various issues of the marginalized. From that grew Samarthan’s Centre for Budget Studies.</p> <p>Samarthan noted that child laborers in Maharashtra were being excluded from formal health and education services. So in 1997, Vidhayak Sansad organized a delegation of children to approach the government to request money for mobile schools. They were told that there were no funds available for the projects.</p> <p>This prompted the activists to check the budget and see why the state could not afford to educate its poorest children. The Pandits also realized that budget activism was important in their advocacy against slavery. There had to be funds to back up law enforcement against bonded labor.</p> |
| | What are the main objectives and what key accountability problems does it seek to address? | <p>To improve the provision of public services to the marginalized using budget analysis, thereby reducing the need to rely on charity and volunteer groups.</p> <p>To examine trends in government spending for marginalized sectors like tribals, scheduled castes, women and children; and in expenditures for social sectors including education, public health, water supply, transport and roadways, and irrigation.</p> <p>To render budget data accessible to marginalized sectors and their organizations.</p> |
| | Who is the target audience or demographic focus? | Policy makers, legislators, grassroots voluntary organizations, and action groups. |
| | What is the political culture or environment? | Wrongful prioritization of expenditures and lack of transparency (agencies get away with inaccurate performance reports because the public rarely reads them.) |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | <ul style="list-style-type: none"> • Budget analysis • Popularization of the budget process • Street protests |

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| | <p>Briefly describe the methodology(ies) or tools used.</p> | <p>Samarthan does budget analysis: it focuses on expenditures for the provision of services to the marginalized. Here follow some examples from their findings:</p> <ul style="list-style-type: none"> • Research showed that well-funded employment generation schemes strengthened the bargaining power of farm laborers. However, funds earmarked for that purpose went instead to infrastructure projects. Further, less than half of the revenues from a tax on professionals and reserved for employment generation was spent for this purpose. • Budget analysis revealed that 261 policemen were assigned to protect a prominent politician, his family, and property, despite the fact that there was only one policeman for every 9,500 people. • Samarthan found that the budget for education has been falling since 1994, leading to an increasing number of working children. • The group also learned that some departments changed only the title and date of their performance reports while the contents remained the same. As noted by Vivek Pandit, “the government has a habit of lying in the budget.” |
| | <p>What advocacy and media activities support the initiative?</p> | <p>Samarthan has been popularizing the budget process. It publishes a booklet explaining the budget in a simple and reader-friendly format.</p> <p>Samarthan takes to the streets. To press for an increase in the budget for education, 5,000 people protested outside a state house. They carried a huge begging bowl and asked passersby to contribute to the state coffers for education. This embarrassed the chief minister who appointed a task force to look into the matter.</p> <p>Samarthan lobbies in the legislature. It presents its budget studies to the legislative councils and municipal authorities so as to influence the allocation of expenditures. The Center responds to requests for information coming from policy makers</p> |
| | <p>How inclusive was the intervention?</p> | <p>Samarthan does speak out for the marginalized sectors. But because budget analysis is technical, such scrutiny is handled by its staff.</p> |
| | <p>Other Important Information or Comments</p> | <p>N/A</p> |
| <p>Results and Impact</p> | <p>What (if any) has been the impact of the initiative? What have been the incentives?</p> | <p>The government has taken notice of the issues raised by Samarthan.</p> <p>The government once denied the existence of bonded labor. A recent performance budget claimed that there had been no bonded laborers in the state since 1992. But Samarthan presented another document that showed that over 300 bonded laborers were rehabilitated in one district alone. The inconsistency was reported by the press, forcing the minister to present the true picture.</p> <p>The organization of the Pandits has won international recognition for its work in freeing bonded labor in Thane district, Maharashtra. Budget analysis is used to support this effort in order to ensure sufficient funds for law enforcement. Such activism has led to the release of around 1,500 bonded laborers.</p> |

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| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | N/A |
| | (If applicable) Has the initiative been scaled up? Repeated? | The Centre for Budget Studies has expanded its fiscal analysis to taxation as well. The activists learned that the revenue angle was also important in ensuring sufficient funds for the marginalized. Their research found widespread corruption in tax collection -- government officials waved their own arrears. |
| Further References | Web sources | http://www.humanscapeindia.net/ |
| | Documents and Reports | Essentials of the Budget Process of the State Government, by S.S. Karnik |
| | Resource Persons/Contacts | N/A |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

PRAJA'S CITIZENS' CHARTERS IN MUMBAI, INDIA

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii)BPET, or (iv) PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Citizens' charters |
| | Primary Agency Running Intervention | Praja Foundation |
| | Location | Mumbai, India |
| | Sector or Level of Focus | Multi-sectoral, the city of Mumbai. |
| | Type of Engagement | The engagement is continuous. It began in 1998. |
| | What is the driving force behind the SA initiative? | There was a high degree of frustration with the poor quality of public services in Mumbai. Furthermore, activists realized that citizens' passivity also contributed to corruption. |
| | What are the main objectives and what key accountability problems does it seek to address? | To demand more accountability from the Municipal Corporation of Greater Mumbai through greater citizens' participation. To establish a simple and effective feedback system. To ensure the sharing of information in order to encourage greater transparency. |
| | Who is the target audience or demographic focus? | Public service providers and residents of Mumbai. |
| | What is the political culture or environment? | Democratic. Local government are relatively open and responsive to citizens' initiatives. |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | Citizens' Charters. |
| | Briefly describe the methodology(/ies) or tools used. | The Charter lists the various complaints people can lodge with the relevant department, and the required response time for the ward office. However, the Charter also identifies citizens' acts that cause public nuisance and are subject to fines. Examples of such citizen offenses in relation to sanitation are: depositing garbage on any public property; throwing non-segregated waste into dustbins; permitting offensive liquid to flow into public streets; unhygienic storage of harmful materials; and the dumping of debris on roads. A section of the Charter deals with the procedures for lodging complaints. It is followed by a section that gives addresses and telephone numbers of Wards and Deputy Municipal Commissioners. Members of Praja speak up on the Citizens' Charter. According to Ajay Hattangdi, a banker, "The objective of this exercise is to set a certain standard in public governance. We also wanted a readable, relevant charter which would connect with the people." Nitai Mehta, a fashion accessories manufacturer, says: "The message we want to get to the municipality is that you're being watched. This will put pressure on them to perform." |

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| | | The Citizens' Charter is crafted as follows. The charter is first drafted and debated upon by civil society groups. It is then discussed with the government corporation for approval. Once approved, the charter is put through workshops among municipal employees to thresh out its operational implications. Then the Charter is disseminated to the public. |
| | What advocacy and media activities support the initiative? | <ul style="list-style-type: none"> • Data collection and analysis as inputs to drafting the Citizens' Charter. • Dissemination of the Citizens' Charter. • Citizen-Municipality Interactive Workshops, to get the support of the municipal staff actually delivering the public services. • Networking with like-minded organizations, encouraging the formation of neighborhood associations. • The pressure group conducts regular dialogues with city government officials on chronic problems. |
| | How inclusive was the intervention? | The Citizens' Charters are open to all interested stakeholders. The initiative relies on civil society organizations and mass media to reach out to public. |
| | Other Important Information or Comments | Praja is a 12-member team of young professionals from Mumbai, engaged in stock broking, law practice, business and academics. |
| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | "After the release of the Citizen's Charter there has been a tremendous response from citizens who have begun to actively participate in partnership with the Municipal Corporation in their efforts. Encouraged by this response and feedback, several systemic changes have been introduced and implemented to make our services user friendly and accessible since then." -- K. Srivastava, Municipal Commissioner, Mumbai Municipal Corporation. |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | The Municipal Corporation of Greater Mumbai has accepted the Citizens' Charter initiative and has responded very positively to it. It holds workshops on the charters for municipal staff. |
| | (If applicable) Has the initiative been scaled up? Repeated? | The Citizens' Charter was replicated from the New Delhi Charter (which originally came from the UK). The new twist is that it was now the initiative of the citizens rather than of the city government |
| Further References | Web sources | www.praja.org www.indiamap.com/development/praja2.htm |
| | Documents and Reports | "Praja, a 12-member team, is Mumbai's new watchdog," in <i>Outlook</i> , 8 Feb 1999 |
| | Resource Persons/Contacts | Nitai Mehta and Samantha Saldanha |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

BUDGET ANALYSIS OF CUTS, RAJASTHAN, INDIA

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| Methodology Type | Specify whether (i)PB, (ii) IBA , (iii)BPET, or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Promoting State Accountability and Citizen's Empowerment through Budget Analysis |
| | Primary Agency Running Intervention | Consumer Unity and Trust Society (CUTS) |
| | Location | Originally the State of Rajasthan, India. Now it is a network that has spread to Zambia, Kenya, and the UK. |
| | Sector or Level of Focus | The Rajasthan State budget; particularly its impact on marginalized groups such as women, farm laborers, and marginal farmers. Consumers, particularly those from marginalized groups. |
| | Type of Engagement | The budget analysis intervention was to last to 2002. Funded by the Ford Foundation, New Delhi, the budget project began with a pilot in Rajasthan in 1998. Following its success, the more full-fledged project began in October 1999, lasting for 3 years. |
| | What is the driving force behind the SA initiative? | From its humble beginnings as a consumer protection group in 1983, CUTS has evolved into an international umbrella movement, integrating diverse areas of public interest. CART, the CUTS Centre for Consumer Action Research & Training at Jaipur, is responsible for the budget analysis project in Rajasthan. Its main thrust is to empower disadvantaged groups through a strong consumer movement. The budget project came about because CART realized that policies, as realized in budgets and 5-year programs, had a profound impact on people's lives. It also knew that inefficiency warped the implementation of the budgets -- despite the presence of government appointed watchdogs. So in 1998, CUTS took the responsibility of advancing state accountability through budget analysis. |
| | What are the main objectives and what key accountability problems does it seek to address? | The main objectives of CUTS's state budget analysis exercise are: <ul style="list-style-type: none"> • To empower the target groups through awareness building on, and demystification of, the budget. • To work towards transparency and accountability in the budget process. • To ultimately build-up an informed and "critically-minded" society that can channel transformation in the system. |
| | Who is the target audience or demographic focus? | The target audience consists mainly of women, landless laborers, and marginal farmers. |
| Context and Scope | What is the political culture or environment? | Democratic, but with problems in governance. Decentralized government. |
| | What specific SA tools and methodologies are being used? | The SA tools used were: <ul style="list-style-type: none"> • Budget analysis. • Formation of a consortium of consumer organizations. • Outreach/information dissemination – newsletters, wall newspapers. |
| Tools and Methodologies Used | | |

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| | Briefly describe the methodology(/ies) or tools used. | <p>Budget Analysis</p> <ul style="list-style-type: none"> • Design of a micro and macro plan for the project. Selection of nodal districts and blocks, as well as identification of departments that have programs for these marginalized groups. Appointment of their respective coordinators. • To gain insight into the actual disbursement of funds, the coordinators collected data from all levels of government. They conducted interviews with department sources. • Surveys of the target audience were run at the block and district levels. • Preliminary analyses of the report. The focus of the analyses was on anomalies, errors, unjustifiable expenditures, and how these actions affected the target beneficiaries. Initial observations exposed irregularities and inefficiencies. • Final analysis of the reports. The end product formed the basis for briefing papers. • Formulation of plans of action/lobbying vis-à-vis lessons learnt from budget analyses. <p>Formation of a consortium of consumer organizations</p> <p>CUTS monitored how consumer forums functioned in Rajasthan. It also set up a consortium to advocate the effective implementation of the Right to Information Act. This was the “People’s Commission for Good Governance.”</p> <p>Other projects include capacity building programs for target beneficiaries, and training workshops for government officials.</p> |
| | What advocacy and media activities support the initiative? | <p>At state level, advocacy took the form of press briefings and regular meetings. CUTS met members of the Rajasthan Assembly, ministers, secretaries of various departments, and other department heads. The organization submitted its views and findings about the execution of various government programs.</p> <p>The following were other avenues chosen for outreach/information dissemination:</p> <p>Newsletters. A newsletter called “The 5th Estate” – highlights issues on governance and information regarding the project. Its target audience is civil society and the masses. There is a bilingual version as well as an electronic version sent internationally.</p> <p>Another is <i>Aap Ke Naam Chitti</i> (Letter for You), a monthly newsletter. It informs its readers about NGO activities, government accountability issues, and the consumer movement.</p> <p>Wall Newspaper. <i>Gram Gadar</i> (Village Revolution) is a monthly wall newspaper for the rural areas. It focuses on peoples’ rights, governance, and programs that affect the residents. Illiterate residents are still able to gather the information through the word of mouth.</p> |
| | How inclusive was the intervention? | <p>As mentioned, an integral component of the project is the participation of grassroots networks for collecting data and disseminating information.</p> |

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| | Other Important Information or Comments | <p>CUTS encountered certain operational problems:</p> <p>Data Collection – The process was stalled by delays in getting information from the government. The task of collecting all the necessary data also ate up a lot of time of government staff. The constant turnover of government officials caused more postponements. Helping ease the information flow was the recent computerization of government records.</p> <p>Partners - At times, responsibilities between CUTS and the selected partner organizations were not clearly delineated. Some partners also lacked knowledge and tended to be impatient. There was a lack of capacity among grassroots groups.</p> <p>To resolve these issues, CUTS staff made regular field visits and lengthy phone calls. They accompanied partners in visiting government officials. These adjustments have expedited the flow of work.</p> <p>Another problem mentioned was “attitude of government functionaries.”</p> |
| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>Knowledge on issues at the grassroots level has increased.</p> <p>The campaign provided information to grassroots social action groups through small workshops, action sheets, posters, booklets and monographs. The grassroots groups in turn relayed the information to the common citizen and target groups through choupal baithaks (traditional meetings of the village). The issues were also raised at the gram sabhas and ward sabhas (formal meetings of the village and ward).</p> <p>The villagers themselves responded by conducting participatory rural appraisals (PRA). They collected information about the programs and their village problems.</p> <p>“With the help of the social action groups, a questioning society has developed at the grassroots level,” says the CUTS source.</p> <p>The government has also taken initiatives to instruct functionaries at the state, district and block levels to follow the norms prescribed for various programs. They have been instructed to be more cautious while preparing budget proposals.</p> <p>Having done its initial budget analysis, CUTS made these recommendations for the 2001-2002 Rajasthan budget to the Finance Minister.</p> <ol style="list-style-type: none"> 1. Establish a Women’s Fund in the state. This is an alternative to free education in the budget. It will be used to motivate the head of the family to send the daughter to school. It will also provide the finances for poor women to get loans to set up their micro-enterprises. 2. Establish a Consumer Welfare Fund in the state. It will give funding to grassroots consumer groups and thus make the Consumer Protection Act more effective. 3. Provide social security for farmers and landless workers, as they are suffering from drought in the state. In particular, set up crop insurance, a provident fund, and state laborers insurance schemes. 4. Pass laws for administrative monitoring to prevent the misuse of government property. There should be a provision to push for transparency in these assets. 5. Conduct social audits of state-run programs, even down to the village level. |

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| Results and Impact | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | <p>The state accountability project involved 70 partner organizations representing 32 districts. CUTS also formed an advisory committee composed of experts from academia, civil society and government (retired officials).</p> <p>The state government took the suggestions made by CUTS positively. It has issued instructions to the concerned departments.</p> |
| | (If applicable) Has the initiative been scaled up? Repeated? | <p>CUTS has expanded its reach: from Rajasthan to other states of India, Zambia, Kenya, and the United Kingdom.</p> <p>Some of the main centers under the CUTS International umbrella group are:</p> <p>CHD: Centre for Human Development, Chittorgarh; C-SPAC: Cuts Centre for Sustainable Production & Consumption, Calcutta and New Delhi; CITEE: The Cuts Centre for International Trade, Economics and Environment; C-CIER: CUTS Centre for Competition, Investment & Economic Regulation, Jaipur; CUTS-ARC: CUTS-Africa Resource Centers at Lusaka, Zambia and at Nairobi, Kenya; CART: CUTS Centre for Consumer Action, Jaipur.</p> <p>CUTS-LRC: CUTS-London Resource Centre serves as a platform for North-South dialogue.</p> |
| Further References | Web sources | <p>www.cuts-india.org</p> <p>http://cuts-international.org/sap.htm</p> |
| | Documents and Reports | Promoting State Accountability and Citizen's Empowerment through Budget Analysis in Rajasthan, India (SAP) |
| | Resource Persons/Contacts | George Cheriyan/ K.C. Sharma |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

CENTRE FOR BUDGET AND GOVERNANCE ACCOUNTABILITY, NEW DELHI, INDIA

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| Methodology Type | Specify whether (i)PB, (ii) IBA , (iii)BPET, or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Independent budget analysis |
| | Primary Agency Running Intervention | Centre for Budget and Governance Accountability (CBGA) |
| | Location | New Delhi, India |
| | Sector or Level of Focus | Union Government – Budgets and Public Policies |
| | Type of Engagement | The engagement is continuous. CBGA is quite new, being less than two years old. |
| Context and Scope | What is the driving force behind the SA initiative? | <p>CBGA is a special project of the National Centre for Advocacy Studies (NCAS) in Pune. NCAS along with other budget groups came together to form People’s BIAS, a network of Indian civil society groups working on budget issues. People’s Bias acted as the preparatory platform for the Center for Budget Accountability. The budget groups got together to form the core of the new center, with funding from the Ford Foundation.</p> <p>Its work started in New Delhi in 2002, and its primary task was to build on and extend the initiatives of various budget groups. It would pay particular attention to the perspective of the marginalized. In November 2003, it was renamed the Centre for Budget and Governance Accountability, to widen its area of service. CBGA is presently a program of the NCAS.</p> |
| | What are the main objectives and what key accountability problems does it seek to address? | <ul style="list-style-type: none"> ▪ To do, research, analysis, public education, capacity building and other related activities with an aim to strengthen transparency and accountability of governance and rights of the marginalized sections in India and elsewhere. ▪ To make the budget process and policies comprehensible; seek accountability and transparency; empower and increase awareness in citizens to participate in policy making at different levels of governance. ▪ To work from the perspective of the marginalized and underprivileged sections of the society. ▪ To undertake training and capacity building ▪ To educate citizens, disseminate information and knowledge related to Budgets, Public Policies, and Governance. <p>Put briefly, the key accountability issues that CBGA seeks to address lie in the areas of:</p> <ul style="list-style-type: none"> ▪ Budgets (the Union Government) – openness, awareness and participation ▪ Expenditure monitoring – analysis and information ▪ Public Policies-- analysis and information |
| | Who is the target audience or demographic focus? | Policy makers, Parliamentarians, Civil Society, Local communities, the Media and the Public at large. |
| | What is the political culture or environment? | Democratic, but with problems in governance. Decentralized government. |

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| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | <ul style="list-style-type: none"> • Budget Analysis • Expenditure monitoring • Research – Public Funds Usage, Budget Process transparency • Publications – Reports, Newsletter (Budget Track), Budget Responses etc. • Collaborations – International Budget Project – CBGA has been running the IBP “Open Budgets” survey for India. |
| | Briefly describe the methodology(/ies) or tools used. | <ul style="list-style-type: none"> • Budget Analysis – This involves analysis of the Union Government’s Budget every year. Trend analysis of major economic indicators as well as sectoral allocations like education, health, agriculture, etc. • Expenditure monitoring – a new initiative – looks at specific Government programs like elementary education. • Research – two studies conducted in Public Funds Usage – on Members of Parliament Local Area Development Scheme (MPLADS) and Calamity Relief Fund(CRF). • Demystification. CBGA tries to simplify the budget by developing reference guides and training manuals. • Publications (next section). |
| | What advocacy and media activities support the initiative? | <p>Proposed for 2004-05 are a series of workshops at the national and regional levels. The theme is, “Government Budgets, its analysis and its use in civil society and people’s initiatives.”</p> <p>The aim is to demystify the Budget. People in budget work will share their experiences on how analysis can be transformed into positive budget outcomes.</p> <p>CBGA is trying to form a cost effective dissemination strategy covering a mix of media – from paper publications to e-tools. There are also efforts to translate its work into the regional languages.</p> <p>The interactions with the media have recently started. One of the reports, “<i>Rhetoric and Reality of MPLADS</i>”(CBGA April 2004) has been discussed in the articles of the:</p> <p>Economic & Political Weekly (EPW) – April 24th 04 issue, editorial –“Development Funds – Priorities and Politics”.</p> <p>Frontline (News Magazine)– May 8-21 2004 issue – Guest column by Prof Jayati Ghosh.</p> <p>Times of India – (Newspaper)–July 3 2004, Editorial page article – “Fundamentally Flawed- Beneficiaries should control MPLADS”.</p> |
| | How inclusive was the intervention? | Budget analysis is technical, so it can’t be handled done by non-specialists. However, it is inclusive in the sense that the CBGA board comes from a wide spectrum of actors. |
| | Other Important Information or Comments | As CBGA is still at the building stage, it is going through the bottlenecks associated with the transition process. CBGA is short-staffed with only 5 people. |
| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>Over the last decade groups have been doing budget analysis on the social sectors primarily at state levels. At the national level CBGA has initiated the process.</p> <p>The CBGA has created awareness about the budgets and the economy through Budget Track and other reports. Disseminating information has been fairly successful among civil society groups, the media, legislators, policy makers and academicians.</p> <p>However, the base of the pyramid, the panchayat or village, the local level of governance, has not been influenced.</p> |

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| | <p>Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe.</p> | <p>There are institutional linkages with NGOS, communities and academicians.</p> <p>CBGA is now trying to interact with legislators.</p> |
| | <p>(If applicable) Has the initiative been scaled up? Repeated?</p> | <p>CBGA scales up the state budget analysis done by other groups by dissecting the national budget.</p> |
| <p>Further References</p> | <p>Web sources</p> | <p>www.ncasindia.org, www.internationalbudget.org</p> |
| | <p>Documents and Reports</p> | <ul style="list-style-type: none"> • Budget Track(Newsletter) • Marginalized Matters – Response to 2003-04 Budget • Marginalized Matters Again – Response to 2004-05 Interim Budget • Contributions in IBP newsletter January 2004 issue • Rhetoric and Reality of MPLADS(Report) • Highlights of Calamity Relief Fund |
| | <p>Resource Persons/Contacts</p> | <p>Amitabh Behar , Executive Director, NCAS amitabh@ncasindia.org</p> <p>Dr Praveen Jha, Hon. Economic advisor, CBGA praveen@mail.jnu.ac.in</p> <p>Uma Ramesh, Program Officer, CBGA cbadelhi@vsnl.net</p> |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

E-GOVERNANCE: E-SEVA CENTERS IN INDIA

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii) BPET , or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | <p><u>E-governance in India:</u></p> <p>In particularly the e-seva centers. E-governance initiatives differ from state to state, but their common service, and the most useful and comprehensive, is the e-seva center.</p> <p>Each computerized kiosk can handle more than 100 services, ranging from getting birth certificates, to paying examination fees, to buying tickets to cultural events.</p> |
| | Primary Agency Running Intervention | It is run by the various state governments of India. |
| | Location | Both cities and rural areas. But the survey of the Centre for Media Studies (CMS), which looked into the impact of the e-seva centers, covered only 5 major cities: Delhi, Hyderabad, Kolkata, Chennai, and Mumbai |
| | Sector or Level of Focus | <p>Utility areas served by e-seva are many, such as electricity, municipal corporations, urban development, transport, civil supplies, hospitals, water supply and railways.</p> <p>It includes specific services such as metering, billing, issuing drivers' licenses, railway ticket reservations, and land registration.</p> |
| | Type of Engagement | The engagement is continuous. |
| Context and Scope | What is the driving force behind the SA initiative? | <p>The state governments of India are rolling out many digital initiatives, following the general push for ICT enterprise development.</p> <p>E-governance sites drastically cut down the citizen's paper work and waiting time. They lessened the load of government employees. In brief, public services can be run much more efficiently when transactions are digitized.</p> <p>In Andhra Pradesh state alone, there are more than 400 e-seva kiosks.</p> |
| | What are the main objectives and what key accountability problems does it seek to address? | <p>By making transactions digital, the government gets to eliminate layers of middlemen, who exercise discretion.</p> <p>Putting data in the public domain also increases transparency and makes agencies more accountable.</p> |
| | Who is the target audience or demographic focus? | Ordinary citizens. With the advent of e-governance, citizens can easily link up with the various agencies through computers in kiosks. |
| | What is the political culture or environment? | Democratic, but with problems in governance. Decentralized government. |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | E-seva centres |

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| | Briefly describe the methodology(/ies) or tools used. | <p>The program was formed to bridge the digital divide: e-seva provides access to various citizen-to-citizen (C2C) and citizen-to-government (C2G) services to ordinary folk.</p> <p>Web-enabled kiosks were set up and are managed by women. The e-seva centers run on a district portal that allows a wide range of services.</p> |
| | What advocacy and media activities support the initiative? | <p>The state governments campaign for the use of e-seva via the media. However, information dissemination seems to be lacking. Government agencies are also said to be slow in taking up the program.</p> <p>Another difficulty is training ordinary people on how to use the e-seva centers.</p> |
| | How inclusive was the intervention? | E-seva centers are open to all, to the general public. |
| | Other Important Information or Comments | Some media pundits speculate that more sophisticated forms of corruption will replace the traditional middlemen to circumvent the computerization of government services. |
| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>The CMS survey results showed a remarkable drop in corruption because of the advent of the e-seva centers.</p> <p>The survey involved 4,500 respondents in 5 cities. Comparing the years 2003 with 2000, there really was a big decline in corruption, especially that committed by middlemen.</p> <p>Overall:</p> <ul style="list-style-type: none"> • Use of middlemen: from 48%, down to 28% • Giving of bribes: from 51%, down to 30% <p>City breakdown:</p> <ul style="list-style-type: none"> • Hyderabad (wherein e-seva centers are most widespread) showed sharper results: the presence of corrupt middlemen plunged to 27% from 63%. • Kolkata corruption: 19% from 51% • Chennai corruption: 18% from 38% • Mumbai corruption: static results • Delhi: increase from 40% to 49% <p>Department Breakdown, corruption levels:</p> <ul style="list-style-type: none"> • Municipal corporations: still relatively high but down from 85% to 62% • Transport offices: also relatively high but down from 81% to 66% • Railways and hospitals: unchanged • Middlemen are still predominant in railways. Delhi – 68% Mumbai – 62% Chennai/Hyderabad – negligible • Booking railway tickets, issuing driving licenses, are activities that still use middlemen. • Markedly positive impact on urban development. Likewise, positive results in other areas such as civil supplies, hospitals, electricity and water supplies. • Hyderabad has eliminated middlemen to a large extent, though not completely. |

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| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | E-governance in India is a government initiated intervention. |
| | (If applicable) Has the initiative been scaled up? Repeated? | E-governance is being rolled out into the rural areas as well. |
| Further References | Web sources | http://economictimes.indiatimes.com http://www.hinduonnet.com/thehindu http://www.e sevaonline.com/ |
| | Resource Persons/Contacts | Dr. N. Bhaskara Rao, Chairman of the Board, Centre for Media Studies |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

**BUDGET ANALYSIS AS SOCIAL AUDIT: TAMILNADU PEOPLE’S FORUM FOR SOCIAL DEVELOPMENT,
TAMILNADU, INDIA**

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| Methodology Type | Specify whether (i)PB, (ii) IBA , (iii)BPET, or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Budget analysis |
| | Primary Agency Running Intervention | Tamilnadu People’s Forum for Social Development (TNPFSO) |
| | Location | Tamilnadu state, India. |
| | Sector or Level of Focus | Multi-sectoral focus at the state level. Various dimensions of social development in Tamilnadu – dalits (bottom castes), women, fishermen/woman, children, disabled, and refugees. Various themes of social development – health, education, environment, human rights, and consumer protection. |
| | Type of Engagement | The engagement is continuous. The TNPFSO was first convened in 1995 and has championed the rights of the marginalized sectors. Its Budget Analysis and Policy Priority Cell operates on a continuous basis, and provides an annual analysis of the state budget. |
| Context and Scope | What is the driving force behind the SA initiative? | The Indian state of Tamilnadu is considered one of the more urbanized and industrialized in India. However, the gains of development have been unevenly distributed. Indicators of poverty, inequality, and rural-urban disparities show that the dalits, tribals, fisher folk, unorganized labor, and some sections of women and children, hardly benefit from the state’s development. Tamilnadu state has been in the frontline of India’s drive towards globalization. Since 1991, the state has embarked on liberalization and a structural adjustment program. This has brought on budget cuts in key areas of social development. It was within this context that activist groups saw a need to monitor the government’s commitment to social development, via policies and budget priorities. Thus arose the Tamilnadu People’s Forum for Social Development in 1995. It is basically an alliance of like-minded NGOs in Tamilnadu. |
| | What are the main objectives and what key accountability problems does it seek to address? | The main objectives of TNPFSO are: to make the budget process more participative, reflecting the will of the people, and to propagate transparency and accountability in the system. |
| | Who is the target audience or demographic focus? | The main target audience of TNPFSO activities consists of the social sectors and the members of the Tamilnadu State Assembly. Others in the target audience are NGOs, research organizations, and the media. |
| | What is the political culture or environment? | Democratic, but with problems in governance. Decentralized government. |

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| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | <p>The interventions of TNPFSO are:</p> <ul style="list-style-type: none"> • Budget analysis – general and sectoral budget critiques • Lobbying – before and during budget deliberations • Budget analysis training • Social monitoring |
| | Briefly describe the methodology(/ies) or tools used. | <p>BUDGET ANALYSIS</p> <p>This is an influential tool in TNPFSO's work, as budget analysis is periodic. The Budget Analysis and Policy Priority Cell continuously analyzes and monitors the Tamilnadu state budget in terms of its implications on social development. The following steps were taken to set-up the cell:</p> <ol style="list-style-type: none"> 1. Dr. Mistry of DISHA trained the members in budget analysis work through workshops and on-the-job instruction. 2. Then the cell began to operate and gain more familiarity with the technical skills for budget analysis. 3. The database was created. 4. The cell collected materials on the various sectors from secondary sources. 5. The cell networked with government bureaucrats and political parties to obtain information regarding the budget. 6. TNPFSO then searched for resources and got funds from NCOS Belgium 7. TNPFSO released its first findings on the Tamilnadu state budget vis-à-vis different social sectors such as health, education, welfare of scheduled castes, etc. <p>Since its beginnings in 1995/1996, the Budget Cell has released periodic budget critiques (general critiques and sectoral critiques). The analyses have primarily centered on: 1) Comparisons between the promises of the political parties/government and the actual budget; and 2) Relative and absolute budgetary allocations for the social service sectors. The budget critiques/analyses are disseminated to government officials, NGOs, other research institutions, and the public through the media.</p> <p>BUDGET LOBBYING</p> <p>In order to link the group's findings to actual change in the budget, TNPFSO has recently taken up pre-budget lobbying to promulgate its causes. These activities have taken the form of memoranda to political parties, meetings with bureaucrats, and submitting materials to government authorities.</p> <p>TNPFSO has also lobbied during budget sessions. The group holds a press conference to release their critique on the budget. It also, transmits its findings and suggestions to some members of the Assembly and to NGOs.</p> <p>BUDGET ANALYSIS TRAINING</p> <p>TNPFSO has given training on budget analysis to other organizations. They include the Madurai-based Peoples' Education and Action for Liberation (PEAL), and Action Aid - South India network.</p> <p>SOCIAL MONITORING</p> <p>The group maintains a database on the social, economic and demographic conditions of Tamilnadu. TNPFSO also organizes sectoral workshops for an exchange of ideas with other researchers, the civil service, and grassroots movements.</p> |

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| Results and Impact | What advocacy and media activities support the initiative? | The media plays an important role in TNPFS D’s advocacy. Media firms disseminate to the general public their research findings and recommendations. |
| | How inclusive was the intervention? | TNPFS D itself is a network of NGOs in Tamilnadu that represent the various marginalized sectors of the state. |
| | Other Important Information or Comments | The TNPFS D staff members seem to be frosty towards the World Bank. |
| | What (if any) has been the impact of the initiative? What have been the incentives? | The reports on the Tamilnadu budget have become a credible source of information for reform-minded legislators. In many cases, the issues raised during the legislature’s budget debates are based on the group’s findings. |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | One of the thrusts of TNPFS D is to network with other groups. The movement has been active in advocacy, consultations and social development monitoring at the national and international level. TNPFS D’s experiences are part of a publication by the National Centre of Advocacy Studies (PUNE) entitled, “Understanding the Budget: As if People Mattered.” TNPFS D has ties with Social Watch in Uruguay through its social development monitoring work. |
| | (If applicable) Has the initiative been scaled up? Repeated? | N/A |
| Further References | Web sources | Some readings from the site of the International Budget Project |
| | Documents and Reports | Budget Analysis as Social Audit – Tamilnadu Experiences, 1996-2000 by Manu Alphonse |
| | Resource Persons/Contacts | Manu Alphonse and staff |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

MAHARASHTRA RURAL WATER SUPPLY AND SANITATION PROJECT, MAHARASHTRA, INDIA

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| Basic Information | Name of Project | Maharashtra Rural Water Supply and Sanitation “Jalswarajya” project |
| | Country | Maharashtra - India |
| | Task Team Leader | Meena Munshi |
| | Type of Instrument | SIL |
| | Project/Program Period | 5.5 years:2004-2009 |
| Project/ Program Objectives | Describe briefly the main project/program objectives. | The development objectives of the project are to: (i) increase rural households’ access to improved and sustainable drinking water supply and sanitation facilities; and (ii) institutionalize decentralization of Rural water and Sanitation (RWSS) service delivery to rural local governments and communities. |
| Description of Social Accountability Components and Tools Used | Describe the social accountability (SA) activities or components of the project/program. | <p>Accountability activities are part and parcel of the main project, i.e. rural water supply and sanitation activities. These activities relate to strengthening of Gram Sabha (General Body), building capacity of Gram Panchayat to deliver services, and have tools in place to review performance of service providers during implementation and performance of village water and sanitation committees towards users during implementation, and operation and maintenance of the water system.</p> <p>In addition to these activities, the project includes a pilot on Local Government Incentive Fund (pilot). The Local Government Incentive pilot will support selected Village Panchayats (VP) and Zilla Parishads (ZP) to develop, beyond the needs of the RWS sector, an approach to institutional building - to become more effective, accountable and responsive and contribute to improving quality of decentralization and devolution and local governance in Maharashtra. The Incentive Fund will provide grants to selected VPs and ZPs to make them more accountable to people and assume a greater development role. The key outcome of the proposed pilot would be a tested institution building approach for ZPs which could be scaled up to include the other districts of Maharashtra.</p> |
| | Which project objective or component does the project cater to? | <p>The main components that cater to accountability are: Community Development subcomponent under Component A; Institutional Strengthening component (Component B) and Sub-component on Local Government Incentive Fund under Component D.</p> <p>All these activities are expected to lead towards achieving development objectives of increasing access of communities to water supply and sanitation services; and strengthening capacity of the local governments to respond to community demands and provide better services not only in water sector but other sectors as well.</p> |
| | Describe which social accountability tools are used. | <ul style="list-style-type: none"> • User Report Cards: this will involve assessment of users’ perceptions and satisfaction levels on a sample basis about the services delivered by the project and other service providers at various stages during implementation and operation to enable the project to provide more responsive and effective service provision. • Community Report Card: community members will assess the performance of VWSC and the water and sanitation services and develop a self-improvement system that involves input and expenditure tracking and community score card. This exercise is repeated every six months and culminates in a open interface Gram Sabha meeting where future action in terms of performance improvement are discussed. • Display of information: Data on costs of the programs and overall expenditure incurred by VWSC would be displayed prominently to ensure transparency. |

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| | Describe any special features (like media campaigns) of the SA tools and list any known limitations? | |
| | (For Investment Loans) Specify proportion of the project budget allocated to SA activities | <ul style="list-style-type: none"> • US\$4.0 million for overall capacity building of local governments and project team to build these accountability measures • Local Government Incentive fund: US\$2.0 million |
| Results and Challenges | Describe how the SA activities or components contribute to the outcomes of the project /program. What impact have they had? | Accountability systems in water services and systems delivery are part of the participatory M&E systems of the project. These systems relate to the performance of service providers during implementation and performance of village water and sanitation committees towards users during implementation, and operation and maintenance of the water system. |
| | Describe some of the main challenges faced in designing and implementing the SA mechanisms. | This is a new concept. The main challenges are: (i) building internal capacity to implement these tools; and (ii) secondly, educate service providers, local governments and others on how they could use these tools to improve their service delivery and effectiveness. |
| Further References | Web sources | |
| | Documents and Reports | Project Appraisal Document |
| | Resource Persons/Contacts | Parmesh Shah/Meena Munshi |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

BIGS'S HOUSING BUDGET ADVOCACY, BANDUNG CITY, WEST JAVA, INDONESIA

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| Methodology Type | Specify whether (i)PB, (ii) IBA , (iii)BPET, or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | <u>Budget advocacy in housing</u> |
| | Primary Agency Running Intervention | Bandung Institute of Governance Studies (BIGS) |
| | Location | Bandung city, West Java, Indonesia. |
| | Sector or Level of Focus | Slum area residents of Bandung. |
| | Type of Engagement | The engagement is continuous. It was set up in 1999, and is supported by The Asia Foundation and the Ford Foundation, among others. |
| Context and Scope | What is the driving force behind the SA initiative? | <p>In Indonesia around 4.4 million families do not own their own house. The government will need some 800,000 new houses a year to shelter them within 5 years.</p> <p>But housing the poor is not gender neutral. In general, slum areas have more women than men. Furthermore, while public housing is a public issue, culture assigns women to the domestic space, not the public space. Put together, poor women are at the losing end in public housing.</p> <p>To correct this, housing policies should ensure gender fairness in housing opportunities. BIGS has thus studied the impact of housing policy and budgets on slum residents.</p> <p>The organization plans to use the findings to push for pro-poor and gender-sensitive housing policies. The objective is that the government's housing budgets and policies will match its official pronouncements on social development goals.</p> <p>BIGS wants to ensure that housing budgets and policies will grant equitable access to land, houses, public services, and economic resources.</p> |
| | What are the main objectives and what key accountability problems does it seek to address? | <p>To promote good governance through budget analysis, budget transparency, accountability in public services, and capacity building for institutions.</p> <p>To promote gender-sensitive, gender-fair, pro-poor awareness in housing policy, as reflected in the housing budget of the Bandung government.</p> |
| | Who is the target audience or demographic focus? | The urban poor, the local government of Bandung, public and private housing providers, civil society organizations involved in housing, and women. |
| | What is the political culture or environment? | Newly democratized, after emerging from a repressive authoritarian regime. Still learning the ropes. Decentralized government. Extended problems with corruption. |
| | Tools and Methodologies Used | What specific SA tools and methodologies are being used? |

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| | Briefly describe the methodology(ies) or tools used. | <p>BIGS has been simplifying Bandung’s municipal budget so as to make it more understandable for the poor.</p> <p>BIGS has run a survey to probe into housing budget policies and gender housing needs.</p> <p>The group is developing tools to measure gender-sensitivity in housing policy and housing budget practice, in particular, the housing infrastructure budget for women.</p> <p>BIGS is doing an analysis of the impact of housing policy and related budgets on poor individuals. Its policy papers on gender-sensitive settlement offer recommendations to this end.</p> <p>BIGS is using a comprehensive approach to its research. While doing desk reviews, it documents slum conditions through photographs and videos. It interviews representatives from the stakeholders and hosts them for seminars and focus group discussions. It has brought in a team of community organizers to closely engage the people. That helps the research group discern common concerns and develop local solutions.</p> <p>“BIGS recognizes that working closely with slum dwellers is not only essential for effective policy advocacy-a relationship of trust also improves the accuracy of their surveys and other research,” says Lisa VeneKlasen, of Just Associates.</p> |
| | What advocacy and media activities support the initiative? | <p>Publication of a book reporting BIGS’ evaluation of gender sensitivity of Bandung’s municipal housing and budget performance.</p> <p>Publication of a guidebook on budget analysis and gender awareness.</p> |
| | How inclusive was the intervention? | All stakeholders in Bandung |
| | Other Important Information or Comments | N/A |
| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | BIGS’s study on Bandung’s budget revealed many distortions. The budget was “asymmetric” in that the allocations did not address the real problems of the city. Bandung’s housing policy and budget did not solve problems in the procurement of land, the provision of infrastructure for the poor, and the institutional framework for housing. The budget did not have any gender data on the target groups to benefit from housing policy. |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | BIGS has been networking with the Bandung local government, civic groups that provide housing for the poor, housing companies and agencies, and the slum residents themselves. |

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| Further References | (If applicable) Has the initiative been scaled up? Repeated? | <p>BIGS is scaling up in the sense that it is looking into national policy as well. For example, in 2003 the Asian Development Bank awarded Indonesia a loan of \$ 3.27 billion for poverty reduction projects. BIGS raised the question of who will benefit from the loan, considering the prevalence of corruption in Indonesia.</p> <p>BIGS Director Dedi Haryadi stated, "We are less optimistic about the effectiveness of the loan, because of the high prevalence of corrupt practices within the national, provincial, and local governments. Even after the country's shift from an authoritarian regime to a democratic form of government, corruption in Indonesia is more rampant every day. Hence, there should be great concern regarding the sound planning and implementation of the projects so that they effectively reach the people in need."</p> |
| | Web sources | Email: biggs@bdg.centrin.net.id |
| | Documents and Reports | <p>Bimonthly No. 11, <i>BIGS Newsletter</i>, September 2002</p> <p>"Bureaucratic capacity and people-centered development paradigm: a case study of the city of Bandung."</p> <p>"Budget and Housing for the Poor—Bandung Case Study.</p> <p>"Public service accountability in the city of Bandung on three sectors: water supply, waste disposal management, and health."</p> <p>"The anatomy of bureaucratic corruption of the Bandung municipality: a case study on the housing and settlement sectors."</p> |
| | Resource Persons/Contacts | Dedi Haryadi, Director of BIGS |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

BUDGET ADVOCACY OF FITRA, INDONESIA

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| Methodology Type | Specify whether (i)PB, (ii) IBA , (iii)BPET, or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Budget analysis and public advocacy |
| | Primary Agency Running Intervention | Forum Indonesia untuk Transparansi Anggaran (FITRA), a network of approximately 30 NGOs primarily funded by the Ford Foundation |
| | Location | Headquarters is in Jakarta, but its branches are present in many regions of the country. |
| | Sector or Level of Focus | The delivery of public services especially towards poverty reduction. It also incorporates the inclusion of women in its processes. |
| | Type of Engagement | The engagement is continuous. |
| Context and Scope | What is the driving force behind the SA initiative? | FITRA's driving force is the existence of corruption in public finances, on both the local and national budget levels. FITRA is also driven to make the budgets more oriented towards the poor. |
| | What are the main objectives and what key accountability problems does it seek to address? | FITRA monitors the budget of North Sumatra: it focuses on how responsive the budget is towards poverty reduction, education, women's empowerment, and health. |
| | Who is the target audience or demographic focus? | FITRA encompasses a large target audience considering that it has around 30 NGOs within its network. The government, civil society, and local communities are the target audience. Special focus is given to the women and the poor. |
| | What is the political culture or environment? | Newly democratized, after emerging from a repressive authoritarian regime. Still learning the ropes. Freedom of the media. Decentralized government. |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | Members of the FITRA network utilize several SA tools and mechanisms depending on their capacities and objectives: <ul style="list-style-type: none"> • Budget analysis • Budget advocacy • Research • Advocacy for various sectors |
| | Briefly describe the methodology(/ies) or tools used. | BUDGET ANALYSIS Budget analysis covers the entire province and several districts. The work includes an analysis of laws and budget regulations. The following is the sequence for FITRA's budget analysis: <ol style="list-style-type: none"> 1. Collect documents on the budget; 2. Prioritize the documents; 3. Examine the budget allocation based on rationality, efficacy, and efficiency 4. Find comparative, related data; 5. Write the draft analysis draft 6. Hold limited discussions with other stakeholders, 7. Hold public discussions, and 8. Publish the results of the analysis. |

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| | | <p>BUDGET ADVOCACY</p> <p>FITRA organizes debates on the provincial budget. It sets up workshops and training sessions, and holds public hearings. It campaigns to the public on certain budget issues. The network communicates with the government on the budget. It pushes for more public participation in formulating policy and preparing the budget. Advocacy also includes training, building alliances, lobbying in government, and litigation.</p> <p>RESEARCH</p> <p>FITRA’s studies revolve around public services, gender budgeting, and the government’s development policies. One project on gender is a comparative study between municipalities run by women and those run by men. It seeks to determine if there are more pro-women policies and budgets coming from the former.</p> <p>SECTOR ADVOCACY</p> <p>FITRA organizes meetings between stakeholders. Advocacy work focuses on the poor, women, farmers and fishermen, social forestry, health, and the strengthening of village institutions. For example, it facilitated meetings between housewives and public transport providers. The dialogues explored the impact on school children of the decreased lower subsidy for public transport fares.</p> |
| | What advocacy and media activities support the initiative? | <p>FITRA disseminates its information through the mass media, public discussions, campaigns, and its own published books.</p> <p>News releases, advertisements through local media. For example, the Jakarta Post used FITRA findings to criticize the government for failing to begin several key projects.</p> <p>Public discussions with government, parliament, NGOs, academe.</p> <p>Campaign through posters, stickers, leaflets, and flyers targeted to the public and legislative council members.</p> <p>Its books include <i>Criticizing the Transparency of APBD in South Sumatera</i> and <i>Law Struggle for the Transfer of APBD Funds</i>.</p> |
| | How inclusive was the intervention? | <p>The degree of participation for all stakeholders involved in FITRA’s program is “very high” according to Laode Ida, Director. People’s groups build coalitions to push for more transparency in the local budget.</p> <p>FITRA draws in the basic sectors and the general public to its hearings on the provincial budget.</p> |
| | Other Important Information or Comments | N/A |

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| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>People are now more aware of their rights with regards to the local budgets. The dissemination of FITRA's research results to the public has led to greater budget transparency among local officials. Local budgets are reportedly becoming more pro-poor. There are fewer cases of corruption at the local level. The research has also stirred up public clamor for more accountability.</p> <p>For example, FITRA's reports on politicians' fund use stirred up public anger. The network found that the governor of Jakarta and his councilors would get additional allowances of 44 billion rupiahs a year. The money, it was found, would be taken from funds for these agencies: Education, Social Affairs, Youth.</p> <p>The Jakarta Post (January 31, 2003) used strong language in its commentary: "It would appear that the governor, the deputy-governor and councilors are in the happy position of being able to enjoy their good fortune without any obligation to account to the public...".</p> <p>"The Indonesian Forum for Budget Transparency, which revealed the extra allocations for the governor and the councilors, said the money was part of a conspiracy among the city's political elite to hoodwink the public. "</p> <p>The FITRA reports forced the governor of Jakarta to cut his allowances by 40 percent.</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | <p>Local governments have stipulated regulations that promote budget transparency.</p> <p>Legislators are invited to the public discussions organized by FITRA, but they rarely come. Parliament is not responsive towards the proposed budget changes.</p> |
| | (If applicable) Has the initiative been scaled up? Repeated? | Others local NGOs now also focus on budget transparency. |
| Further References | Web sources | <p>The website has just been established: www.pspk-fitra.org; it is still under construction.</p> <p>Another source is: http://www.gtzsfgg.or.id/gowa/org_details.asp</p> |
| | Documents and Reports | <p>Hard copies and soft copies of FITRA documents are available in FITRA's office, but they are written in Bahasa Indonesia.</p> <p>"Budget Analysis and Citizen Advocacy Project" by Just Associates.</p> |
| | Resource Persons/Contacts | Laode Ida, Director |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

POLITICAL EDUCATION MODULES OF KOALISI PEREMPUAN, INDONESIA (Indonesia Women’s Coalition)

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| Methodology Type | Specify whether (i) PB , (ii) IBA , (iii)BPET, or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Participatory gender budget formulation and gender budget analysis. |
| | Primary Agency Running Intervention | Koalisi Perempuan Indonesia (KPI) |
| | Location | Various provincial chapters in Indonesia. |
| | Sector or Level of Focus | Multi-sector, national and regional levels. In general, the women’s sector is the main focus. These women’s groups are represented in the coalition: laborers, farmers, fisher folk, the informal sector, sex workers, marginalized children, the elderly & disabled, widows & women as family heads, rural and urban poor women, young women and students, housewives, indigenous women and professionals. |
| | Type of Engagement | The engagement is continuous. It began in 1998. On December 14-17, 1998, the first KPI formal congress was held, attended by over 500 women from 25 provinces. It elected a 15-member Presidium, representing the sectors mentioned above. The second congress was held on January 14- 18, 2004. |
| Context and Scope | What is the driving force behind the SA initiative? | Because Indonesia has decentralized, power has likely flowed to traditional interests at the local level. They use their power to maintain their control over community resources. Because they are traditional, they are not likely to hear women’s voices and care for women’s interests in public fora. Women should thus be organized, trained, and empowered to advocate their issues. Some may even run for office. Of 48 political parties, only 25 have women departments, and in this set, 15 include women problems in their agenda. Of the 15 parties only 3 have taken an explicit stand for the promotion of women's involvement in politics. Other parties just mouth very general formulations. |
| | What are the main objectives and what key accountability problems does it seek to address? | “The objective of the Indonesian Women’s Coalition is to bring about equality and justice between women and men as befits a just, prosperous and civilized society.” The impact of poverty on women is aptly captured in this “new item” quote by a KPI member, Mulyandari: “Women are in the worst situation when the family is poor,” she says, “because of their duty to manage the purse of the family, and because of the idea that as a mother and a wife, a woman should be able to ... leave her own needs behind.” |
| | Who is the target audience or demographic focus? | The women’s sector in general. |
| | What is the political culture or environment? | Newly restored democracy, since the late 1990s. Decentralized government. Problems in governance, particularly corruption. |

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| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | <ul style="list-style-type: none"> • Political education of women, even encouraging them to run for local public office. • Budget training in political education. • Pushing for participation in drafting local budgets. • Gender budget analysis to support national legislation. |
| | Briefly describe the methodology(/ies) or tools used. | <ul style="list-style-type: none"> • Conducts political education training for women in the communities of 13 provinces. Koalisi has inserted basic budget literacy in its civic education modules. It has even created a budget game patterned after that designed by gender economist Debbie Budlender. • Identifies sectoral issues for rural poor women, the urban poor, students, labor, housewives, the elderly. • Holds workshops on strengthening women’s participation in parliament and the bureaucracy. Establishes women’s caucuses in 4 regions. • KPI has used its skills in budget analysis to add more muscle to its policy advocacy. The movement knows that budgets are vital to enforcing legislation. For example, KPI’s anti-domestic violence bill allocates funds for items in health, justice, and other sectors concerned with fighting domestic violence. • Conducts voters’ education in 13 provinces and 207 villages. Holds workshops with the candidates, the electoral commission, mass media and election watch NGOs. • Establishes a network for advocacy on the government budget, to insert a gender perspective into it. • Holds gender budget workshops between KPI and bureaucrats (executive and legislative) at West Sumatera, East Java and Jakarta. |
| | What advocacy and media activities support the initiative? | <p style="text-align: center;">MEDIA AND PUBLISHING</p> <ol style="list-style-type: none"> 1. Radio and TV campaigns on Constitutional amendments. 2. Publishes “Semai,” a monthly Bulletin for Women in the communities. 3. Has published a book of Advocacy for Gender Budget Analysis. 4. Publishes brochures of affirmative action. 5. Publishes brochures: A Guide to Gender Budget Analysis. 6. Publishes Political Education modules. 7. Publishes modules on Transformative Leadership. |

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| | | <p>POLICY ADVOCACY</p> <ol style="list-style-type: none"> 1. Submitted its recommended blueprint for the National Plan of Action to the Ministry of Women Empowerment. 2. Drafted proposals and lobbied for amendments to the 1945 Constitution. Conducted a series of discussions and public dialogues on the amendments. 3. Drafted and lobbied for a position paper on maternity rights. 4. Drafted and lobbied for a position paper on anti-trafficking of women, children, and prostitution. 5. Drafted and lobbied for a position paper on affirmative action to be inserted into the law (granting a 30 % quota for women). |
| | <p>How inclusive was the intervention?</p> | <p>It is very inclusive in the sense that KPI member groups come from many sectors. They get some basic training on the budget in their civic modules.</p> |
| | <p>Other Important Information or Comments</p> | <p>The funding sources of the coalition are the following: HIVOS, Development and Peace Partnership (UNDP), NOVIB (under LBH APIK/Legal Aid Foundation for women) and VECO.</p> |
| <p>Results and Impact</p> | <p>What (if any) has been the impact of the initiative? What have been the incentives?</p> | <ol style="list-style-type: none"> 1) A draft for the National Plan of Action on women empowerment, provided by the Coalition, was adopted by the Ministry of Women Empowerment. 2) A draft of a Constitutional Amendment regarding Human Rights, Women’s Rights and Children’s Rights, was adopted by Parliament in its annual general session of 2000. 3) The suggestion to hold women caucuses in the national parliament and some local parliaments was adopted by the female parliament members. 4) A Module of Transformative Leadership in Gender Perspectives is used nationwide, particularly by KPI Members. 5) Political awareness on gender issues among women and members of parliament has increased. 6) Members at Balai Perempuan are able to influence local government policy so that they are based on gender perspectives. 7) Increasing numbers of KPI’s members have succeeded in gaining positions in village councils and city councils. 8) Women at the community level have acquired the courage to question the bases on which the local governments formulated their budgets. 9) Some KPI members at the regional and community levels (Balai Perempuan) have become members of government budget planning teams. 10) Some KPI members have become members of the electoral commission. Others have run as candidates of district, provincial and national legislatures. |

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| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | <p>KPI has established a Caucus of Parliamentarian Women at the National Level.</p> <p>KPI was assigned as Team Assistant for Policy Making and Programs of The Ministry for Women Empowerment.</p> <p>The coalition is part of an international network on Women in Politics.</p> <p>It is also registered as an organization that supports the movement “Women Building Peace,” based in London.</p> |
| | (If applicable) Has the initiative been scaled up? Repeated? | N/A |
| Further References | Web sources | http://go.to/koalisip |
| | Documents and Reports | N/A |
| | Resource Persons/Contacts | <p>Masruchah, General Secretary Jakarta, Jl. Siaga I No. 2 B Rt 003/05 Pejaten Barat, Pasar Minggu, Jakarta Selatan, Jakarta 12510 Phone : 62-21-7985110, 9100076, 791 83 444, Fax : 62-21-7985110 Email : koalisip@uninet.net.id</p> |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

THE CITIZEN OMBUDSMAN OF JAPAN

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii) BPET , or (iv) PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | <u>Citizen Ombudsman</u> |
| | Primary Agency Running Intervention | Citizen Ombudsmen Liaison Council |
| | Location | Sendai city, Japan. |
| | Sector or Level of Focus | Local government officials. |
| | Type of Engagement | The engagement is continuous. |
| Context and Scope | What is the driving force behind the SA initiative? | <p>Upon the arrest of Mayor Toku Ishii of Sendai city, a handful of Sendai attorneys established a civil ombudsman to investigate rumors of rampant corruption in the local government. Mayor Ishii was arrested for allegedly taking bribes from practically all of Japan's major general contractors. Other corrupt governors, ministers and senior executives followed him in detention. They controlled some of Japan's biggest corporations.</p> <p>The Sendai lawyers initially suspected that local officials had been accepting bribes from giant corporations, and had been using public money to satisfy their lavish "nightlife" (food and alcohol, and hiring of geishas for entertainment). Soon, they found reports of millions of dollars in questionable entertainment items.</p> <p>The council later launched a direct attack on Japan's construction industry, which has for many years exerted a powerful influence on national politics. Such companies initiated bid-rigging scandals and "donated" millions of dollars to politicians' campaign chests.</p> <p>The attorneys were convinced that corruption was not just a local problem. They agreed that, since all local governments operated under the same laws, such graft could occur anywhere in Japan. In fact, local government auditors participated in the corruption.</p> <p>And so the Sendai attorneys contacted other lawyers around the country and told them how their small group dug into expense accounts. Attorneys in Osaka, Nagoya and elsewhere shared their concern, and this led to the first national meeting of citizen ombudsmen on July 1994.</p> |
| | What are the main objectives and what key accountability problems does it seek to address? | To promote greater transparency among local government officials on their public expenditures. |
| | Who is the target audience or demographic focus? | Local government officials, whose administrations are rigged with unexplained accounts and questionable public expenditure. |
| | What is the political culture or environment? | Japan is under a democratic parliamentary form of government. Corruption is believed to be widespread especially in local governments. |

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| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | <p>Investigations by the citizen ombudsmen on the expenditures of local officials. Information disclosure laws are invoked.</p> <p>The ombudsmen conduct their investigation through an information request program. They probe entertainment expenses, bid-rigging scandals, and other mysterious accounts of each local government.</p> |
| | Briefly describe the methodology(/ies) or tools used. | <p>The group drafts a formal Request for Participation in Simultaneous Information Disclosure demanding expenditure reports. The ordinances generally grant the local government two weeks to respond.</p> <p>The directors of the national liaison conference request that all ombudsmen send them the materials received. That way they can compare responses and create a national database.</p> <p>The results are presented at the national congress of ombudsmen.</p> |
| | What advocacy and media activities support the initiative? | N/A |
| | How inclusive was the intervention? | It is not inclusive because it is technical. The bulk of the work is handled by the attorneys of the Citizen Ombudsmen Liaison Council. |
| | Other Important Information or Comments | N/A |
| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>Hokkaido ranked first in the food and beverage spending survey released by the ombudsmen in July 1996. According to Sapporo Citizen Ombudsman Kenji Ohta, “details were shocking.” Meals served at astronomical prices were the standard. <i>Niji-kai</i> (separate drinking parties following dinner meals) were all paid with tax money.</p> <p>The Hokkaido investigation inspired the citizen ombudsmen’s next campaign. The information disclosure movement led to the discovery of systematic falsification of all types of expense accounts and other standard documentation.</p> <p>Regardless of past standards, Japan’s prosecutors have established the rule that excessive entertainment can constitute a bribe.</p> <p>Because of the investigations, entertainment expenditures have dropped.</p> <p>Local governments, which refused to disclose their expenditures were duly criticized while the transparent ones were recognized.</p> <p>More and more politicians have come to accept transparent governance. They were facing honest third-party audits.</p> |

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| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | <p>Since the citizen ombudsmen were originally from the national elite, they were immediately able to form partnerships with the members of the civil society. Different NGOs took part in the campaign for information disclosure.</p> <p>Fully 44 prefectures have installed the mechanism. Delegates from these prefectures, representing more than sixty organizations, participated in the Fifth National Conference of Citizen Ombudsmen in August 1998.</p> |
| | (If applicable) Has the initiative been scaled up? Repeated? | <p>The ombudsmen movement expanded. From Sendai, it branched out to Nagoya, Osaka and other prefectures.</p> <p>The group of the citizen ombudsmen was elevated into a national statute on May 1999 and they were able to expand in terms of document administration and maintenance, and in the scope of disclosure.</p> <p>The national congress of ombudsmen became the culmination of each prefecture's information-seeking process.</p> <p>Following the ombudsmen's example, local news reporters have been obtaining expense reports.</p> |
| Further References | Web sources | N/A |
| | Documents and Reports | <i>The Corruption Fighters' Tool Kit</i> by the National Bureau of Asian Research |
| | Resource Persons/Contacts | N/A |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

SURVEYS ON CORRUPTION BY TRANSPARENCY INTERNATIONAL MALAYSIA

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii) BPET , or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | <u>Surveys on corruption</u> |
| | Primary Agency Running Intervention | Kuala Lumpur Society for Transparency and Integrity [Transparency International (TI), Malaysian Chapter]. |
| | Location | Selayang Baru and Bandar Baru Selayang. |
| | Sector or Level of Focus | Hawkers, shop owners, households. |
| | Type of Engagement | The engagement is continuous, according to the Strategic Plan for 2002-2005. |
| Context and Scope | What is the driving force behind the SA initiative? | The need to promote integrity in national life by raising awareness and understanding of the damaging effects of corruption. |
| | What are the main objectives and what key accountability problems does it seek to address? | <p>The objectives of the Society are:</p> <ul style="list-style-type: none"> • To curb corruption by encouraging the authorities to enact and enforce effective anti-corruption laws, policies and measures and to strengthen relevant institutions; • To strengthen public support for and understanding of anti-corruption programs, and to enhance public accountability in business transactions and public procurement; • To encourage all parties to national and international business transactions to operate at the highest levels of integrity, guided in particular by TI's standards of conduct. |
| | Who is the target audience or demographic focus? | University students, the business sector, the public in general. |
| | What is the political culture or environment? | Information is tightly managed by the government. The Official Secrets Acts denies access to information. |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | <ul style="list-style-type: none"> • Surveys • Improving Private Sector Ethics • Public Sector Campaign |
| | Briefly describe the methodology(/ies) or tools used. | <p>SURVEYS; there are three major types:</p> <ol style="list-style-type: none"> 1. <i>Assessing the national integrity system (NISA) through a country study and a NISA audit.</i> This refers to surveys to measure both the extent of corruption and the effect of anti-corruption programs. 2. <i>Assessing Local Council performance.</i> These are polls that evaluate the level of corruption in Local Councils, which are at the frontlines of service delivery. 3. <i>Developing corruption measurement benchmarks.</i> These are national indicators and benchmarks based for official statistics and the perceptions of civil society and the private sector. The data are used to quantify corruption levels and provide some form of ranking. |

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| | | <p>A survey conducted by TI Malaysia covered some 1,000 users of local council services: hawkers, shop owners and households from Selayang Baru and Bandar Baru Selayang, which had a total population of 164,000. The respondents ranked the police force as the most corrupt of all agencies, with 60% saying the police were “highly corrupt.” The Road Transport Department came a distant second (20%). The rest of the agencies were deemed by a small minority as corrupt (municipal council, 7%; land office 6%; judicial office, 1%; health department). The survey also revealed that corruption was generally condoned by about 60% of business owners and higher-income groups. These sets were most likely to be approached for bribes.</p> <p>IMPROVING PRIVATE SECTOR ETHICS: promoting policies in the areas of business integrity (e.g. conflicts of interest; harassment; minority shareholder protection, insider trading, etc.)</p> <p>PUBLIC SECTOR CAMPAIGN: a tally in the legislature will establish the individual positions of Members of Parliament on issues of transparency and accountability. It will also list areas that need to be addressed to combat corruption. It aims to secure the commitment of political parties to transparency issues.</p> |
| | | <p><u>Among the Society’s advocacies are:</u></p> <p>Campaign for an independent Anti-Corruption Agency: The ACA currently under the Prime Minister’s office. The proposal is for the agency to report directly to an all-party parliamentary committee to restore public confidence in the government’s commitment to tackling corruption.</p> <p>Campaign for the Declarations of Assets: Ministers, including the Prime Minister, should declare their assets and those of their spouses and immediate families to an independent, all-party parliamentary commission, with the information accessible to the public.</p> <p>Procurement: Government should commit itself to the WTO Agreement to increase transparency in procurement and contracts.</p> <p>Campaign for Access to Information: there is an urgent need to legislate a freedom of information act to give citizens access to timely and relevant information.</p> <p><u>The following are the Society’s channels to reach out to the public:</u></p> <p>Quarterly Newsletter: this incorporates news on TI-East Asia Pacific activities, and provides a comprehensive update of related events in Malaysia and EAP countries.</p> <p>Integrity Lectures: this dinner-talk activity is aimed at keeping the issue of transparency and accountability high in the public consciousness.</p> <p>Global Integrity Awards: they recognize foreign statesmen and women in Asia who have made a difference in the fight against corruption.</p> <p>National Integrity Awards: these are the local equivalent of the anti-corruption honor.</p> <p>Education: the development of practical educational materials and training methods. This raises awareness among university students.</p> |
| | | <p>What advocacy and media activities support the initiative?</p> |
| | | <p>How inclusive was the intervention?</p> <p>Some avenues for general public involvement are the toll-free “corruption hotline” and the postage-free post office box.</p> |

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| | Other Important Information or Comments | <p>The movement was founded in 1998.</p> <p>It is an affiliate of Transparency International, and serves as the TI East Asia and Pacific Regional Office.</p> <p>The Society is governed by an Executive Committee made up of influential members of Malaysian society representing the professions and civil society groups.</p> |
| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | N/A |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | The Society works with coalition partners, including the Anti-Corruption Agency (ACA), various chambers of commerce and industry, and civil society organizations. |
| | (If applicable) Has the initiative been scaled up? Repeated? | Civil society organizations have expressed interest in similar surveys in their localities. For example, Citizens Watch has called on the Society to conduct a survey for the Ipoh municipality. |
| Further References | Web sources | http://transparency.org.my |
| | Documents and Reports | Summary of Strategic Plan 2002-2005 |
| | Resource Persons/Contacts | Teresa Benedict Executive Director |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

INTEGRATING A GENDER PERSPECTIVE INTO PUBLIC EXPENDITURE MANAGEMENT IN THE REPUBLIC OF THE MARSHALL ISLANDS

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| Methodology Type | Specify whether (i) PB , (ii)IBA, (iii)BPET, or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | <u>Integrating a Gender Perspective into Public Expenditure Management in the Republic of the Marshall Islands.</u> |
| | Primary Agency Running Intervention | Asian Development Bank/University of South Australia Project Team (technical assistance). |
| | Location | Republic of the Marshall Islands (RMI). |
| | Sector or Level of Focus | The focus of the project was primarily on the impact of the budget and public spending on gender issues. |
| | Type of Engagement | The project carried on for 15 months over the 2002/2003 budget cycle. |
| Context and Scope | What is the driving force behind the SA initiative? | <p>Data show these areas of concern among RMI women:</p> <ul style="list-style-type: none"> • High rates of malnutrition, anemia, and iron deficiency. • High dropout rates among school girls. • Pregnancies, high birthrates among teenagers. • Spousal abuse, child abuse. • Violence against women outside the family. • Women workers are found mostly in low-paying jobs with little or no opportunity for advancement <p>The government formed a Women’s Desk in 1979. However, the lack of resources hindered it from addressing the increasing problems of women and girls. The RMI’s women’s policy expired in 2001 and the government still did not sign the UN Convention for the Elimination of all forms of Discrimination Against Women. This inaction seemed to indicate that gender was not a top priority.</p> <p>Now, the openness of the government to engage in this ADB project may hint at a paradigm shift on gender.</p> |
| | What are the main objectives and what key accountability problems does it seek to address? | <ul style="list-style-type: none"> • To assist in the design of “people-centered” budgets and gender-appropriate policies, programs, institutions based upon global “good practices.” • To assist the government in collecting disaggregated data on gender. • To build capacity among senior government officials and representatives of women’s groups to support the implementation of gender- sensitive public expenditure management. • To raise awareness of policy issues and how the budget impacts women and men. • To promote transparency and accountability of government policy commitments and budgets in relation to gender. • To change policies and budgets to ensure equity and equality of opportunity between men and women, following local priorities. |
| | Who is the target audience or demographic focus? | Government, civil society, women |

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| | <p>What is the political culture or environment?</p> | <p>Despite its independent status since 1986, the economy of the RMI is still largely dependent on the United States. It receives government assistance from the US totaling around \$35 million. Democracy is also fairly new to the RMI. Its current democratic system is flavored by a hierarchical traditional culture.</p> <p>The current government has committed to improve the country's financial management practices. However, the lack of qualified and experienced mid-level and senior staff in the ministries limit decision-making at the top. They still have to update their public financial management systems, such as providing for proper audits.</p> |
| <p>Tools and Methodologies Used</p> | <p>What specific SA tools and methodologies are being used?</p> | <p>Gender budget analysis.</p> <p>Preparing a gender-responsive budget.</p> |
| | <p>Briefly describe the methodology(/ies) or tools used.</p> | <p>From Gender Budget Analysis to a Gender-Responsive Budget:</p> <p>Assisted by NGOs, the Ministry of Finance served as the project coordinator. The general framework for the program was to incorporate 3 main goals:</p> <ol style="list-style-type: none"> 1. Assessment of gender impacts arising from budgets and policies. This involved demystifying the budget, analyzing the budget in terms of impacts on gender. Workshops also dealt with raising awareness on gender issues. 2. Foster government accountability for the gender equality impacts of its policies. This phase established administrative mechanisms within the government to guarantee the execution of the project. NGOs underwent capacity building. 3. Change budgets and policies in the light of gender assessments and accountability. <p>The Marshallese steering committee was formed, comprised of 2 joint Ministry of Finance project coordinators, a Women's desk officer from the Ministry of Internal Affairs, and a representative of an NGO umbrella group – Women United in the Marshall Islands.</p> <p>The steering committee decided to focus on one gender issue, namely, teenage pregnancies, as it carried much community concern.</p> <p>A 2nd workshop for government officials was held. It illustrated how their budgets and policies impacted on matters concerning gender and teenage pregnancies in particular.</p> |
| | <p>What advocacy and media activities support the initiative?</p> | <p>N/A</p> |
| | <p>How inclusive was the intervention?</p> | <p>It mobilized the women groups through the NGO umbrella alliance Women United in the Marshall Islands.</p> |
| | <p>Other Important Information or Comments</p> | <p>N/A</p> |

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| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>The project was making progress -- then an exogenous factor derailed it. The Compact negotiations between the US and the RMI during the pilot year caused the normal budget processes to falter.</p> <p>There were other problems:</p> <p>The one-year time frame – It was adequate for the first goal of raising awareness, but too short to have an impact on changing the budget itself.</p> <p>Maintaining momentum – Several factors slowed down the momentum of the project. One was the problematic coordination of the Ministry of Finance. Another was the cancellation of the ADB of an important regional workshop on the pilot project.</p> <p>Transparency and accountability - The project was undermined by the absence of a transparent system of expenditure management. There was no public budget document, and funds were misappropriated.</p> <p>The project failed to create a cross-cutting budget to address the problem of teenage pregnancies. Nevertheless, the capacity-building exercises did result in some changes in the budget. The Ministry of Internal Affairs got a reallocation of funds, which it earmarked for the teenage pregnancy program. (However, the money was not spent, because a key member of the steering committee was removed due to political reasons.) The Ministry of Education decided to spend a Federal US grant on health education for the issue of teenage pregnancy.</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | The methodology was initiated by a donor but was implemented through the government with the participation of the civil society. |
| Further References | (If applicable) Has the initiative been scaled up? Repeated? | Not yet. |
| | Web sources | www.unisa.edu.au/pacificproject |
| | Documents and Reports | “Bridging the Gap Between Gender Analysis and Gender-responsive Budgets: Key Lessons from a Pilot Project in the Republic of the Marshall Islands,” by Rhonda Sharp and Sanjutga Vas Dev, Hawke Research Institute, University of South Australia, Magill, South Australia, 2004 |
| | Resource Persons/Contacts | Rhonda Sharp, Team Leader |
| | | Sanjutga Vas Dev, Project Officer/Researcher Youth and Gender Project, University of South Australia |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

BUDGET WORKSHOPS OF THE CITIZENS' POVERTY WATCH FORUM, KATHMANDU, NEPAL

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| Methodology Type | Specify whether (i)PB, (ii) IBA , (iii)BPET, or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Training on the budget |
| | Primary Agency Running Intervention | Citizens' Poverty Watch Forum. |
| | Location | Kathmandu, Nepal. |
| | Sector or Level of Focus | Budget analysis, poverty, foreign aid. |
| | Type of Engagement | Infrequent, now terminated. |
| Context and Scope | What is the driving force behind the SA initiative? | Over 42 percent of the population lives below the poverty line and 50 percent are illiterate. Add to this the burden of insurgency. The numerous programs for uplifting the poor have yet to produce results. Past budgets did not address the issue of poverty reduction. Hence, Nepal's budget should be understood more, so that it can effectively fund the general effort of poverty reduction. |
| | What are the main objectives and what key accountability problems does it seek to address? | To train academics, media, and the NGOs on the budget processes, so as to influence anti-poverty programs and policies. |
| | Who is the target audience or demographic focus? | Academe, civil society, journalists. |
| | What is the political culture or environment? | Much of Nepal's development today is stunted by the current morass of political instability. On the one hand, the Maoist insurgency has festered for 8 years, killing more than 7,000 people. On the other hand, the Prime Minister dissolved parliament in 2002, after which he was dismissed by King Gyanendra. Nepal is a constitutional monarchy, but unlike others in the world, the King has the right to share executive power with the council of ministers. He holds the post of supreme commander of the army, and can exercise emergency powers. |
| | What specific SA tools and methodologies are being used? | Workshops on the budget |
| Tools and Methodologies Used | Briefly describe the methodology(ies) or tools used. | <p>Budget Formulation Workshop – “The Components of the Budget Formulation Stage in Nepal.”:</p> <p>CPWF explained that the budget process in Nepal was not accessible to the public. Its citizens were not told what happened at the budget formulation state. They were unable to determine whether the government was working for or against the public interest. The main objective of the training was to provide detailed information about the federal budget process in Nepal. It focused on the components of the formulation and execution stage. It showed how citizens could participate in the early stages of the budget process, given the limited opportunities available then. The training also discussed the impact of foreign aid – and its lack of transparency and participation. The current practice, where the government allocates internal resources to match foreign aid, is said to limit discretionary resources for attending to citizen's priorities. The workshop concluded that the major problems in budgetary system were: the lack of transparency in its formulation and execution, and the absence of participatory mechanisms during the formulation phase.</p> |

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| | | <p>“Budget Formulation Process in Nepal: How Much Pro-Poor and Participatory?”</p> <p>This seminar provided inputs into the budget for the next fiscal year. Its main objective was to make the budget formulation process more participatory, so that the budget could become more pro-poor. It should help the nation attain the poverty reduction targets set by the ninth 5-year plan. The workshop pointed out that the national budget was usually one-sided, as it was planned at the central level. Projects were passed under pressure from politicians, rather than from participative deliberations. There was a need to enhance the participation of the poor to make the budget more objective. Central-level planning of the budget only promoted corruption.</p> |
| | What advocacy and media activities support the initiative? | The media were participants in the budget seminars. |
| | How inclusive was the intervention? | <p>Budget analysis is a technical field, so the training seminars were not very inclusive.</p> <p>Attending the workshops were representatives from universities, media companies, and civil society organizations.</p> |
| | Other Important Information or Comments | N/A |
| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>Little impact. Civil society is not well developed in Nepal, and NGOs are a mixed bag. Some are said to have doubtful motives.</p> <p>The CPWF notes that the political crisis has made it difficult to draw up budget projections. The budget is also hard to implement, because the people do not have representatives sitting in the legislature. These factors blunt the impact of budget training work in Nepal.</p> <p>Unfortunately, it must be stated that Action Aid Nepal (which partnered with CPWF to do budget analysis work) was frustrated with the group. Ties were severed in 2002 after CPWF lost interest in sustaining the budget analysis program.</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | The seminars of CPWF are jointly held with the Nepal Participatory Activities Group (NEPAG). |
| | (If applicable) Has the initiative been scaled up? Repeated? | The initiative has been terminated. |
| Further References | Web sources | www.internationalbudget.org |
| | Resource Persons/Contacts | Laxman Acharya, Coordinator; <i>Email:</i> forum-cpwf@forum.wlink.com.np Telephone: + 014 488853 |
| | Resource Persons/Contacts | N/A |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

INTEGRITY PACTS OF BHAKTAPUR, NEPAL

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii) BPET , or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Integrity Pacts |
| | Primary Agency Running Intervention | Transparency International Nepal |
| | Location | Nepal |
| | Sector or Level of Focus | Government at the local and national levels; Procurement and service delivery systems. |
| | Type of Engagement | The engagement is continuous; it began in 1999. |
| Context and Scope | What is the driving force behind the SA initiative? | The need to stamp out corruption through citizens' participation. |
| | What are the main objectives and what key accountability problems does it seek to address? | To work with the municipal governments and demonstrate that corruption can be defeated with political commitment and increased public cooperation. To address the lack of transparency and accountability in financial transactions and the day-to-day activities of the local government. To redress public grievances. |
| | Who is the target audience or demographic focus? | Municipal governments of Nepal. |
| | What is the political culture or environment? | Democracy is threatened by an insurgency and a drift to an authoritarian monarchy. Governance is weak. Nepal has 52 municipalities and 3,800 village development committees. A Decentralization Act is already in force. |
| | What specific SA tools and methodologies are being used? | Integrity Pacts—the Bhaktapur Framework. |
| Tools and Methodologies Used | Briefly describe the methodology(/ies) or tools used. | This was originally piloted in the Bhaktapur Municipality, and subsequently called the Bhaktapur Framework. Public officials and employees at the local government level (municipalities, district development communities) pledge to implement the “integrity system” (no bribe-taking, simple and transparent decision making, realistic construction budgets, openness and responsiveness to complaints by citizens). Suppliers and bidders also take a pledge to avoid paying bribes. Procurement procedures and guidelines are delineated, and a system for the redress of grievances is installed. A monitoring committee is set up, including a representative of TI Nepal. The pledge signing takes place in a public venue for all to witness. The Integrity Pact was upgraded by Transparency International into a national practice. TI Nepal first enters a contract with government officials, where both parties agree to monitor compliance with it. Individual pledges are signed by officials and employees of the government agency to signify their commitment to the Pact. |

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| | | <p>Specifically, the pledging organization and official promise to:</p> <p>1) Promote transparency</p> <ul style="list-style-type: none"> • by preparing workflow charts for all departments and faithfully implementing them. • by issuing public notices to inform the public about services being rendered. • by posting the workflow charts and procedures within the office for all to see. • by making public all important decisions through a Notice Board, magazines, bulletins or other publications. • by making all staff wear identification cards during office hours. <p>2) Create an environment conducive to maintaining integrity</p> <ul style="list-style-type: none"> • by pledging in writing to refrain from corruption, that is, not to accept bribes (to be undertaken by all elected officials and staff, and all those involved in the procurement process) • by issuing public notices about the commitment they have made to the Integrity Pact. <p>3) Establish a competitive procurement system</p> <ul style="list-style-type: none"> • by adhering to existing laws and rules with respect to procurement • by encouraging external participation and transparency in works carried out by the Users Committee • by verifying the cost of procurement and purchases, and comparing them with prevailing market prices. Costs must be posted in a sign board. <p>4) Establish a public grievance mechanism</p> <ul style="list-style-type: none"> • by designating an officer to receive and respond to written public complaints • by regularly monitoring and surveying performance <p>5) Establish a monitoring system through a committee set up for this purpose.</p> <p>Surveys of public perception of public services are conducted before and after the Integrity Pact has been signed. The pre- and post-Pact surveys were conducted by the Participatory and Holistic Approach to Development (PAHAD), in 2001 and 2002.</p> |
| | What advocacy and media activities support the initiative? | TI Nepal has published many of its reports as books. |
| | How inclusive was the intervention? | N/A |
| | Other Important Information or Comments | N/A |

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| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>Information was more transparent and accessible. Surveys conducted in specific municipalities, after Integrity Pacts were signed, showed increased public satisfaction with service delivery.</p> <p>“Apparently, the impact of the IP (Bhaktapur) became so well known throughout Nepal that many other communities requested information, leading to a set of regional workshops in all five Regions of the country, each with more than 100 participants from the public and private sectors. Beyond the IP itself, TIN [TI Nepal] has approached the aid giving community and has asked for their commitment to introduce rules and regulations, which will protect all development assistance from corruption erosion.” (Transparency International, “The Integrity Pact: The Concept, the Model and the Present Applications,” Status Report as of 31 December 2002.)</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | <p>After the Bhaktapur Experience, TI Nepal enhanced the Integrity Pact. Modifications included: issuing public notices of activities, securing written/signed integrity pledges from district committee members and staff, getting no-bribe-making pledges from suppliers, delineating procurement guidelines, installing a grievance redress system and forming a monitoring committee.</p> <p>TI Nepal helps to form monitoring committees to oversee the implementation of the Integrity Pact, and it assigns staff members to assist the monitoring committees in their early formation stages.</p> |
| | (If applicable) Has the initiative been scaled up? Repeated? | <p>By mid-2002, the Integrity Pact was in force in 6 municipalities (Bhaktapur, Lekhnath, Butwal, Bharatpur, Vyas, Ratnanagar and Bhaktapur District Development Committee) including the initial pilot area, Bhaktapur.</p> <p>The Integrity Pact is now used in more than 14 countries worldwide.</p> |
| Further References | Web sources | http://www.tinepal.org/ |
| | Documents and Reports | Full list and electronic copies of documents and reports are available at the website. |
| | Resource Persons/Contacts | Dr. Devendra Raj Panday, TI Nepal President |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

THE PUBLIC ACCOUNTS COMMITTEE, KATHMANDU, NEPAL

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii) BPET , or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | <u>Monitoring of the national government's public expenditures</u> |
| | Primary Agency Running Intervention | Public Accounts Committee (PAC), Huse of Representatives. It is headed by a member of the opposition, the Communist Party of Nepal. |
| | Location | Kathmandu, Nepal. |
| | Sector or Level of Focus | Public expenditure at the national level, governance, and corruption. |
| | Type of Engagement | The engagement is supposed to be continuous, but it was overtaken by political events. |
| Context and Scope | What is the driving force behind the SA initiative? | <p>Nepal is weighed down with problems of financial mismanagement. According to a 2002 World Bank economic update for the country, these are:</p> <ul style="list-style-type: none"> • “Poor budget implementation resulting from opacity of budget presentation and weaknesses in budget monitoring...”. • “Lack of follow up to the auditor general’s reports; inadequate standards of accounts and disclosure rules; weaknesses in procurement systems”, and • “Issues related to political party and election financing” |
| | What are the main objectives and what key accountability problems does it seek to address? | The House of Representative’s Public Accounts Committee is tasked to begin reviews on issues of governance, accountability and corruption for the preservation of the public interest. |
| | Who is the target audience or demographic focus? | Government officials are investigated, and the findings are released to a constitutional body. The reports eventually reach the general public. |
| | What is the political culture or environment? | <p>Nepal is torn by a Maoist insurgency fighting the rule of King Gyanendra. Since late 2002, the King, in effect has been exercising what is seen as inordinate power. For many, this is a regression away from democracy.</p> <p>Polarization characterizes politics in Nepal. In the legislature the main opposition party is the Communist Party (UML). Since 1990, 11 governments have ruled Nepal. During this time the Cabinet has been reshuffled 30 times.</p> |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | Monitoring national public expenditure. |
| | Briefly describe the methodology(/ies) or tools used. | <p>The PAC, in general, looks into the flow of expenditures and checks for anomalies. Resources may be misallocated, spending may be unaccounted for, rules may be applied in an arbitrary way.</p> <p>The PAC issues directives to government officials on matters of financial management. Its reports are submitted to the Commission for Investigation of Abuse of Authority (CIAA), a constitutional body responsible to look into corruption.</p> |
| | What advocacy and media activities support the initiative? | The opposition parties take up PAC findings, alert the media, and mobilize their followers to pressure the administration. |
| | How inclusive was the intervention? | This is not inclusive, as financial investigation is highly technical. |

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| Results and Impact | Other Important Information or Comments | N/A |
| | What (if any) has been the impact of the initiative? What have been the incentives? | <p>Given the charged political atmosphere, the administration may regard PAC reports as political attacks. At times it has ignored the reports, while followers of the opposition reply by taking to the streets. Here are sample opinions from the opposition:</p> <ul style="list-style-type: none"> • National Peoples’ Front (NPF) lawmaker Pari Thapa: "We already have enough commission reports gathering dust...If only the government would dare to implement them." • United People’s Front (UPF) lawmaker, Lilamani Pokharel: "Nothing is going to happen unless the government looks back at the past reports and implements them." <p>Because of such tensions, PAC reports may be explosive, igniting political struggles. For example, a corruption case in 2000 involved the Royal Nepal Airlines Corp. PAC probed the case and reported grave corruption and irregularities, implicating the Minister for Tourism and Civil Aviation. Prime Minister. Calls for the suspension of the Prime Minister were ignored. Opposition parties disrupted parliamentary sessions for 57 days. Still no action was taken.</p> <p>The opposition mobilized its followers for a general strike that lasted three days. Some protesters were killed and around 500 were arrested. The CIAA concurred with the PAC’s findings, and the Tourism Minister was arrested.</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | <p>PAC coordinates with the office of the Auditor General as well as with the civil society watchdog, Transparency International Nepal.</p> <p>It also got training from the National Democratic Institute for International Affairs. This led the PAC to strengthen its relationship with the Auditor General’s office.</p> <p>PAC has established linkages with other PACs from India and the United Kingdom.</p> |
| | (If applicable) Has the initiative been scaled up? Repeated? | N/A |
| Further References | Web sources | http://www.nepalnews.com.np |
| | Documents and Reports | “Political Developments in Nepal – 2002.” Report by the FES Foundation. |
| | Resource Persons/Contacts | N/A |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

BUDGET ANALYSIS OF ACTION AID, KATHMANDU, NEPAL

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| Methodology Type | Specify whether (i)PB, (ii) IBA , (iii)BPET, or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Budget analysis |
| | Primary Agency Running Intervention | Action Aid Nepal (AAN) Action Aid is an international development charity founded in London in 1972. Action Aid Nepal was formed in 1982. |
| | Location | Kathmandu, Nepal. |
| | Sector or Level of Focus | Poverty reduction both at the macro level, through policy advocacy, and at the community-level, through the help of local NGOs. |
| | Type of Engagement | The engagement is continuous. Action Aid Nepal is currently present in 15 districts across the country, supporting a wide array of rights-based and advocacy-focused programs. With regards to its budget analysis work, it began its efforts in 1999 on a per project basis. Beginning June 2004 until May 2007, Action Aid Nepal will be involved in setting up the Budget Information Service (BIS) in Kathmandu. |
| Context and Scope | What is the driving force behind the SA initiative? | Action Aid has traditionally worked through local grassroots organizations. It has focused on the micro-level through participative community building. However, Action Aid Nepal has realized that advocacy at the policy level is just as important to address the roots of poverty. An important object of macro-level analysis is the national budget. There is a special urgency for budget analysis today. King Gyanendra assumed executive powers after the Prime Minister dissolved the parliament in October, 2002. As such, he has assumed executive powers. He has been promulgating the budget without it being checked by the legislature. Action Aid Nepal thus believes that it has to analyze the budget. |
| | What are the main objectives and what key accountability problems does it seek to address? | The main objective of ActionAid is poverty reduction. It works with the poorest communities in the world through participative community building. With regards to budget analysis, the objective in the next 3 years is to broaden and deepen independent, applied, budget analysis in Nepal. It will look into allocations for social spending. Such funding is under threat, because the deteriorating security situation is channeling more money to the military. |
| | Who is the target audience or demographic focus? | The poor, especially women, people affected by AIDS, government officials, legislators, local organizations, the media, and international organizations. |
| | What is the political culture or environment? | Nepal's polarized politics needs some explanation. The government structure had long been a closed system with no avenues for civil society participation. Then in 1990, a democratic form of government came about. However, the transition to democracy is a slow process. Judging from recent events, one might say that the tenuous democracy in Nepal is severely being challenged. Since 1986, a communist insurgency has been gaining strength in the rural areas and in late 2002, the King had the Prime Minister suspend parliament due to unrest. An important factor regarding the breakdown of the system might be attributed to the lack of practical know-how among the nascent democracy's leaders. There has been a tendency for not implementing policies. Further hindering the culture of democracy is the entrenched caste mindset, the premise that people are born unequal. Resistance to a rights-based approach to civil society has thus been formidable. Lastly, special attention needs to be given to the empowerment of women. |

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| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | <ul style="list-style-type: none"> • Community situation analysis/Participatory baseline studies • Budget analysis • Lobbying on policy |
| | Briefly describe the methodology(/ies) or tools used. | <p>COMMUNITY PARTICIPATORY BASELINE STUDIES</p> <p>Action Aid’s interventions at the micro-level continue. Community baseline data are gathered through local grassroots organizations. Action Aid organizes trainings on participatory approaches and methods. It teaches community members how to assess their situation and how to adopt solutions to their local problems.</p> <p>BUDGET ANALYSIS</p> <p>As part of its larger objective, ActionAid began its foray into budget analysis through a partnership with M.D. Mistry’s organization in India in 1998. Action Aid has examined the national budget, looking at the shares of social expenditures.</p> <p>The government of Nepal announced in July 2003 a budget of US \$ 1.32 billion. This was, for the second time, promulgated by the King without a sitting parliament. In 2001 it sponsored the BASE group to do community-level budget analysis in some villages of Kailali district, West Nepal. In 2002 it co-organized with the Centre for Budget and Policy Studies, Bangalore, a South Asian conference on civil society and the budget. This was attended by Nepali organizations from Kathmandu and other districts. In 2003 it did a study on the level of transparency in Nepal’s budget-making process. This was in conjunction with the International Budget Project, Washington DC and The Strategic Group. It consulted with government, the donor community, and civil society organizations.</p> <p>LOBBYING GOVERNMENT</p> <p>Action Aid actively involved in engaging government for reforms in policies and practices, especially those that affect poverty.</p> <p>“In more recent years we are looking at macro issues as well. We realize that in order to address the real causes of poverty you may find the symptoms down there - illiteracy, high death rates, maternal mortality rates, starvation...but you'll often find that the causes are elsewhere. This is the recognition we came to.” -- Ms. Shizu Upadhy, Senior Policy Research Officer, Action Aid Nepal.</p> <p>Today the organization looks not only at national policies but also examines the impact on Nepal of policies designed by the Asian Development Bank, the World Bank, and the World Trade Organization.</p> |
| | What advocacy and media activities support the initiative? | <p>In terms of advocacy, AAN has been concerned with issues that affect the poor. These include the impact of the WTO accession process on farmers, information disclosure on World Bank and ADB policies, and dalit (bottom caste) issues.</p> <p>AAN has been involved in training the media. The group’s experience is that, due to the journalists’ lack of specialized knowledge, its reports are not well presented. AAN also invites the media professionals to visit its chapters in the rural areas.</p> |
| | How inclusive was the intervention? | For the moment, Action Aid’s budget analysis is technical, not inclusive. However, its community baseline studies are inclusive. |
| | Other Important Information or Comments | AAN has had difficulty in obtaining the proper data. As such, the organizations assigned to do budget work at the local levels are being linked up with those based in Kathmandu to facilitate a smoother exchange of information. |

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| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>Budget analysis is now seen as an important mechanism to promote a more democratic society. Civil society is recognized for its role here. Trial and error have helped AAN to develop a deeper and more focused program for budget analysis work. At the start, there was no specific or focused agenda for budget analysis. Activities were ad hoc. But through the help of other organizations such as CBPS and IBP, AAN found more focus in its design.</p> <p>On the national budget, Action Aid has found that the budget for national security was nominally lowered, probably due to the ceasefire at that time. But the Maoist guerillas have resumed their operations, so the slice for the military will probably rise. Action Aid has estimated that more than 50% of development expenditures will be put on hold due to funds needed for security spending.</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | Action Aid Nepal has realized the benefits of having a partnership with international organizations such as the ADB. While Action Aid enjoys close relationships with its communities, it says it can also tap ADB's vast knowledge bank. Avenues for collaborative work are being explored. |
| | (If applicable) Has the initiative been scaled up? Repeated? | <p>From 2004 to 2007, Action Aid Nepal will set up the Budget Information Service (BIS). This will provide impact analysis of the budget on the poor and the marginalized in the rural areas.</p> <p>The BIS will embark on capacity building for civil society, journalists, and parliamentarians. Seminars will demystify the budget. The institute will formulate budget policy measures.</p> <p>The expected outputs are: a functioning resource center; the publication of a manual on the budget, release of four budget briefs; and organizing an educational event on the budget with NGOs, academe, media, and government.</p> |
| Further References | Web sources | www.actionaid.org |
| | Documents and Reports | N/A |
| | Resource Persons/Contacts | <p>Dr. Shibesh Chandra Regmi, Country Director E-mail: shibeshr@actionaidnepal.org Ms. Shiju Upadhya, Globalization Theme Leader E-mail: shizuu@actionaidnepal.org Tel: 977 (1) 4436477, 4419115, 4421232, 4410929 Fax: 977 (1) 419718</p> |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

REPORT CARD ON PUBLIC SERVICES IN BHARATPUR, NEPAL

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii)BPET, or (iv) PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Report Card on Public Service Providers |
| | Primary Agency Running Intervention | Participatory and Holistic Approach to Development (PAHAD), a community-based organization. The survey was done in cooperation with Transparency International Nepal. |
| | Location | Bharatpur municipality, Chitwan district, Nepal . |
| | Sector or Level of Focus | Public service provision. |
| | Type of Engagement | This survey was undertaken in March-April 2000. |
| Context and Scope | What is the driving force behind the SA initiative? | Perceived corruption and lack of transparency and accountability in public service delivery. |
| | What are the main objectives and what key accountability problems does it seek to address? | <ul style="list-style-type: none"> • To explore people’s experience and levels of satisfaction with public services; • To compare service providers according to the quality of service observed by users; • To explore citizens’ perceptions of the degree and types of corruption encountered; • To probe into possible causes of and remedies for corruption. |
| | Who is the target audience or demographic focus? | The general public . |
| | What is the political culture or environment? | The powers of the monarchy were tempered at the start of the 1990s. Democratic in 2000, but threatened by a Maoist type of insurgency. Decentralized governance. Problems with corruption. |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | Report Card survey of public service providers. |
| | Briefly describe the methodology(/ies) or tools used. | <p>The survey involved 421 out of 12,569 households in Bharatpur.</p> <p>It covered 10 public agencies: general administration, the courts, electricity, finance, hospitals, land revenue, local government, police, telecommunications, and water supply.</p> <p>It revealed widespread dissatisfaction with the performance of these agencies as well as corruption in most. By sector, the politicians (Members of Parliament and Ministers) were perceived to be the most corrupt, followed by bureaucrats (government employees and the police). The constitutional sector, including the Judiciary and the Commission for the investigation of abuses of authority, placed third. The social sector was seen as the least corrupt.</p> |
| | What advocacy and media activities support the initiative? | The survey got substantial coverage in the media. |
| | How inclusive was the intervention? | Surveys capture the opinions of the average citizen. They give each adult an equal chance of being chosen as a respondent. |

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| | Other Important Information or Comments | <p>The following were some of the major findings of the survey:</p> <p>A majority (82% for local government to 42% for the land revenue agency) encountered no difficulty with providers. Those who did had to pay bribes. This was particularly true for land revenue users, who reported the lowest level of user satisfaction (42% of users not reporting any difficulties) and the highest rate of bribe-payers (38%).</p> <p>Financial institutions, telecoms, and the police got grades of relatively low user satisfaction (below 50%) and a relatively high rate of bribery (around 20%).</p> <p>On the other end, hospitals and local governments had the highest user satisfaction ratings (79% and 82%, respectively) and also enjoyed the lowest rates of bribe-paying (4% and 5%, respectively).</p> <p>The majority of those who had to resort to bribes said they were compelled to pay a bribe (54%) or that the bribe was explicitly demanded (28%).</p> <p>The bribes were usually paid directly to the official responsible for completing a task (79%). The vast majority (95%) paid bribes to expedite a given task, while 5% admitted it was to pay for illegal work.</p> <p>Only 19% were willing to pay more for better services. An even smaller group (16%) expected that the situation would improve and corruption would be controlled.</p> |
| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>The PAHAD survey findings would turn out to correspond with those from other polls. This correlation was noticed in the media.</p> <p>As put by journalist Narayan Manandhar of the media outfit <i>Kantipur</i>, “Surprisingly there are consistencies in the survey results – pervasive reporting of corruption incidence, bribes as the main element of corruption; land revenue appears to be the most corrupt office, and government officials and politicians are the chief actors in corruption.”</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | PAHAD has entered into a strategic partnership with Transparency International Nepal. TI Nepal in fact published the survey. |

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| | (If applicable) Has the initiative been scaled up? Repeated? | <p>Similar surveys have followed. The Media Services International published another corruption poll in May 2000. It was funded by the Westminster Foundation for Democracy, UK. The research found that 74% had bribed during their lifetime, and 61% were compelled to bribe. The most corrupt agencies were land revenue, customs, the police, courts, and local administration. Topping the list of corrupt people were government employees, political leaders, and the police.</p> <p>Another poll by Transparency International Nepal, published in 2002, found that land administration was the most corrupt sector, followed by customs, the police, and the judiciary. All income levels reported corruption. But the poorest class bore the heaviest burden imposed by corruption.</p> <p>A third survey conducted by the Nepal Law Society in November 2002, found that 68% believed there was corruption in the courts. A third (31%) experienced bribing court officials.</p> |
| Further References | Web sources | http://www.tinepal.org/ |
| | Documents and Reports | “Report Card Survey of Public Service Providers in Chitwan District” |
| | Resource Persons/Contacts | TI-Nepal PO Box 11486 New Plaza, Putalisadak Kathmandu, Nepal Tel: +977-1-436462 Fax: +977-1-420412 Email: trans@tinepal.org |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

CIET'S SOCIAL AUDITS, ISLAMABAD, PAKISTAN

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii) BPET , or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Social audits |
| | Primary Agency Running Intervention | Community Information and Epidemiological Technologies (CIET) International. |
| | Location | Islamabad, Pakistan. |
| | Sector or Level of Focus | District, provincial and national government levels, and civil society organizations in Pakistan. |
| | Type of Engagement | The engagement is continuous. It started in 1995. |
| Context and Scope | What is the driving force behind the SA initiative? | Devolution of national government powers to local governments, with the passage in 2001 of the Local Government Plan. |
| | What are the main objectives and what key accountability problems does it seek to address? | To improve public services through evidence-based planning. To build capacities at various levels (local community groups, local government levels) for collecting, analyzing and using information to plan and implement priority improvements in key public services. To improve governance through increased citizen participation in planning and monitoring services. |
| | Who is the target audience or demographic focus? | Primarily local government and local communities, with a focus on women. |
| | What is the political culture or environment? | Authoritarian, with government support for devolution. |
| | What specific SA tools and methodologies are being used? | Social Audit/Community Monitoring of Public Services |
| Tools and Methodologies Used | Briefly describe the methodology(/ies) or tools used. | A pilot baseline study in 10 districts gathered views of over 10,000 households on devolved public services and local governance, following the enactment of the Local Government Plan in 2001. The services surveyed were: health, education, water, judiciary and police services, and local government services. CIET Pakistan undertook this work together with the National Reconstruction Bureau, a government agency and the main architect of devolution. The results of this baseline survey were released to the public in October 2003. This has since been expanded to a 5-year social audit of Pakistan, conducted annually, to track progress under devolution and to inform policy. Capacity building is to be undertaken to ensure the sustainability of this endeavor. Onder Yucer, UNDP's resident representative in Pakistan, which is supporting this initiative, said: "The social audit tracks citizen's views and experiences of public services, and monitors the improvement of public services delivery under devolution in all districts of Pakistan. Having this kind of information will certainly be in the best interest of the local governments." |

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| | | <p>CIET International’s Social Audit allows for the analysis of factors behind the state of public services. It strengthens community voice not only by reflecting their views but also through formal mechanisms of participation. Ordinary folk help analyze data and develop solutions. Through the Social Audit, capacities at the local and national levels are built, both in the communities that use the services and in the agencies that provide them. There are three phases of the social audit:</p> <p>(1) <u>Design and data collection</u> — the strategic focus is clarified, and the instruments are designed and pilot-tested. Information is collected from households and key informants in a panel of representative communities.</p> <p>(2) <u>Evidence-based dialogue and analysis</u> — Data gathered from households is then linked with information from public services. On this basis an analysis is drawn up with a view towards future action. These findings are then brought back to the communities to elicit their ideas for improving the services. Finally, community representatives are brought face to face with service providers and planners to discuss the evidence and findings.</p> <p>(3) <u>“Socialization”</u> of evidence for public accountability, through workshops, a communications plan, evidence-based training of planners and service providers, the training of media, and partnerships with civil society.</p> <p>The CIET Social Audit consists of seven features: (1) systematic evidence gathering from households, schools, communities and the service provider itself; (2) community participation through focus group discussions and workshops, not only in providing hard evidence but also in designing local and national solutions; (3) impartiality, to foster a culture of transparency and to strengthen the credibility of the services; (4) stakeholder buy-in, wherein all who have a significant stake in the delivery of services actively take part in the audit at all stages; (5) avoidance of pinning blame on particular individuals or organizations, instead, focusing on systemic flaws and program content; (6) repeat audits so as to measure progress and impact over time, and to focus planning efforts on where they are most effective; and (7) dissemination of results through effective processes of providing feedback to communities.</p> |
| | What advocacy and media activities support the initiative? | Press conferences on “Social Audit of Governance and the Delivery of Public Services.” |
| | How inclusive was the intervention? | N/A |
| | Other Important Information or Comments | <p>CIET International had conducted Social Audits originally in Mexico, where its academic center is based, but also in South Africa (on sexual violence), and Uganda (on agricultural extension services) apart from Pakistan.</p> <p>It has provided training on evidence-based planning to government executives in South Africa (Eastern Cape province), to community based researchers and public health workers in Canada, and to medical officers in Bangladesh.</p> |

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| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>The pilot project revealed that only 23% of households across the country were satisfied with the government's health services. Worse, 45% of households said they were dissatisfied with the available services, while 32% said they had no access at all to the government's public health services. Urban residents showed a higher satisfaction rating than rural residents.</p> <p>The survey also asked where people got medical care. Nearly a third (31%) reported going to public health facilities, while nearly half (47%) availed themselves of private services. A fifth (21%) went to unqualified private practitioners.</p> <p>The utilization pattern differed across the three provinces of Pakistan. In the Northwest Frontier Province, more than half (59%) of those surveyed reported using government health facilities, while in the province of Sindh, more than two-thirds went to private facilities. In Punjab, more than a third of the households (34%) reported going to unqualified private practitioners for medical attention.</p> <p>The first national Social Audit just started in January 2004, and it will be ongoing for the next five years. It is too early to conclude on its impact.</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? | The pilot project led to 5-year annual social audit. |
| | (If applicable) Has the initiative been scaled up? Repeated? | The social audits in Pakistan are based on past CIET International audits done in other countries. |
| | Web sources | http://www.ciet.org/www/image/country/pakistan.html |
| Further References | Documents and Reports | Full reports available at the website |
| | Resource Persons/Contacts | N/A |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

REPORT CARD COVERING NINE CITIES IN METRO MANILA, PHILIPPINES

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii)BPET, or (iv) PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | <u>Report Card Survey on Specific Services of Nine Cities in the National Capital Region.</u> |
| | Primary Agency Running Intervention | Development Academy of the Philippines (commissioned by the Asian Development Bank). |
| | Location | 9 Philippine National Capital Region cities covered in the DAP Report Card Survey: Quezon City Marikina Makati Muntinlupa Paranaque Pasay Mandaluyong Pasig Manila |
| | Sector or Level of Focus | The focus lies on local governance. Specifically, the report card looks into the provision and delivery of 7 city services, namely: Garbage collection Traffic management Neighborhood safety Public market management Permit issuance/licensing Water supply Housing |
| | Type of Engagement | The report card was not repeated. |
| Context and Scope | What is the driving force behind the SA initiative? | The report card was run in the context of a decentralized environment after the passage of the Local Government Code (LGC) in 1991. Problems have arisen in the implementation of devolution, like the lack of funds to pay for the devolved services. The local government units (LGUs) have been plagued with inefficiency, corruption, and the lack of capacity. The development of a governance rating system via the report card would, thus, help push for needed reforms. It would arm the citizenry with a mechanism for voice, putting pressure on the LGUs. |
| | What are the main objectives and what key accountability problems does it seek to address? | The main objectives of the exercise were: <ul style="list-style-type: none"> • To gather the perceptions of the local residents regarding the quality of the services in their varied dimensions of experience, such as awareness, convenience, and level of satisfaction. • To ascertain the price of these services, given residents' experience with rent-seeking. • To explore prescribed alternatives. • To establish the residents' willingness to pay for improvement of the services. |
| | Who is the target audience or demographic focus? | Local residents, local government units, national government and agencies |

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| Tools and Methodologies Used | What is the political culture or environment? | Devolution has been introduced and codified into law. But local governance is impaired by inefficiency, lack of capacity, and corruption. |
| | What specific SA tools and methodologies are being used? | Participatory Performance monitoring – Report card survey. |
| | Briefly describe the methodology(/ies) or tools used. | <p>The first step was to construct the survey agenda. This involved consultations with residents and local government officials. Various public forums were held. The services had to be standard for each city, and they had to be patronized by a large segment of the population. The process led to the selection of the 7 public services mentioned above.</p> <p>The second step was questionnaire development. A questionnaire used by the People’s Action Centre in Bangalore was adopted and modified. The indicators would provide (a) comparative ratings for offices within a given city, (b) comparative ratings among cities, and (c) differences in responses among clients from different socio-demographic backgrounds.</p> <p>The third step concerned survey design. It looked into respondent selection, sample size, and how to compare survey results with official data. Then the survey was run. The data were subjected to factor analysis, reliability tests, and correlation searches. After the report was prepared, it was presented before city mayors and officers. It was dissected in workshops with NGOs and government agencies.</p> |
| | What advocacy and media activities support the initiative? | The report card results were published in newspapers, and discussed over radio programs. |
| | How inclusive was the intervention? | It was inclusive in terms of involving the residents in determining the survey agenda. More fundamentally, the survey collected and aggregated the voices of the residents. |
| | Other Important Information or Comments | <p>Some problems that the survey team encountered were:</p> <ul style="list-style-type: none"> • Official government responsibilities were not clearly defined. There were cases of overlap between agencies. • Some public officials were less open to the exercise. They felt that the survey results would somehow be used against them. This delayed data gathering. • Also, due to security reasons, elite families were reluctant to give out any information. |
| Results and Impact | <p>What (if any) has been the impact of the initiative? What have been the incentives?</p> | <p>The report card opened an avenue for voice for the “average citizen.” It also highlighted some perception discrepancies, such as the differences between how residents valued a service, or certain aspects of it, and how the LGU valued it. For example, one service was officially awarded for excellence. But according to the report card, the residents’ only rated it “above average.” The survey also reflected still unresolved issues since the passage of the Local Government Code. One was the dispute over the delineation of responsibilities and territories. The report card found lower service quality in areas where territory was disputed.</p> <p>In general, the main outcomes were:</p> <ul style="list-style-type: none"> • The empowerment of the local residents. • Local officials were provided a performance rating set by the people, and not imposed top-down. • Local governments became more responsive to the needs of the people and provided services that were more compatible with what they actually wanted. |

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| Further References | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | <p>The report card was presented to the city mayors and the local officers. In general, the response was positive and the findings were used as a basis for city management. Some highlights:</p> <ul style="list-style-type: none"> • The mayors of Makati, Marikina and Mandaluyong used the survey results in their planning and budgeting exercise. They echoed the need to sustain the kind of information relayed by the report card. • City officials were interested in the scores of other “competitor” cities. • The mayors of Makati and Marikina discussed the performance of their department heads during meetings. • 2 weeks after the presentation to the Makati City government, billboards on street corners put up a list of the city’s emergency numbers. This was in response to a demand revealed by the survey. |
| | (If applicable) Has the initiative been scaled up? Repeated? | No. |
| | Web sources | www.adb.org/Governance/gov_publications.asp |
| | Documents and Reports | “Report Card Survey on Specific Services of Nine Cities in the National Capital Region.” Development Academy of the Philippines, Manila, Philippines, February 2002 |
| | Resource Persons/Contacts | Ma. Kristina Hidalgo Consulting Services Division |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

LIFESTYLE CHECKS ON GOVERNMENT OFFICIALS IN THE PHILIPPINES

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii)BPET, or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | <u>Lifestyle checks on government officials</u> |
| | Primary Agency Running Intervention | The Office of the Ombudsman and various government agencies. |
| | Location | Metro Manila, Philippines. |
| | Sector or Level of Focus | Government officials. |
| | Type of Engagement | The engagement is continuous. |
| Context and Scope | What is the driving force behind the SA initiative? | <p>There is widespread public aversion to corruption in the Philippines. Surveys of the research firm Social Weather Stations (SWS) have highlighted rampant corruption in key government agencies.</p> <p>In-depth reports, notably by the Philippine Center for Investigative Journalism (PCIJ), detail the various corrupt practices in government. PCIJ articles also speak of the ostentatious lifestyles of corrupt officials, notably of those from the tax authority, the Bureau of Internal Revenue (BIR).</p> <p>Soldiers even launched a failed mutiny in 2003, claiming they protested the corruption of the military top brass.</p> |
| | What are the main objectives and what key accountability problems does it seek to address? | <p>The Anti-Graft and Corrupt Practices Act (Republic Act 3019) says that a public official can be dismissed if he “has been found to have acquired during his incumbency, whether in his name or in the name of other persons, an amount of property and/or money manifestly out of proportion to his salary and to his other lawful income.”</p> <p>The idea is that an honest official can account for the assets he or she has acquired, given their government income levels. If the assets are way above what can be accounted for by salaries, savings from corporate income, or marriage/inheritance, then they likely arose from corrupt deals.</p> <p>There is a presumption of culpability if an official cannot explain where he or she acquired disproportionate income or assets.</p> <p>Indicators of unexplained wealth include unexplained bank deposits, “manifestly excessive expenditures,” ostentatious displays of wealth, frequent travel abroad, and the like.</p> |
| | Who is the target audience or demographic focus? | Government officials, particularly those suspected of unexplained wealth. |
| | What is the political culture or environment? | The Philippines has a democratic government, but corruption is widespread. There are few convictions partly due to the difficulty of assembling evidence that can stand in court. |
| | What specific SA tools and methodologies are being used? | Lifestyle check of government officials. |
| Tools and Methodologies Used | | |

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| | <p>Briefly describe the methodology(/ies) or tools used.</p> | <p>Three key government agencies are currently conducting lifestyle checks on government officials of graft-prone agencies. The investigating bodies include the Office of the Ombudsman, the Presidential Anti-Graft Commission (PAGC), and a recently created Transparency Group in the Office of the Presidential Chief of Staff.</p> <p>The President likewise created two task forces to conduct a lifestyle check on military and police officials. The Department of Finance formed its own task force to conduct lifestyle checks on the officials of agencies under it.</p> <p>Efforts have focused on three agencies viewed as most prone to corruption (as seen by SWS surveys): the Department of Public Works and Highways (DPWH), the Bureau of Customs (BoC) and the Bureau of Internal Revenue (BIR). The Armed Forces of the Philippines (AFP) and the Philippine National Police (PNP) as well have been the targets of allegations of massive and entrenched corruption.</p> <p>The PCIJ has published a do-it-yourself guide to conducting lifestyle checks on public officials. Statements of assets and liabilities are first examined. According to the PCIJ, “visits to offices and houses are a good way to begin a lifestyle check. Among the things to look out for are fancy vehicles (boats, cars, jet skis, etc) parked in these homes or used for ferrying officials, sumptuous parties hosted by them, the retinues they keep (bodyguards, valets, maids), the suits and jewelry they wear. Other lifestyles indicators are foreign trips, children sent abroad for schooling or luxury houses built for mistresses and family members.”</p> <p>Investigators must ask the public officials concerned for a plausible explanation for the manner in which they live, whether they inherited or married into land or other forms of wealth, or whether they make money from a business or profession.</p> <p>A background check includes a review of their curriculum vitae, interviews with family, friends, staff, classmates, scouring of newspaper archives for articles about these officials.</p> <p>Philippine law requires all public officials to file a statement of assets and liabilities every year. This is an appropriate document to start work on lifestyle checks, although underreporting and non-reporting are common.</p> <p>The most visible signs of wealth, says the PCIJ, are real property assets. Astute public officials, however, conceal ownership by putting the property in the names of other people like relatives and companies. Land records of these parties must also be examined.</p> <p>Non real property assets of public officials include stocks, club shares, vehicles, collectibles, bank accounts, cash, jewelry, and clothes.</p> <p>One must also observe their hobbies/form of recreation, social/lodge affiliations, bars and restaurants frequented, the type of tobacco and alcohol consumed, the shops they and their families patronize, and the schools where they send their children.</p> |
| | <p>What advocacy and media activities support the initiative?</p> | <p>A lifestyle check is primarily a “name and shame” campaign to warn other officials of the consequences of corrupt behavior. Its success, therefore, depends on media coverage and the exposure of corrupt officials.</p> <p>Media activities include well-publicized speeches of the President and other high officials, releases to the press of the results of lifestyle checks, investigative reports, and so on.</p> |

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| | How inclusive was the intervention? | The bulk of the work is done by agents working for anti-corruption agencies. |
| | Other Important Information or Comments | N/A |
| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>The recent campaign (certainly not the first one) netted the anti-corruption agencies a few big fish, including an undersecretary and an assistant secretary of the public works department, a prime target agency. Several officials of the Bureau of Customs and the Bureau of Internal Revenue were also fired and charged in court.</p> <p>Records of the Presidential Anti-Graft Commission (PAGC) show that 600 cases of corruption were filed against presidential appointees. Almost 90 percent of these cases were dismissed.</p> <p>The Transparency Group under the Office of the Presidential Chief of Staff has so far come up with 10 'solid' cases of graft against presidential appointees.</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | Lifestyle checks began with the journalists of the PCIJ and partner groups under the Konsyensyang Pilipino (KP or Filipino Conscience). Then the practice caught on in government. The checks are institutionalized under the Office of the Ombudsman, the office of the Presidential Chief of Staff and the PAGC. |
| | (If applicable) Has the initiative been scaled up? Repeated? | <p>Government agencies face tight resource constraints in scaling up lifestyle checks. The Office of the Ombudsman has 37 investigators to check on legions of bureaucrats. It has to lobby Congress for an additional P1 million to hire 50 investigators. It relies on intelligence funds to buy equipment like cameras used to monitor erring government officials.</p> <p>Scaling up can be achieved if the government forms partnerships with civil society. The latter can provide the manpower for pursuing the investigations.</p> |
| | Web sources | www.journal.com.ph www.manilatimes.net www.inq7.net www.newsflash.org www.pcij.org |
| Further References | Documents and Reports | <p>Various news reports</p> <p><i>Investigating Corruption, A Do-it-Yourself Guide, 2002.</i> by the Philippine Center for Investigative Journalism.</p> |
| | Resource Persons/Contacts | Teresita Baltazar, Commissioner, Presidential Anti-Graft Commission. |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

KALAHI-CIDSS: COMMUNITY-DRIVEN DEVELOPMENT IN THE PHILIPPINES

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| Methodology Type | Specify whether (i) PB , (ii) IBA , (iii) BPET , or (iv) PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | KALAHI-CIDSS , the flagship anti-poverty program of the administration of President Gloria Macapagal-Arroyo. The acronym Kalahi means “Linking Arms Against Poverty.” CIDSS stands for Comprehensive and Integrated Delivery of Social Services. |
| | Primary Agency Running Intervention | Department of Social Welfare and Development (DSWD)/ National Anti-Poverty Commission, Philippines (NAPC). |
| | Location | Nationwide. The program covers the 42 poorest provinces in the country. |
| | Sector or Level of Focus | Kalahi-CIDSS targets the poorest municipalities of the poorest provinces. All villages in each municipality can compete for project funds. The infrastructure projects support the delivery of basic services. |
| | Type of Engagement | The program began in January 2003 and will be implemented over 6 years. |
| Context and Scope | What is the driving force behind the SA initiative? | Patronage and corruption in local politics have stunted the development of the rural sector. Politicians package their infrastructure projects as personal favors or dole-outs to the people. They typically reward the villages that supported them in the elections and neglect the rest. Projects follow political rather than developmental criteria. Worse, funds leak because shady contractors collude with each other and give a cut on the deal to the politician. All told, rural folk do not get enough roads, irrigation, schools, and clinics to meet their needs. To address these gaps, the national government modified a successful Indonesian poverty program. Now called KALAHI-CIDSS, it is the flagship anti-poverty plan of the current administration. The total cost is \$ 182 million, and it is supported by a \$100M World Bank loan. |
| | What are the main objectives and what key accountability problems does it seek to address? | The general aim is empowerment and poverty-reduction by targeting the poorest communities through participative, demand-driven projects. Hence, the main objectives of KALAHI-CIDSS are to: <ul style="list-style-type: none"> • Empower the local communities. • Promote good governance through capacity building at the municipal and village level. • Reduce poverty by funding basic infrastructure and livelihood projects for participating communities. |
| | Who is the target audience or demographic focus? | All stakeholders in the local community are involved, from the government officials to the local residents. |
| | What is the political culture or environment? | Philippine democracy is impaired by patronage politics and a lack of accountability. For example, Congressmen often use their huge pork barrel war chests to secure the votes of the poor in the next election. Development projects buy votes. The local politician is the modern-day version of the feudal landlord who dispenses largesse in exchange for loyalty. |

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| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | <p>Through the different stages of program implementation, various elements of SA mechanisms come to the fore:</p> <ul style="list-style-type: none"> • Participatory budgeting (during the preparation of the proposals). • Participatory expenditure tracking (during the project implementation stage). • Participatory performance monitoring (post construction) |
| | Briefly describe the methodology(/ies) or tools used. | <p>From here on, the word <i>barangay</i> will be used for “village.” The process runs as follows.</p> <p>An army of facilitators is trained on Kalahi-CIDSS, and these professionals are deployed to the target barangays. They explain the program, and the barangays prepare their profiles. In particular, the barangays learn to map their achievement of on minimum basic needs (MBN).</p> <p>Then they request the barangay captains (leaders) to convene the barangay assembly. In this meeting the community runs ideas on what project to prioritize. They review an open menu of projects. For example, they can choose to construct or repair irrigation systems. They can set up water supply networks. They can build classrooms or clinics.</p> <p>The barangay is required to make its own fund contribution to the project.</p> <p>Then the barangay selects the project that most attends to its needs and creates a team to write the proposal. The facilitators give training on proposal writing and budget preparation. The barangay meets again and confirms the chosen project.</p> <p>The municipality hosts a forum of barangays, and each presents its proposal. The proposals are rated by barangay representatives, and the best wins the funding. One criterion for being selected is the degree to which the community contributes to the project.</p> <p>Further training and refinements result in a polished proposal. The inter-barangay forum studies project costs and chooses a verification team. With funds on hand, the winning barangay constructs the project.</p> <p>Spending is closely monitored. All the financial statements are posted on the barangay bulletin board and reported to the barangay assembly. Roving bookkeepers assist those in charge of preparing the statements.</p> |
| | What advocacy and media activities support the initiative? | KALAHY-CIDSS has been given extensive coverage in the print and broadcast media. |
| | How inclusive was the intervention? | <p>The approach is very inclusive. It is designed to involve the entire barangay.</p> <p>The target for community participation is that 80% of all barangay households attend the assemblies. In some cases, the ratio reached 98%.</p> |
| | Other Important Information or Comments | <p>It was argued that KALAHY was too community-based and did not take advantage of economies of scale. Hence, it was initially shot down by the nation’s economic planning authority. But lobbying by the social welfare department turned the tide.</p> <p>Community leaders are reminded that these adjectives characterize KALAHY: decision-making that is localized, empowering, transparent, inclusive and multi-stakeholder, demand driven, simple, sustainable, and competitive.</p> |

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| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>As of April 2004, KALAHI has already reached out to 78 municipalities (out of 177) in 33 provinces (out of 42).</p> <p>The following lists the order of preference for projects chosen and built by the barangays:</p> <ul style="list-style-type: none"> Water supply systems Roads Day care centers Multi-purpose buildings Health centers School buildings. <p>Various testimonies from the villagers were printed in the main newspapers. (For example, children no longer had to walk 3 kilometers a day to reach their school, because of the new Kalahi classrooms.) They will be documented and collected in the latter half of the year.</p> <p>The main fruit of KALAHI is not really the physical infrastructure but the social infrastructure. It is gradually overturning the old tradition of patronage politics into bottom-up development planning.</p> <p>This exercise is creating a cadre of leaders which will total some 50,000 by KALAHI's end. They will be equipped with the skills to prepare project proposals – and to demand the projects from their local politicians.</p> <p>About 40 % of funding was contributed by the residents and local officials – indicating that Kalahi effectively triggered local resource mobilization.</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | KALAHI is a government-initiated intervention. |
| | (If applicable) Has the initiative been scaled up? Repeated? | <p>KALAHI has been scaled up from the pilot (Phase I), to the main roll-out (Phase II), to the last sweep (Phase III).</p> <p>The program itself is an adaptation of Indonesia's Kekamatan program.</p> |
| Further References | Web sources | http://itd.dswd.gov.ph/kalahi/ |
| | Documents and Reports | Banias, Raul, MD. "KALAHI-CIDSS: the Conception Experience." Report by the Municipal Mayor of Conception, Iloilo province. November 16, 2003. |
| | Resource Persons/Contacts | Alexander Glova, National Project Manager. Department of Social Welfare and Development. |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

LOCAL DEVELOPMENT COUNCILS IN THE PHILIPPINES

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| Methodology Type | Specify whether (i) PB , (ii)IBA, (iii)BPET, or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Local Development Councils |
| | Primary Agency Running Intervention | Department of the Interior and Local Government, Republic of the Philippines (DILG) |
| | Location | Metro Manila, Philippines |
| | Sector or Level of Focus | Local government, Multi-Sectoral |
| | Type of Engagement | The engagement is continuous. It began with the enactment of the Local Government Code in 1991. |
| Context and Scope | What is the driving force behind the SA initiative? | The main impetus is the enactment of the Local Government Code of 1991, which supports people’s direct participation in government at the local level. This is consistent with people empowerment and participatory democracy, principles enshrined in the Constitution |
| | What are the main objectives and what key accountability problems does it seek to address? | To institutionalize decentralization and participation as key features of the Philippine system of governance. To provide a forum for constructive debate and the resolution of key planning issues between government and civil society. To encourage, enrich and make more effective the participation of civil society in the provinces, cities, municipalities, and villages. |
| | Who is the target audience or demographic focus? | Local Government Units (LGUs) and NGOs. |
| | What is the political culture or environment? | Democratic milieu, active civil society organizations. |
| | What specific SA tools and methodologies are being used? | Local Development Councils at the provincial, city, municipal and barangay (village) levels of local government. |
| Tools and Methodologies Used | Briefly describe the methodology(/ies) or tools used. | The Local Government Code of the Philippines (Republic Act No. 7160) provides the mandate for people’s participation in the Local Development Councils. The purpose of the Council is to assist local Assembly in setting the direction of economic and social development, and to coordinate development efforts within its territory. The law says that at least one fourth of the LDC members must come from NGOs and people’s organizations. They will select among themselves who is to participate in the Council. The Local Development Council was intended as “the mother of Local Special Bodies, a semi-political, participative forum where key planning issues could be debated and resolved between government and civil society.” (DILG, <i>Study on People’s Participation in Local Development Councils</i>). LDCs are also intended for the formulation of general development and investment plans of the LGU, following local priorities. They are seen as the “natural bodies” through which government can consult people’s organizations, NGOs and other concerned sectors. |

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| | What advocacy and media activities support the initiative? | There appears to be no serious media campaign to popularize LDC involvement. |
| | How inclusive was the intervention? | Civil society groups represent the basic sectors in the local development councils. |
| | Other Important Information or Comments | N/A |
| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>It is generally perceived that devolution benefits the Philippines. However, many problems persist: there is a huge backlog in constructing rural roads and school buildings, and access to basic services for the poor is uneven.</p> <p>The record of LDCs is mixed. Where the local development councils promote active people's participation, both the local governments and the NGOs want to strengthen the LDCs. But there is a need to streamline the accreditation processes and strengthen capacity for development planning. The original design of the LDCs itself must be upgraded.</p> <p><u>Procedures</u>: There is too much focus on the selection and accreditation of NGOs and people's organizations. Much less attention is given to procedures for effective people's participation. In some areas NGOs feel that participation begins and ends with accreditation.</p> <p><u>Planning Process</u>: Few guidelines exist to assist LDC members in local planning, investment promotion, and the prioritization of projects.</p> <p><u>Capabilities</u>: Little or no support exists to empower LDC members with the skills and technical expertise needed to fulfill their mandate. As a result, they are not adept at basic practices such as the proper conduct of meetings. Instead, the local chief executive who chairs the Council tends to control the meetings.</p> <p><u>Resources</u>: There are few resources available to LGUs for carrying out investment promotion and project monitoring. Even more scarce are funds to assist the NGOs to enable them to effectively participate in the LDCs. The issue of lack of funds has been strongly articulated at the level of the municipalities.</p> <p><u>Participation</u>: The USAID conducted nine rapid field appraisals between 1992 and 1999 in a sample of LGUs across the country. The appraisals showed a consistent picture of moderate disenchantment with the Local Development Councils. On the part of NGOs, they were unfamiliar with government mechanisms, and they had only a vague idea of how their interests could be advanced by participating in the Councils. On the part of the local governments, they tended to limit NGO participation to merely inviting them to meetings without seriously considering their proposals. Another study of 300 LGUs was conducted by the civil society alliance CODE-NGO. It found that at least a fourth of the local governments themselves designated who were to be the NGO representatives to the LDCs. Then research by the NGO PhilDHRRA noted that NGOs perceived their participation in LDCs to be mere tokenism.</p> <p>In a series of consultations commissioned by the Local Government department in 2001, a majority of NGO representatives expressed frustration more than satisfaction with the LDCs.</p> |

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| | | <p>How then could the LDCs be converted into vehicles for meaningful NGO involvement? According to PhilDHRRA, the following factors could contribute to their success: (1) presence of an NGO network; (2) previous partnership between the LGU and NGOs; (3) presence of support systems and experts; (4) openness of local officials to civil society participation. For its part, the DILG study found, on the basis of consultations, concerns that needed to be addressed to maximize public participation:</p> <ul style="list-style-type: none"> • Dissemination of information, both about the LDC and its activities, powers and procedures. • A program to fix non-functional LDCs (e.g. requiring them to meet at least four times a year, supervision by the DILG to ensure that the local chief executive adhered to LDC rules, application of sanctions when rules were not obeyed). • Improvements in the process of appointing members to the Councils. This includes ensuring the wide circulation of the public notice, so that all NGOs would be aware of the accreditation process. It is important to have a transparent accreditation process, as well as DILG oversight. • Keeping the size of the LDC to a manageable level (in some cases this would mean reducing the number of members). • Improving the relationship between the LDC and the local legislative Assembly. There is a tendency for responsibilities to overlap so they must be clarified. • Minimizing political interference in the LDC processes. Non-partisanship should be the norm. |
| | <p>Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe.</p> | <p>It is mandated by the law.</p> |
| | <p>(If applicable) Has the initiative been scaled up? Repeated?</p> | <p>N/A</p> |
| <p>Further References</p> | <p>Web sources</p> | <p>http://www.dilg.gov.ph/</p> |
| | <p>Documents and Reports</p> | <p>“A Study on People’s Participation in Local Development Councils,” Department of the Interior and Local Government (DILG).</p> <p>“The Political Economy of Decentralization in the Philippines,” Ruperto Alonzo.</p> <p>Local Government Code of the Philippines (Republic Act No. 7160), Book 1, Title 6, Sections 106-115.</p> |
| | <p>Resource Persons/Contacts</p> | <p>Prof. Ruperto Alonzo, University of the Philippines School of Economics</p> |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

INVESTIGATIVE JOURNALISM ON CORRUPTION IN THE PHILIPPINES

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii) BPET , or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | <u>Investigative reporting on corruption</u> |
| | Primary Agency Running Intervention | Philippine Center for Investigative Journalism (PCIJ) |
| | Location | Quezon City, Philippines. |
| | Sector or Level of Focus | The mass media sector. |
| | Type of Engagement | The engagement is continuous. |
| | What is the driving force behind the SA initiative? | The need for a deeper understanding of national issues. The need to expose the roots, mechanics, and impact of corruption in the Philippines. |
| Context and Scope | What are the main objectives and what key accountability problems does it seek to address? | PCIJ specializes in investigative reporting on corruption in government. Its accounts revolve around: Political economy, or how wealth funds political power, and how the political elite use their power to accumulate more wealth. The details of corruption, or how crooked deals are assembled. The damage caused by corruption on social spending and public welfare. |
| | Who is the target audience or demographic focus? | The general public. |
| | What is the political culture or environment? | Democratic form of government, strong tradition of a free, vibrant press. |
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| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | Investigative reports on corruption, public spending. |
| | Briefly describe the methodology(/ies) or tools used. | The PCIJ specializes in the production of investigative reports. It has published close to 200 articles in major Philippine dailies and magazines. It has released over a dozen books. The reports on corruption and influence peddling in high places have shaken the political landscape. In many cases, these accounts have forced the government to act. PCIJ's investigative reports go beyond high-profile corruption cases. They also look into entrenched corrupt practices in key departments or branches of government. A series done by the Center in 1999 detailed problems that have besieged procurement contracts in the education department. They included overpricing, delays, partial and ghost deliveries of textbooks, school desks and armchairs. It showed how rules were bent, procedures ignored, and checks and balances removed in favor of well-connected suppliers. The said problems resulted in the perennial shortage of these basic supplies in public schools all over the country. A 1998 report examined corrupt practices related to the pork barrel projects of Congress. The report concluded that "for all the vaunted noble intentions |

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| | | <p>of pork proponents, the decisions regarding which projects get how much money seem to depend primarily on how big a cut the congressmen receive rather than the actual needs of the people. Paradoxically, projects that undoubtedly would have the most impact – those aimed at improving health, alleviating poverty, or upgrading the quality of education – appear to be also those from which the most amount of money can be lopped off to benefit private individuals rather than the public.”</p> <p>The cuts or kickbacks were called commissions, rebates and discounts, and ranged from 20 percent to 40-50 percent of project cost. The lawmakers, said the report, preferred to be paid in cash.</p> <p>The Philippine media itself has not escaped the PCIJ’s investigative lenses. Using the 1998 national elections as a case in point, the PCIJ exposed corruption in the media. Its book, <i>News for Sale</i>, documented the arrangements made between political campaign managers, journalists, and media organizations to influence the coverage of the elections.</p> <p>A common thread running through many of the PCIJ’s reports is the enduring relationship between political and economic power that is keeping Philippine society underdeveloped. In 1995, the PCIJ published the award-winning <i>Boss: 5 Case Studies of Local Politics in the Philippines</i>. The book explored the link between political and economic power at the local level. In 1996, it published <i>Patrimony</i> which focused on the tie between local politics and the environment. The book looked at the structures of local power and explained how those who held local office used their power to exploit natural resources.</p> |
| | <p>What advocacy and media activities support the initiative?</p> | <p>PCIJ reports are released to the print and broadcast media. They are well received.</p> <p>The center also publishes its own magazine, produces documentaries (5 full-length documentaries to date) and maintains a website.</p> |
| | <p>How inclusive was the intervention?</p> | <p>NA</p> |
| <p>Results and Impact</p> | <p>What (if any) has been the impact of the initiative? What have been the incentives?</p> | <p>In August 2002, PCIJ exposed how politically well-connected and independent power plant (IPP) contractors got away with “sweetheart deals” with various government officials. This resulted in higher electricity rates for consumers. Civil society thus formed coalitions around the electricity problem. It also became an election issue in 2004.</p> <p>In April 2001, PCIJ reported how, four days after it assumed office, the present administration approved a controversial power plant contract with the Argentine firm IMPSA. The report questioned the propriety of the ruling issued by the Justice Secretary. The 2001 PCIJ report on IMPSA prompted the Senate to investigate the case.</p> <p>A report in April 2000 documented well-known corruption in the Bureau of Internal Revenue (BIR), the government’s tax collection agency. It showed how tax officials used their discretionary powers to extort money from business taxpayers. Even those willing to pay the right amount were forced to play along. The money raised through these shakedowns was distributed through a sharing scheme inside the agency: from the secretaries and clerks to the top levels in the bureau. Corruption was so entrenched that personnel successfully thwarted attempts to computerize the agency, to streamline its operations, and to professionalize its ranks.</p> |

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| Further References | | <p>In response, legislators filed a bill in 2003 to purge the BIR and replace it with a structurally more accountable National Revenue Authority.</p> <p>In July to October 2000, PCIJ released three reports on President Joseph Estrada's unexplained wealth and the mansions he was building for his mistresses. The reports on the President's mansions became part of the impeachment suit filed against him later in the year. He was overthrown in the second People Power revolution of January 2001.</p> <p>A 1996 PCIJ report detailed how the Health Secretary was responsible for large scale anomalies in the Department of Health. Research showed how he skimmed off as much as 40 percent of government contracts. In March 1996, the Health Secretary was forced to resign.</p> <p>A PCIJ report in 1993 revealed how the House Speaker left a trail of unpaid debts amounting to P5 billion when he was head of the Landoil Resources Corporation in the 1980s. The Senate thus conducted an investigation of Landoil Resources.</p> <p>PCIJ has won major awards and its executive director was recently honored with the Magsaysay Award, Asia's version of the Nobel Prize.</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | PCIJ has forged ties with civil society alliances. It serves like a megaphone for their findings on corruption. |
| | (If applicable) Has the initiative been scaled up? Repeated? | The center has prompted major dailies to produce their own investigative reports. |
| | Web sources | http://www.pcij.org.ph |
| | Documents and Reports | <p>Selected books published by PCIJ:</p> <ul style="list-style-type: none"> • <i>The Rule makers: How the Wealthy and Well-Born Dominate Congress</i> • <i>Investigating Corruption: a Do-It-Yourself Guide</i> • <i>Investigating Estrada: Millions, Mansions and Mistresses</i> • <i>Betrayals of the Public Trust: Investigative Reports on Corruption</i> • <i>Pork and Other Perks: Corruption and Governance in the Philippines</i> • <i>Robbed: An Investigation of Corruption in Philippine Education</i> • <i>News for Sale: the Corruption of the Philippine Media</i> • <i>Patrimony: 6 Case Studies on Local Politics and the Environment in the Philippines</i> • <i>Boss: 5 Case Studies of Local Politics in the Philippines</i> |
| | Resource Persons/Contacts | Sheila S. Coronel, Executive Director |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

CORRUPTION SURVEYS OF SOCIAL WEATHER STATIONS (SWS), PHILIPPINES

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii) BPET , or (iv) PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | <u>Surveys on corruption practices</u> |
| | Primary Agency Running Intervention | Social Weather Stations (SWS), the leading survey research institute in the Philippines. |
| | Location | Quezon City, Philippines. |
| | Sector or Level of Focus | Multi-sectoral focus at the national and local levels. Very diverse fields of interest, covering economics, social issues, politics, culture, values, etc. |
| | Type of Engagement | The engagement is continuous. SWS was set-up in August, 1985 and has been conducting various surveys since then. |
| Context and Scope | What is the driving force behind the SA initiative? | SWS surveys collect the voices of powerless people, the respondents, and aggregate them into valuable data. The media then publish these reports on public opinion. Hence, the data apply pressure on the government to act on the revealed problems. Hence, there are three main objectives of SWS survey work, namely: <ul style="list-style-type: none"> • “Education: so eyes may see social conditions, • “Conscientization: so hearts may feel social problems, and • “Analysis: so minds may understand their solutions.” |
| | What are the main objectives and what key accountability problems does it seek to address? | The surveys on corruption in particular reveal: <ul style="list-style-type: none"> • How rampant corrupt practices ARE in the government. • How the private sector tolerates corruption. • Which agencies are most prone to corruption. • The size of the bribes. • Public support for the fight against corruption. |
| | Who is the target audience or demographic focus? | The general adult public is the target for the survey interviews. The public, the media, policymakers, and academics comprise the target for the survey findings. |
| | What is the political culture or environment? | Democratic, but weakened by the prevalence of corruption. |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | <ul style="list-style-type: none"> • Surveys on corruption. • Focus group discussions to determine the survey agenda. • Dissemination of the data via the media and SWS’ own publications. |
| | Briefly describe the methodology(/ies) or tools used. | <p>The topics explored in the quarterly omnibus surveys are quite varied. However, this summary focuses on SWS’s surveys on corruption. The SWS 2003/04 TAG Enterprises Survey interviewed 500 top and middle-level managers in Metro Manila, 100 in Metro Cebu and 100 in Metro Davao between November 13, 2003 and January 28, 2004. The survey agenda was determined by focus group discussions facilitated by the Makati Business Club, the Cebu Business Club and the Mindanao Business Council.</p> <p>Some highlights from the survey. Only the following ratios said those in their sector: Issued receipts: 35 %, Kept 1 set of books: 21%, Paid their taxes honestly: 15%.</p> |

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| | | <p>Moreover, fully:</p> <p>68% paid bribes in connection with taxes or licenses. 45% donated to the election campaigns; and 2 of 3 gave to more than one candidate running for the same position.</p> <p>23% cited a donation of at least 100,000 pesos, and 5% gave at least a million pesos. 50% of the managers said they personally encountered public sector corruption in the last 3 months.</p> <p>Cited as the most corruption-prone were the Bureau of Internal Revenue, the Bureau of Customs, and the Department of Public Works and Highways.</p> <p>The respondents were willing to give 3% of their net income for an anti-corruption program fund.</p> |
| | What advocacy and media activities support the initiative? | <p>The media are always instrumental in disseminating the survey results of SWS. Press releases most often make the front page and the evening news telecasts.</p> <p>SWS emails an alert to the tri-media, inviting them to visit the website. The site contains the full press release including data and charts.</p> <p>SWS also publishes its own books, bulletins, monographs, papers, and CDs.</p> |
| | How inclusive was the intervention? | <p>By definition the target of the intervention is the average adult Filipino. They do participate in the surveys as they serve as the respondents.</p> |
| | Other Important Information or Comments | <p>To safeguard its reputation as a credible institution, SWS does not conduct confidential surveys.</p> <p>The President of SWS was honored by the international survey community as pollster of the year. The World Association for Public Opinion Research (WAPOR) conferred upon Dr. Mahar Mangahas the Elizabeth Dienerman Award in 2002.</p> <p>Funded by the World Bank, SWS ran the Filipino Report Card survey in 2001.</p> |
| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>SWS findings on corruption are used in designing the programs of the Transparent and Accountable Governance (TAG) civil society coalition, as well as those of official anti-corruption agencies.</p> <p>The agencies revealed as the most corrupt are coming under increasing fire. Congress is considering a bill to purge the Bureau of Internal Revenue and replace it with a fresh National Revenue Authority.</p> <p>However, SWS findings are habitually attacked or dismissed by politicians and agencies that get low ratings.</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | <p>ALMOST ALL government departments have been clients of SWS. They present to the firm some questions that reflect their interests. SWS edits the questions and brings them on board for the surveys.</p> <p>As an SWS tradition, the first person to be briefed on the survey results is the President of the Philippines.</p> |

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| | (If applicable) Has the initiative been scaled up? Repeated? | SWS passes on the technology for survey research to groups in the Philippines and in Asia. It also shares its innovations in conferences of the World Association for Public Opinion Research. |
| Further References | Web sources | www.sws.org.ph |
| | Documents and Reports | <i>SWS Snapshots</i> . June 2001 Vol. II No. 4 (Released: October 2001) Special issue on Corruption. Selected Findings from SWS National Surveys |
| | Resource Persons/Contacts | Gerardo Sandoval, Manager, SWS Data Archives and Library |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

CONCERNED CITIZENS OF ABRA FOR GOOD GOVERNMENT, PHILIPPINES

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii) BPET , or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Citizens' monitoring of infrastructure projects |
| | Primary Agency Running Intervention | Concerned Citizens of Abra for Good Government (CCAGG) |
| | Location | Abra province, Philippines. |
| | Sector or Level of Focus | Development projects, public expenditures in the Abra region. |
| | Type of Engagement | The engagement is continuous. |
| Context and Scope | What is the driving force behind the SA initiative? | <p>The organization was founded in January 22, 1987. It continues to monitor public spending, and raise political awareness in the community. The CCAGG is currently involved in a participatory audit program of the UNDP for Abra.</p> <p>The movement was part of the wave of new NGOs sprouting all over the country after the 1986 People Power Revolution. A group of election watchdogs, ex-NAMFREL volunteers in the Abra region, decided to set-up the Concerned Citizens of Abra for Good Government after seeing the need to monitor public expenditures.</p> <p>CCAGG began when a news article listed 20 completed public infrastructure projects in the region. They decided to verify the information; in the process, they exposed discrepancies and anomalies in the government reports. Their report eventually led to the suspension of 11 government engineers.</p> <p>This effort of monitoring local public infrastructure continued through the years. Recently, it was one of two organizations chosen to take part in the first participatory audit project sponsored by UNDP. The pilot involved the monitoring of the Community Enhancement and Development Program (CEPD) of the National Economic and Development Authority (NEDA).</p> |
| | What are the main objectives and what key accountability problems does it seek to address? | <p>The main objectives of CCAGG are:</p> <ul style="list-style-type: none"> • To promote a more transparent and accountable government through the monitoring of public expenditures; and • To raise political consciousness and organize the community. |
| | Who is the target audience or demographic focus? | Citizens of Abra province, government, media, and other NGOs. |
| | What is the political culture or environment? | The systemic corruption in the Philippines is rooted in its history and manifested in its institutions. Forms of government may have changed, but corruption and the lack of transparency and accountability have remained. |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | <p>Infrastructure monitoring. CCAGG organizes and trains communities in monitoring their infrastructure construction projects.</p> <p>Participatory audit with the Commission on Audit and the UNDP.</p> |

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| | <p>Briefly describe the methodology(/ies) or tools used.</p> | <p>Infrastructure Monitoring</p> <p>The following is the sequence of events covering the first CCAGG expenditure monitoring exercise. The sequence has been repeated for subsequent projects. The group first got copies of documents pertaining to the pump-priming infrastructure plan of President Corazon Aquino, the Community Enhancement and Development Program (CEDP).</p> <p>They organized monitoring teams with the help of NEDA and the Department of Budget and Management (DBM). NEDA gave training sessions on monitoring, as well as lists and profiles of the projects in Abra. DBM provided total project costs and the schedule of fund releases for the projects.</p> <p>CCAGG organized the project beneficiaries and transferred the monitoring technology to them. As such, the movement was able to expose anomalies such as ghost projects and incomplete works.</p> <p>Participatory Audit</p> <p>This refers to the UNDP project, “Enhancing the Public Accountability Program of the Philippine Commission on Audit: Participatory Audit with Civil Society Organizations”.</p> <p>UNDP and COA held the first ever participatory audit of a local government in the Philippines, using CCAGG as the NGO partner. Unlike the regular audits that stressed mere compliance with rules and regulations, this project added the concept of “value for money” audits. That is, the residents themselves assessed the actual benefits derived from the public expenditures.</p> <p>The results of the participatory audit were intended to be used by NEDA and other oversight agencies for their planning.</p> |
| | <p>What advocacy and media activities support the initiative?</p> | <p>The media are crucial in disseminating the results of CCAGG investigations and in helping to influence public opinion. CCAGG is becoming more known in the Philippines, so its reports attract national media attention.</p> <p>But the group engages the local media primarily. CCAGG realized that it was more important to empower people to demand for good governance rather than making CCAGG do the work for them.</p> <p><i>Allangungan</i> (“Echoes”) is CCAGG’s weekly primetime Sunday radio program with consequent replays each Wednesday. The coverage area is wide, reaching four provinces.</p> <p>Once CCAGG receives the list of projects implemented in Abra, they go on the air to disseminate details of the projects such as costs, the agency implementing the project, the manner of implementation, etc.</p> |
| | <p>How inclusive was the intervention?</p> | <p>The monitoring teams were composed of the beneficiaries of the projects being investigated.</p> |

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| | Other Important Information or Comments | <p>CCAGG has been honored many times. One award came from Transparency International.</p> <p>CCAGG has also faced some problems. For infrastructure monitoring:</p> <ul style="list-style-type: none"> • Risk – The controversial activities of CCAGG spawned negative reactions from government agencies and some members of the private sector. Some members have been threatened. Nevertheless the group pushes on despite the intimidation. <p>For the participatory audit:</p> <ul style="list-style-type: none"> • Capacity constraints – capacity still needed to be improved for both government and the civil society group. • Failure to anticipate resistance – the new COA leadership, appointed after the project started, was resistant to involving civil society in a function that required accounting expertise. However, the success of the project challenged the established mindsets. |
| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>The government audit teams investigated CCAGG’s very first complaints and filed administrative cases against 11 public works engineers. Politicians tried to step in and intervene on their behalf. But other community service organizations supported the cause while the cases were being prosecuted. Eventually, the accused were found guilty.</p> <p>Another example concerns the Sinalang Detour Bridge. The bridge was completed in 1996 at the cost of 8.26 million pesos. It was hastily built and ended up never being used due to errors in engineering design. Overpricing of materials was also discovered. To add fuel to the controversy, a flash flood destroyed the bridge in 1997, unleashing a public outcry.</p> <p>The CCAGG pushed for government agencies to investigate the matter, and NEDA, Public Works, and the Commission on Audit sent in their respective teams. CCAGG was not satisfied with the response of Public Works. COA then recommended the prosecution of certain Public Works personnel.</p> <p>CCAGG’s monitoring activities have subdued the systemic corruption in the region. The members see a change in attitude among local officials, from strong resistance to cooperation. Its assessment reports are now used as one of the bases for the release of government funds. CCAGG’s work has become part of the system.</p> <p>The radio program has been one of its most effective tools. Government officials have become “quite cautious” of their actions, or they might end up “CCAGGed” (i.e. the new slang term for having one’s anomalies exposed).</p> <p>Results from the participatory audit were positive. In general, the project was successful in creating a more transparent, accountable and participative environment. Further, the agencies being audited showed more trust knowing that members of the auditing team were residents of the area.</p> <p>Accountability was highlighted because the area residents themselves monitored the results. Lastly, the exercise built up citizen empowerment, as residents could use their new knowledge as a weapon against corruption.</p> |

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| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | <p>CCAGG is part of several NGO networks, such as the Transparency and Accountability Network (TAN)</p> <p>As mentioned above, CCAGG became a partner NGO of UNDP and the Commission on Audit for the first participatory audit of a local government in the country.</p> <p>Its monitoring work has always been aided by other government agencies such as NEDA and DBM in terms of data and training.</p> |
| | (If applicable) Has the initiative been scaled up? Repeated? | <p>In 2003, the Northern Luzon Coalition for Good Governance, a network of mainly parish-based social action groups, was established. This alliance encompassed a much wider geographical area. CCAGG is at the helm of the coalition.</p> <p>Other civil society groups have followed the CCAGG model.</p> <p>CCAGG realizes the importance of being part of national transparency networks. It cannot devote much time in directly lobbying the central government since it is based in a province.</p> |
| Further References | Web sources | www.tag.org.ph/citizenaction/ccagg.htm |
| | Documents and Reports | UNDP. Case Study: “The Philippines: Enhancing Public Transparency and Accountability Through Civil Society Participation in Monitoring Government Services.” Bergen Seminar Series 2002/2003. |
| | Resource Persons/Contacts | <p>Ms. Pura Sumangil Tel No: (074) 752-8196/7664 Fax No: (074) 752-8196 Email: dwcbresearch@yahoo.com For the UNDP participatory audit project: Dr. Emmanuel F. Buendia, Portfolio Manager, UNDP Philippines</p> |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

PROCUREMENT WATCH, INC., PHILIPPINES

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii) BPET , or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Monitoring public procurement |
| | Primary Agency Running Intervention | Procurement Watch, Inc. (PWI), a non-profit, non-partisan, civil society organization. It was launched in April 27, 2001. PWI was established through the Asia-Europe Meeting Trust Fund Grant for improving governance and preventing corruption. |
| | Location | Metro Manila, Philippines. |
| | Sector or Level of Focus | Public finances, particularly the procurement process. |
| | Type of Engagement | The engagement is continuous. |
| Context and Scope | What is the driving force behind the SA initiative? | One of the areas most susceptible to corruption is the public procurement process. Therefore, monitoring the system of procurement would greatly lessen leakages in the system. A peculiarity of procurement is that it leaves a paper trail. Procurement activities can thus be documented and reviewed. |
| | What are the main objectives and what key accountability problems does it seek to address? | The group's main objective is the "reform of government procurement through partnerships, advocacy and research." |
| | Who is the target audience or demographic focus? | Government, policymakers, media, and fellow anti-corruption organizations. |
| | What is the political culture or environment? | Democratic, but weakened by corruption. |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | <ul style="list-style-type: none"> • Procurement monitoring. • Preparing primers, checklists and FAQs on procurement procedures. • Workshops on public procurement. • Partnership with government in procurement reforms. • Training and research. • Institutionalizing e-procurement. • Advocating procurement reforms in law. |
| | Briefly describe the methodology (/ies) or tools used. | <p>PWI first establishes a credible standard, summarized as checklists, for the bidding of goods, supplies, services, and infrastructure projects. PWI maintains active monitoring partnerships with the following agencies. They have signed Memoranda of Agreement with the Departments of: (a) Budget and Management, (b) Health, (c) Labor, (d) and Public Works.</p> <p>PWI then observes how these agencies conduct their biddings. The deployed monitors are guided by the checklists. They prepare diagnostic reports. PWI submits recommendations to the Bids and Awards Committee members and the agency heads.</p> <p>The group sends a press release to the media if the bidding is sound. But if blatant acts of corruption are evident, they are brought up to the agency head. If no corrective action is taken, the information is fed to anti-corruption groups to engage the corrupt parties.</p> |

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| | What advocacy and media activities support the initiative? | When an agency refuses to correct a fraudulent deal, Procurement Watch feeds the detailed information to a media watchdog NGO, the Philippine Center for Investigative Journalism. The reports are picked up by the media, because actual agencies are named. Findings are also submitted to the Presidential Anti-Graft Commission, and the Transparency and Accountability Network. |
| | How inclusive was the intervention? | Because of the technical nature of the procurement process, training cannot be extended to the general mass base. |
| | Other Important Information or Comments | Before drafting the new procurement law, PWI had helped draft its predecessor, Executive Order No. 40, "Consolidating Procurement Procedures for all National Government Agencies, Government Owned or Controlled Corps and Government Financial Institutions, and Requiring the Use of Government Electronic Procurement System" |
| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>Corruption has been exposed in various deals, but the foremost achievement is the successful passage of the new procurement law. Procurement Watch helped draft and shepherd Republic Act 9814. The new law, signed in January 2003, is expected to save the government as much as P2.4 billion.</p> <p>It covered the procurement process for the national government, local governments and even state-owned and controlled corporations. It swept through infrastructure, the hiring of consultants, and the purchase of government supplies. Part of the law is the installation of e-procurement. The Department of Budget and Management has observed that prices in the e-marketplace are lower by at least 40%, as marketing and distribution costs are avoided.</p> <p>Due to reforms in its procurement process in 2001, the Department of Education reported that their textbook prices were down by as much as 65%. Savings amounting to P400 million in textbooks alone could allow for the purchase of an additional 11-16 million textbooks. Their processing time was likewise shortened from 9-12 months to only 4 months.</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | PWI works directly with government agencies and policymakers. It has been very effective in institutionalizing better procurement processes and laws. |
| | (If applicable) Has the initiative been scaled up? Repeated? | PWI replicates its work in local governments across the Philippines. It trains municipalities in the provinces on the procurement process. It provides technical assistance for municipalities that cannot afford consultants. |
| Further References | Web sources | www.procurementwatch.org.ph |
| | Documents and Reports | N/A |
| | Resource Persons/Contacts | Kristina Pimentel, Director for Advocacy |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

TEXTBOOK COUNT PROGRAM IN THE PHILIPPINES

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii) BPET , or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Textbook Count Program |
| | Primary Agency Running Intervention | National Citizens Movement for Free Elections (NAMFREL). The network gets involved in various initiatives during non-election years. |
| | Location | Selected provinces, Philippines. |
| | Sector or Level of Focus | Public schools. |
| | Type of Engagement | The engagement is in its second phase. It is not yet known if it will become a continuous intervention. |
| Context and Scope | What is the driving force behind the SA initiative? | Corruption in textbook procurement has resulted in the shortage of textbooks in many public schools. The ratio has even reached 1 textbook for every 5 students. To remedy this is the delivery of 37 million textbooks under the education department's Second Social Expenditure Management Project (SEMP2) and Third Elementary Education Procurement Project. Both programs are supported by the World Bank. The aim is to reach a 1:1 student-book ratio. |
| | What are the main objectives and what key accountability problems does it seek to address? | Textbook Count 2 is a project that aims to ensure the delivery of 15.7 million textbooks to 7,499 locations (2,138 districts and 5,361 high schools) nationwide. Civil society is assisting the Department of Education (DepEd) in monitoring the timely delivery of the correct number of textbooks to the district and high school levels. |
| | Who is the target audience or demographic focus? | The beneficiaries are the school children. |
| | What is the political culture or environment? | Rampant corruption. Opinion surveys during the previous administration said that DepEd was among the departments most infested with corruption. |
| | What specific SA tools and methodologies are being used? | Textbook monitoring by civil society organizations (CSOs). |
| Tools and Methodologies Used | Briefly describe the methodology(/ies) or tools used. | A consortium of CSOs coordinated with DepEd to monitor the delivery of textbooks. The partnership spanned across all levels, from national headquarters down to the divisions, districts and schools. The project involved CSOs with nationwide networks to ensure ample coverage. The election watchdog NAMFREL, which had chapters nationwide, took the lead in the mobilization of volunteers. CSO participation was divided into three phases: pre-delivery, delivery, and post delivery. PRE-DELIVERY ACTIVITIES included observing the bidding process and the negotiations between winning suppliers and the DepEd. Civil society monitored the terms and schedules for delivery, and inspected the printing, binding and packaging of the textbooks in the warehouses. |

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| | | <p>The DELIVERY PHASE involved monitoring the deliveries on-site and documenting the delivery process. This looked into concerns like the meeting of deadlines, the condition of the delivered goods, and the accuracy of the book counts.</p> <p>The POST-DELIVERY PHASE involved a post-evaluation workshop. This looked into concerns like storage, damage, sufficiency of supply, and the relevance of book content.</p> |
| | <p>What advocacy and media activities support the initiative?</p> | <p>A press conference was held to formally launch the “Textbook Count” project.</p> <p>NAMFREL and the other NGOs bought print ads in the main newspapers. They also prepared radio commercials.</p> <p>The consortium printed posters containing information on the delivery schedules for each region/division.</p> |
| | <p>How inclusive was the intervention?</p> | <p>62 chapters of NAMFREL represented 52 provinces and 21 cities and municipalities.</p> <p>In turn the NGO consortium involved close to 20 organizations, and many of them had members scattered in various parts of the country.</p> |
| | <p>Other Important Information or Comments</p> | <p>The program documented challenges and issues from pre-delivery, delivery, and post-delivery, including the quality of the textbooks. Recommendations were given.</p> <p>Among the problems identified at the pre-delivery phase were strained relationships between the CSO monitors and DepEd officials. The latter tended to be defensive when asked about defects in the books. Some 100,000 textbooks were found to have very weak binding and had to be repaired by the publisher.</p> <p>There were also difficulties in preparing for the monitoring of actual deliveries. Delays in printing were encountered due to the lack of paper. In some cases, the allocation of textbooks did not match the needs of the recipient schools.</p> <p>Several problems were noted in the delivery phase as well. For example, inspections were not thorough and meticulous. In some cases, the delivery and acceptance receipts were signed without counting the books or checking their quality. Some suppliers or forwarders took the lead in the counting and quality inspection.</p> <p>Another difficulty was that certain suppliers and forwarders failed to meet their deadlines or to observe their delivery schedules. They also seemed to lack a sense of responsibility: they did not handle the books with care and thus damaged them. A number of forwarders refused to deliver the books to the schools due to their inaccessibility.</p> <p>In the post delivery phase, there was a lack of adequate and secure storage area at the district level. This resulted in damage to the books. District offices of the DepEd did not follow a policy of uniform textbook distribution for their schools, despite a pro-rata rule (i.e., the bigger the school’s enrollees, the bigger the share of textbooks).</p> <p>Further, the monitors noted gaps in the quality and quantity of books. Certain schools likewise felt that the book titles and content did not fit their needs.</p> <p>Other schools could not cope with the policy encouraging multiple titles to promote competition in textbook production. The policy assumed that teachers had the necessary skills to handle multiple titles. Many teachers, already burdened with huge classes, found that multiple titles made teaching more complicated and learning more difficult. They opted to stick to one title, leaving the other books unused.</p> |

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| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>Improvements resulted, and they were impressive. Overpricing became limited to the Local School Boards controlled by the local governments, not the DepEd.</p> <p>For the first time, by November 2003, the entire procurement of 37 million textbooks was carried out in 12 months, as compared to the former 24-month timeline.</p> <p>The average price per book fell, from the P 90 to P 41.</p> <p>Even public opinion has changed. A survey formerly named DepEd as one of the five most corrupt government agencies. A later reading by the same survey outfit, Social Weather Stations, found that DepEd was “one of the five agencies doing the most to address corruption.”</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | It has been institutionalized as a joint effort of the Department of Education and many civil society groups. |
| | (If applicable) Has the initiative been scaled up? Repeated? | The monitoring effort is already on its second round. |
| | Web sources | http://www.tan.org.ph |
| Further References | Documents and Reports | <p>Textbook Count: National Monitoring of the Department of Education’s Textbook Delivery Program 2003, Consolidated Report.</p> <p>Textbook Count 2: CSO Undertaking, Presentation by Dondon Parafina, Government Watch, Ateneo School of Government.</p> |
| | Resource Persons/Contacts | Dondon Parafina |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA
KALAHI-CIDSS DELIVERY OF SOCIAL SERVICES - PHILIPPINES**

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| Basic Information | Name of Project | KALAHI-CIDSS Kapit Bisig Laban sa Kahirapan – Comprehensive and Integrated Delivery of Social Services. |
| | Country | Philippines. |
| | Task Team Leader | Bhuvan Bhatnagar. |
| | Type of Instrument | CDD. |
| | Project/Program Period | 6.5 years |
| Project/ Program Objectives | Describe briefly the main project/program objectives. | To strengthen local participation in <i>barangay</i> (village) governance, and develop local capacity to design, implement and manage development activities that reduce poverty. |
| Description of Social Accountability Components and Tools Used | Describe the social accountability (SA) activities or components of the project/program. | <ul style="list-style-type: none"> • Provision of full information to project players through different means.. • Strengthening and reviving venues for participation and engagement between communities and local governments. • Grievance Redress system to address complaints and impose sanctions for violation of project principles. |
| | Which project objective or component do cater to? | Empowerment and Local Governance |
| | Describe which social accountability tools are used. | <ul style="list-style-type: none"> • Participatory prioritization and budgeting for community projects. • Simplified report card through community billboards and reporting in public forums. • Strengthening of and utilizing existing venues for participation and engagement. • Independent Civil Society Monitoring. • Grievance Redress System. |
| | Describe any special features (like media campaigns) of the SA tools and list any known limitations? | Use of local and creative means of information dissemination. Use of a hybrid or legal and cultural methods in resolving disputes and settling grievances. |
| Results and Challenges | Describe how the SA activities or components contribute to the outcomes of the project /program. What impact have they had? | Better informed citizens are empowered and are able to engage their governments to access services. Stronger local government officials provided with training by the project are abet to address the needs of their constituencies adequately. |
| | Describe some of the main challenges faced in designing and implementing the SA mechanisms. | Delays in the roll-out of grievance procedures because of changes in project management staff. |
| | Web sources | www.itd.dswd.kalahi |
| Further References | Documents and Reports | i) Aide Memoire, June 2003 Supervision Mission ii) Aide Memoire, January 2004 Supervision Mission iii) Project Appraisal Document |
| | Resource Persons/Contacts | Mr. Bhuvan Bhatnagar Sector Coordinator Environment and Social Development Unit The World Bank Office, Manila, Philippines |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

WEBSITE OF THE DEPARTMENT OF BUDGET AND MANAGEMENT, IN THE PHILIPPINES

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii) BPET , or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Website of the Department of Budget and Management. |
| | Primary Agency Running Intervention | Department of Budget and Management, Republic of the Philippines. |
| | Location | Manila, Philippines. |
| | Sector or Level of Focus | The public sector. |
| | Type of Engagement | The engagement is continuous. It began in 2000. |
| Context and Scope | What is the driving force behind the SA initiative? | N/A |
| | What are the main objectives and what key accountability problems does it seek to address? | "There are no side deals, no hidden seals. All the suppliers can log on to the system and make their products (known) to all government agencies," says Budget Secretary Emilia Boncodin. |
| | Who is the target audience or demographic focus? | Firms that want to sell their products and services to the Philippine government. |
| | What is the political culture or environment? | N/A |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | N/A |
| | Briefly describe the methodology(/ies) or tools used. | <p>The site shows the Internal Revenue Allotment (IRA) funding releases, disaggregated by Region, Province, and Municipality. Maps accompany the tables.</p> <p>There is an IRA time-series as well, showing the amounts released over the months.</p> <p>The pork barrel of each legislator is revealed (DMA being, it seems, an exception). This is expressed as "Priority Development Assistance Fund," which includes funds for the Department of Public Works and Highways. (For Senators, the two funds are separate.)</p> <p>The site shows the details of the national budget, as spelled out in the General Appropriations Act for the year. This covers all branches of government, and is subdivided into personal services (salaries), maintenance and operations, and capital spending.</p> <p>The site runs throughout the budget calendar, specifying the deadlines for each step of crafting the budget.</p> <p>Executive Order 322 mandates all national government agencies to participate in e-procurement.</p> |

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| | | <p>Through the Procurement Service, the DBM oversees the purchase of goods and services for more than 1,800 government agencies. The Procurement Service contains the standard platform for e-procurement. The Government Electronic Procurement Service (G-EPS) consists of:</p> <ol style="list-style-type: none"> 1. A Public Tender Board which offers access to information on bid packages; 2. An Electronic Catalog to support the purchase of goods and services by government agencies; and 3. A Supplier Registry for the registration of firms that want to do business with government agencies. <p>Further, the site includes the forms, laws and executive orders governing e-procurement, the requirements for accreditation, the Supplier Agreement, and a section on frequently asked questions. There is a section on press releases, a directory of government agencies, past and planned agency procurement, bid matching for suppliers, and a list of potential competition.</p> <p>What is most interesting about the site is the list of BLACKLISTED CONTRACTORS. The roster even runs up to 7 pages. It shows which companies have had their licenses suspended, revoked, or denied. Some firms are conditionally blacklisted. A banner flies through the site inviting visitors to click on the blacklist.</p> |
| | <p>What advocacy and media activities support the initiative?</p> | <p>Minimal media advocacy.</p> |
| | <p>How inclusive was the intervention?</p> | <p>Being on the Internet, it is open to the general public.</p> |
| | <p>Other Important Information or Comments</p> | <p>DBM has signed a select licensing agreement with Microsoft for its E-procurement platform. This makes the Philippines the fourth country, after Australia, Singapore, and Malaysia, to enter such an agreement.</p> |
| <p>Results and Impact</p> | <p>What (if any) has been the impact of the initiative? What have been the incentives?</p> | <p>Just five months after the launch of the G-EPS in November 2000, the site registered 62 suppliers and 86 agencies, and posted 71 bid notices.</p> <p>The main benefit was transparency. The site opens to all bidders information on prices and products. They get to know who are the winning bidders, the contact amounts, and the reason for the award. Because of the electronic catalogue, auditors can verify that supplies were purchased were not over-priced.</p> <p>Another gain is efficiency. Companies do not have to visit the agencies to inquire on business opportunities. They can retrieve that information on a 24/7 basis. They can immediately download forms and learn who are their competitors in the bid.</p> <p>The Budget Secretary said in 2002 that the DBM is saving 26% in total procurement costs because of the e-procurement system.</p> |

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| | <p>Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe.</p> | <p>E-procurement has been slow to catch on in the Philippines. One factor is the lack of resources among the different agencies for full computerization. Only a fourth of the agencies that got training on GEPS were ready for it. Another obstacle is low Internet penetration: a 1999 survey revealed that only 8 percent of Filipinos were into the Internet, largely due to the lack of telecom infrastructure.</p> <p>There was resistance from the affected agencies as well during the pilot stage. Some Procurement Service employees feared job cuts as a result of computerization. The agencies were also reluctant to give up control of their procurement authority. They were assured that GEPS was meant primarily to disseminate information; they would still handle the evaluation of bids.</p> <p>Further, the system was pilot-tested during the time when President Joseph Estrada was facing impeachment charges. The prospect of his removal threatened the tenure of his Budget Secretary and the head of procurement.</p> |
| | <p>(If applicable) Has the initiative been scaled up? Repeated?</p> | <p>What is being scaled up is the Executive Order requiring that government agencies turn to e-procurement. DBM is pushing for a law to this effect. The current bill contains provisions that punish agencies that refuse to comply.</p> |
| Further References | <p>Web sources</p> | <p>N/A</p> |
| | <p>Documents and Reports</p> | <p>N/A</p> |
| | <p>Resource Persons/Contacts</p> | <p>N/A</p> |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

A WEBSITE FOR MONITORING PORK BARREL IN THE PHILIPPINES

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii) BPET , or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | <u>Congress Watch Website.</u> |
| | Primary Agency Running Intervention | Transparent and Accountable Governance (TAG), a coalition of civil society organizations. |
| | Location | Metro Manila, Philippines. |
| | Sector or Level of Focus | Members of the Senate and the House of Representatives of the Philippines. |
| | Type of Engagement | The engagement is continuous. |
| Context and Scope | What is the driving force behind the SA initiative? | <p>Pork barrel promotes the culture of patronage politics. Congress persons spend the sums on infrastructure for their districts. Then they display signs over the new roads and bridges, taking personal credit for them.</p> <p>Congress members often reward the areas that supported them with infrastructure projects, and neglect the rest. This sort of spending frustrates the objectives laid out in provincial development plans. It also results in half-baked projects: a road is left unfinished after the incumbent mayor loses.</p> <p>Worse, pork opens many opportunities for corruption. The legislator colludes with the local public works officials of his/her province. The bidding is rigged to favor certain contractors. The Congress member and the public works official in turn get a cut of the deal. The contractor may opt to pay the legislator via a campaign donation.</p> <p>Constituents suffer via overpriced and defective roads.</p> |
| | What are the main objectives and what key accountability problems does it seek to address? | To monitor how each legislator spends the public's money. Of particular importance is the allocation of the immense sums that flow into infrastructure projects. |
| | Who is the target audience or demographic focus? | Media, the academic community, and civil society watchdog groups. |
| | What is the political culture or environment? | "Pork barrel allocation is the lifeblood of most politicians," says TAG. "It is extremely important to legislators especially nearing an election. Patronage politics, in short, remains to be the key in winning an electoral campaign." |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | <p>The website makes public each legislator's</p> <ul style="list-style-type: none"> • Pork barrel spending • General expenditures • Statement of assets and liabilities |

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| | Briefly describe the methodology(/ies) or tools used. | <p>The site puts up the data on pork barrel spending for each legislator. The annual limit for pork barrel is 100 million pesos per Senator. The amount is channeled to the public works department. The annual limit for each Representative is 35 million pesos.</p> <p>The website also posts the Commission on Audit's report on each legislator's expenditures for the year. It ranks who spent the most on foreign travel, office rental, and staff salaries. Changes in net worth can be traced by comparing the amounts to those of the previous year, also indicated on the site.</p> <p>Under the law, legislators are required to file their statement of assets and liabilities on or before April 30 of each year. The website posts this information.</p> <p>The site reprints in-depth articles on pork barrel which explain cases of blatant anomalies.</p> |
| | What advocacy and media activities support the initiative? | The data are analyzed by groups like the Philippine Center for Investigative Journalism (PCIJ) and published in the dailies. The issue is then picked up by the broadcast media. |
| | How inclusive was the intervention? | This advocacy is not inclusive, because of its technical nature. |
| | Other Important Information or Comments | The official name for pork barrel is the Priority Development Assistance Fund (PDAF). |
| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>Probing the data helps uncover startling details. In the Philippines, senators are elected at large by the whole nation, rather than by provinces. So one would expect their pork barrel spending to be dispersed geographically. One senator channeled his whole sum into his home province. In fact most of that money went to the province's capital city – where his wife rules as mayor.</p> <p>Because of media coverage, the public is starting to associate pork barrel with corruption. There have been repeated public calls to abolish the pork barrel system. But this is difficult, given that it will take the consent of its main beneficiary, Congress.</p> <p>Some senators have refused to accept their pork barrel allocations. One even ran for President highlighting this fact.</p> <p>Other legislators have suggested compromise measures on pork barrel. Representatives from Mati province say that the legislators should not have access to the fund. But they will retain the power to choose the projects that will benefit from the pork barrel.</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | Civil society has not yet forged an alliance to fight pork barrel or to modify its rules. Public outrage has not yet reached critical mass. |

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| | (If applicable) Has the initiative been scaled up? Repeated? | <p>Scaling up comes in the form of local monitoring. The data alone will not reveal how the sums are funneled into crooked infrastructure contracts at the local level. It is necessary for local residents to guard the bidding and construction process.</p> <p>“At this point, we put emphasis on the need to have active participation of citizens in monitoring these projects,” says TAG. “There is no substitute to vigilance. “</p> |
| Further References | Web sources | www.tag.org.ph/congressWatch/ |
| | Documents and Reports | <i>Pork and Other Perks</i> , by the Philippine Center for Investigative Journalism. |
| | Resource Persons/Contacts | N/A |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

GENDER BUDGET ANALYSIS OF A CITY GOVERNMENT IN THE PHILIPPINES

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| Methodology Type | Specify whether (i)PB, (ii) IBA , (iii)BPET, or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | <u>Analysis of the provincial budget for gender and development (GAD) concerns.</u> |
| | Primary Agency Running Intervention | Development Through Active Women Networking Foundation (DAWN) |
| | Location | Bacolod City, Negros Occidental province, Philippines. |
| | Sector or Level of Focus | Local government, the women's sector. |
| | Type of Engagement | The engagement is continuous. |
| Context and Scope | What is the driving force behind the SA initiative? | <p>The government of the Philippines is officially committed to funding programs meaningful for gender and development. Since 1995, the General Appropriations Act has mandated that all national government agencies set aside 5 per cent of their budgets for GAD. In 1998 local governments units (LGUs) were likewise required to allocate 5 per cent of their total budgets for GAD.</p> <p>The intention was not to limit spending for GAD to 5 per cent. Rather, the 5 per cent would fund programs to enhance their capability for gender-sensitive planning and budgeting. The ultimate objective was to mainstream GAD in the remaining 95 per cent of the budget.</p> <p>The law was clear, but its implementation was distorted. Over the years, some LGUs used it for trivial benefits for women like ballroom dancing lessons. Others utilized the 5 percent to fund their entire social service departments. A number turned the 5 percent fund into a purse from which to draw various unbudgeted grants.</p> <p>Then there were agencies and local governments that respected the intent of the law. But they found the requirement to be an additional burden on them, as they already had to make do with scarce resources. Meanwhile, women NGOs waited in frustration for policy and budget reforms that would make GAD funding meaningful.</p> |
| | What are the main objectives and what key accountability problems does it seek to address? | <p>DAWN's objectives for doing the research were:</p> <ol style="list-style-type: none"> 1. To inquire into the utilization of the 5% GAD budget for two fiscal years, and to look into the impact of the 5% on mainstreaming the 95% budget; 2. To recommend to the Bacolod City government indicators, policies and mechanisms for increasing the gender responsiveness of its budget and for formulating a GAD plan. 3. To pinpoint gaps in local planning and budgeting, and to identify areas where sectoral and civil society interventions would be beneficial. |
| | Who is the target audience or demographic focus? | The Bacolod city government |

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| | What is the political culture or environment? | Bacolod is a highly urbanized city, the seat of government, and the hub of commerce, education and cultural activities in Negros Occidental province. There are more men than women among the staff and employees of the City Council. Civil society is active in Bacolod: there are 63 accredited NGOs. |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | Gender budget analysis. |
| | Briefly describe the methodology(/ies) or tools used. | <p>The Asia Foundation led DAWN through workshops on gender budget analysis. It even brought in the field's pioneer, Debbie Budlender, as the speaker. The group was thus equipped with a step-by-step guide for its information search.</p> <p>The outline sought information on:</p> <ul style="list-style-type: none"> • The city and the local government, including population, economy, critical gender issues; • The planning and budgeting process of the local government, both official policy and actual practice; • Budget implementation and monitoring, covering revenue and expenditure, as well as the GAD budget; • GAD programs in three chosen departments. Look into functions, objectives, activities, total budget and the GAD budget; • Lessons for society and the government. <p>The members were then deployed on field. They kept meeting again to share their findings and to critique their research methods. This learning by doing process helped keep DAWN focused on the research objectives, despite its broadness and complexity.</p> <p>The members met with key informants from the ranks of government executives. Interviews and FGDs revealed how the actual planning and budgeting process compared with that specified in official manuals.</p> <p>Finally, DAWN studied the piles of print-outs for the proposed and approved budgets for the years covered in the research.</p> |
| | What advocacy and media activities support the initiative? | This involved networking with local officials. The NGO sought the endorsement of the Mayor, so as to turn him into a strategic partner. |
| | How inclusive was the intervention? | DAWN had many focus group discussions with local officials, village heads, and NGOs. |
| Other Important Information or Comments | N/A | |

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| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>The FGDs conducted for the local councils served as an entry point for serious discussion on GAD.</p> <p>The government of Negros Occidental has since sought the help of DAWN for designing its GAD plan and budget.</p> <p>Assisted by DAWN, Bacolod city has designed its first GAD plan (for budget year 2003). This was part of the City Land Use and Development Plan.</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | Bacolod city now has a GAD focal point. This is a council consisting of department heads and GAD champions from the departments and from civil society. The focal point handles GAD planning. |
| | (If applicable) Has the initiative been scaled up? Repeated? | DAWN has proceeded to mainstream GAD. It has expanded GAD research into 11 cities of Negros Occidental province. Funding for this scaling-up also comes from The Asia Foundation. |
| Further References | Web sources | www.undp.org/gender/ CD-Gender-and-Budgets-2004/ |
| | Documents and Reports | “Gender Budgets Make More Cents.” Debbie Budlender and Guy Hewitt. The Commonwealth Secretariat. August, 2002. |
| | Resource Persons/Contacts | Maria Isabel Buenaobra, The Asia Foundation, Manila |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

REPORT CARD ON PUBLIC SERVICES IN THE SOLOMON ISLANDS

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii)BPET, or (iv) PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Solomon Islands Report Card |
| | Primary Agency Running Intervention | Solomon Islands Development Trust (SIDT). |
| | Location | Solomon Islands. |
| | Sector or Level of Focus | Health, Education, Access to Credit. |
| | Type of Engagement | The engagement is continuous. It began in 1989. |
| Context and Scope | What is the driving force behind the SA initiative? | The need to address the social, environmental, and economic challenges facing the Solomon Islands, by improving the quality of life in the villages. |
| | What are the main objectives and what key accountability problems does it seek to address? | People's assessment of the quality of government services in four critical areas: health, education, resource help, and availability of money. |
| | Who is the target audience or demographic focus? | The survey respondents were citizens of the Solomon Islands. |
| | What is the political culture or environment? | <p>The Solomon Islands have recently emerged from social strife and conflict. Australia deployed an intervention force called the Regional Assistance Mission to the Solomon Islands (RAMSI) in mid 2003 to restore order. This was the third military intervention since Solomon's independence in 1978. RAMSI has taken over critical services including power, water supply, and hospital services. A month after the Mission's arrival, it took charge of the government's budget.</p> <p>In its first of month of stay, RAMSI chalked military success— Rebel Harold Keke and his gang were behind bars, more than 3,000 guns were collected and destroyed, and local armed men were on the run. Keke, a militant warlord had been waging insurgency/terror for four years. RAMSI initially enjoyed strong popular support with an approval rating of 94%. But public support quickly dropped to 67% in the next six months.</p> |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | Report card survey. |
| | Briefly describe the methodology(/ies) or tools used. | <p>Survey: Random sample survey conducted over 3 weeks, to get people's views on the government's track record of serving the people.</p> <p>Five such report cards had already conducted, for the following periods: 1989-1993, 1993-1994, 1994-1995, 1995-1996, 1997-1998, 2001-2003.</p> <p>The report card covered four areas: health services, education opportunities, resource assistance, and the availability of money. Resource assistance referred to government assistance in the utilization of land, forest and sea resources, connecting people to markets, and assisting them to get the highest returns from their efforts. Availability of money referred to household income levels.</p> |

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| Results and Impact | | <p>The latest survey assessed the performance of the Kemakeza government for the period 2001-2003. It showed public satisfaction at its lowest since SIDT started conducting the surveys in 1993. Low public satisfaction with public services under the Kemakeza government, contrasted sharply with that under the previous Ulufaalu government (1997-1998) when public approval was highest.</p> <p>Steep declines were seen in health services, education opportunities and resource assistance. Public satisfaction in these areas dropped by some 20 percentage points. The low ratings can be traced to social unrest in the last five years. The Kemakeza Coalition took over a bankrupt government in 2001.</p> |
| | What advocacy and media activities support the initiative? | N/A |
| | How inclusive was the intervention? | Adult citizens had an equal chance of being included in the random sample of 2,000. |
| | Other Important Information or Comments | <p>SIDT's core mission is to improve life in the villages of the Solomon Islands. It has a network of Village Demonstration Workers who reside in and work with communities. They assist in village businesses, resource management, improving kitchens, home gardens and mosquito nets.</p> <p>Major projects include rural water supply and sanitation; disaster awareness and preparation; population awareness, resource management, raising the quality of village life; anti-malaria work via bed nets, and a restorative justice program.</p> |
| | What (if any) has been the impact of the initiative? What have been the incentives? | The latest report card showed the poorest results in 15 years, owing to a large extent to the social unrest of the last five years. The Government and RAMSI have been unable to overcome the crisis. |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | Six surveys were conducted over a span of 15 years. Each survey evaluates the performance of the party in power. This indicates a high degree of institutionalization, for the survey has survived six governments. |
| | (If applicable) Has the initiative been scaled up? Repeated? | Not applicable. |
| Further References | Web sources | Email: sidteid@solomon.com.sb http://www.fspi.org.fj/affiliates/solomon.htm |
| | Documents and Reports | N/A |
| | Resource Persons/Contacts | Abraham Baenesia, Executive Director |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

GENDER BUDGET ANALYSIS OF LOCAL GOVERNMENTS IN SOUTH KOREA

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| Methodology Type | Specify whether (i)PB, (ii) IBA , (iii)BPET, or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | <u>Gender budget analysis of local governments in South Korea.</u> |
| | Primary Agency Running Intervention | WomenLink, an NGO. |
| | Location | Select provinces in South Korea. |
| | Sector or Level of Focus | Local governments. |
| | Type of Engagement | The engagement is continuous. The initial analysis was done over nine months, from April until December of 2001. Analysis continues every year. |
| Context and Scope | What is the driving force behind the SA initiative? | <p>Several women's groups demanded stronger authority for the Ministry of Gender Equality and the women's bureau in the local governments. They wanted to expand the budget and human resources for women's concerns. The Ministry's budget accounted for only 0.003 percent of the general account.</p> <p>The women also called for establishing Women's Focal Points in all ministries. They criticized the scant budget and ineffective women-related policies as 'budget wasting.'</p> <p>However, gender budgeting was not well-known in South Korea. As a consequence, there were not enough specialists in this area.</p> |
| | What are the main objectives and what key accountability problems does it seek to address? | <p>The project was created to pinpoint specific criteria for a critique on the fairness and efficacy of women-related policies.</p> <p>WomenLink also saw the project as providing the basis for counterproposals for budgets and women-related policies.</p> |
| | Who is the target audience or demographic focus? | <p>Officials and staff of local governments.</p> <p>These include two large-unit local governments in Seoul City and Kangwon province, and five basic-unit local governments in Wonju City, Goyang City, Jinju City, Dobong Gu and Yangchon Gu in Seoul.</p> |
| | What is the political culture or environment? | The officials hardly understood and recognized gender issues. There was no evaluation system for the implementation of women-related policies. |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | <p>WomenLink carried out a gender budget analysis of seven local governments.</p> <p>Workshops were held to educate the participants.</p> |

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| | Briefly describe the methodology(/ies) or tools used. | <p>WomenLink gathered the following data to evaluate women-related policies using the gender budget concept:</p> <ul style="list-style-type: none"> • Data about population and social conditions of local governments. • Goals of women-related policies. • Administrative systems to enforce women-related policies. • Analysis of budgets and expenses. • Funding and regulations. • Analysis of women-related policies and budgets from a gender-sensitive perspective. <p>The data sources included local government accounts of tax revenues and expenditures, a white paper about women-related issues, documents on policy plans and their implementation, women-related statistics, and detailed interviews of beneficiaries of the policies.</p> <p>Members of WomenLink analyzed the budgets and policies. Workshops were held to provide education about the concept of gender mainstreaming, gender budgets and methods of analysis .</p> <p>Education courses of four to eight sessions were provided for local teams. Subjects covered the concept of gender mainstreaming, women-related policies and gender budgets, and the importance and methods of budget analysis.</p> |
| | What advocacy and media activities support the initiative? | <p>The results of the analysis were delivered to the Government and presented at a forum organized by its official women’s policy research outfit, the Korea Women’s Development Institute.</p> <p>Results were published and distributed to women’s organizations, civic groups, the Ministry of Gender Equality, heads of local governments, members of local assemblies, female members of the National Assembly, and others. They were also presented in a plenary session at a public forum, where a counterproposal was also put forward.</p> <p>Each branch of WomenLink published a special paper, ‘Local management by local citizens.’ They contained summary results of the gender budget analysis of their respective local governments. These papers were distributed to local citizens, officials, members of the local assembly, and the local media.</p> <p>Specialists and government officials were invited as panelists. Participants included members of women’s organizations, civil society groups, officials of central and local governments, researchers, and members of the press.</p> <p>WomenLink was involved in several meetings with civic groups and women’s organizations. They presented case studies at several meetings, including a local election candidate’s workshop, where women-related local policies were discussed. They held a discussion on the process of local government budget analysis with ten other local women’s organizations.</p> |
| | How inclusive was the intervention? | <p>The dialogues were inclusive, as they involved a wide cross section of society: government officials, political parties, NGOs, and women’s groups.</p> |
| | Other Important Information or Comments | <p>Officials were often not willing to cooperate with civil society groups undertaking budget analysis. They were reluctant to release data and were unresponsive to public requests for information. As a result, some information was collected through unofficial routes.</p> |

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| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>These were the conclusions or common findings from WomenLink’s analysis:</p> <ul style="list-style-type: none"> • Women concerns got a very low budget. • There was a lack of statistics disaggregated by gender. • Local governments lacked a gender perspective in budgets and policies. • Administrative systems of women departments were not standardized. • Planning was based on the concept of “marginal women”. • Women’s policy departments had weak authority. • Women were hardly represented in the bureaucracy. <p>The intervention improved women’s capacity for participating in policy formulation. It promoted the need for gender-sensitive budgets.</p> <p>Some councilors accepted the results of the data analysis and subsequently incorporated the suggestions in the budget for women-related policies of 2002.</p> <p>In the Ministry of Gender Equality’s White Paper on Women-related Issues of 2002, the concept of gender budgeting was introduced for the first time. The document set a budget amount for women-related policies. It also stated that developing the budget from a gender-sensitive perspective would be necessary in the future.</p> <p>WomenLink formed women’s groups called the ‘Women’s budget participation movement’ or the ‘Local assembly monitoring movement’ in their respective regions. These organizations shared information with other local citizens and women’s organizations.</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | <p>The project forged ties between government and NGOs. It was implemented by activists and researchers, and was supported by funds from the Ministry of Government and Home Affairs.</p> <p>WomenLink also worked with the Budget Inspection Civil Group Network.</p> |
| | (If applicable) Has the initiative been scaled up? Repeated? | <p>A group called ‘Women’s Group for Healthy Politics’ or the ‘Saengkang Women’s Group’ was established. It consisted of members that participated in the analysis. They engage in the following activities:</p> <ul style="list-style-type: none"> • Analyzing the local government’s women-related policies and budget, and presenting a counterproposal every year, • Monitoring local assembly meetings, and • Meeting with heads and members of local governments to discuss gender budget demands. |
| | Web Sources | www.womenlink.or.kr/english/ |
| Further References | Documents and Reports | N/A |
| | Resource Persons/Contacts | N/A |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

INTERNET TRACKING OF PUBLIC TRANSACTIONS IN SOUTH KOREA

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii)BPET, or (iv) PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Online Procedures Enhancement for Civil Applications (OPEN) |
| | Primary Agency Running Intervention | The Office of the Mayor and other various government agencies. |
| | Location | Seoul, South Korea. |
| | Sector or Level of Focus | Civil servants, citizens. |
| | Type of Engagement | The engagement is continuous. |
| Context and Scope | What is the driving force behind the SA initiative? | <p>Credit belongs to Seoul Mayor Goh Kun for his determined, multi-pronged attack on corruption. As soon as he took office in July 1998, he pursued four major lines of action:</p> <ul style="list-style-type: none"> • Preventive Measures: Deregulation, and abolishing the old system of assigning jurisdiction over a specific area to an individual official. • Punitive Measures: Corruption Zero Tolerance, Corruption Report Card to the Mayor, E-mail to the Mayor. • Ensuring Transparency in Administration: the OPEN website system, and an Anti-Corruption Index for each administrative unit. • Public-Private Partnership: Integrity Pacts, Joint Inspections with Citizens, Citizen Ombudsman. <p>On January 25, 1999, the Mayor proposed a system for preventing corruption and fulfilling the citizens' right to information. It would ensure transparency through the disclosure of administrative procedures. He announced that real time information on the status of transactions would be made available on the Internet. Designated city services were selected for the OPEN system, which began full operations in April 15, 1999.</p> |
| | What are the main objectives and what key accountability problems does it seek to address? | <p>There are three major objectives of the OPEN system:</p> <ol style="list-style-type: none"> 1. First, the motto, "Sunshine is the best disinfectant" indicates that transparency in administrative affairs eliminates impropriety. The OPEN system discloses the process of administrative procedures online not only to the applicant but also to the general public in real-time. 2. The second objective of the OPEN system is to increase the credibility of the administration. A unilateral relationship between government officials and the citizens will not do. The OPEN system contributes to the people's understanding on the processes. 3. Finally, administrative accessibility is another key objective. The OPEN system not only prevents unnecessary visits to government offices but also relieves civil servants from the extra burden of answering phone calls. |
| | Who is the target audience or demographic focus? | Individual citizens and civil organizations. |
| | What is the political culture or environment? | Democratic. Democracy restored in the mid-1980s. |

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| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | <p>The OPEN website: transparency through information technology. This web-based system allows citizens to monitor corruption-prone applications for permits or approvals, and to raise questions in the event of any irregularities.</p> <p>The OPEN system shares step-by-step information of the entire administrative process. It reveals the contents of the application, approval time of the application, administrative procedures, the names of the officials assigned to the applications, and their contact numbers.</p> |
| | Briefly describe the methodology(/ies) or tools used. | <p>The development phase of the program launched in January 1999 started with identifying services that had a history of corruption scandals, complicated, inconvenient procedures, and a predisposition to solicit for special favors.</p> <p>This analysis identified 26 problem services out of 115, and they were opened to the public in April 15, 1999. Fifteen more services were added on March 2, 2000, and another 13 in July 1, 2000. A total of 54 services are currently included in the OPEN system.</p> <p>A standard input model was developed to include the procedures, related regulations, processing time, approval steps, and the disclosed data. The system focused on providing easy access to applicants as well as officials responsible for the data input.</p> <p>The Main menu of the OPEN Program includes the following:</p> <ul style="list-style-type: none"> • Seoul Focus: this is linked with the Seoul Metropolitan Government homepage (http://www.metro.seoul.kr). • Search for information on any one of the 54 services on the OPEN system. • Cyber Applications Processing Office. This is linked with www.cyber.seoul.kr. The system accepts and processes applications through the Internet. • Data Search: The search system allows visitors to look up the data stored in the OPEN database using a cutting-edge search engine. • Related Regulations: information on rules concerning the 54 services are made available through a link with the homepage of the Ministry of Legislation. • Service Information: Detailed information on the 54 services along with the required documents for applications and administrative procedures. • Data Input Officers' Page: This page is for the input, correction, and deletion of data by the related offices. • People's Voice: This page processes surveys on the overall quality of management/service of the OPEN system. |
| | What advocacy and media activities support the initiative? | N/A |
| | How inclusive was the intervention? | It is universally inclusive because practically any educated citizen one in Seoul can access the Internet. Since the start of operations in 1999, there have been 2.31 million visitors to the site. At present OPEN gets 3,500 visitors per day. Document registration cases numbered 637,000 as of November 30, 2001. |
| | Other Important Information or Comments | N/A |

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| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>The impact of the OPEN system is supported by research presented in December 2001 by a team from Korea University.</p> <p>The survey findings showed 30% of civil servants said that phone calls or visits decreased. Of the applicants surveyed, 74% replied that the OPEN system has reduced processing time, 86% said that application has become easier, and 62% cited improved accuracy of applications. According to a Gallup Korea poll, 84% of Seoul citizens believe OPEN is effectively slashing graft.</p> <p>There is anecdotal support for the cut in visits and phone calls from applicants. Business Week's June 25, 2001 issue reports the story of architect Kim Hong Sik, who applies for dozens of building permits annually. According to Kim, the OPEN system shortened the processing time by about 30%. "One of my employees used to spend days finding out the status of our applications," Kim says. "Now all you need is to click on your PC."</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | <p>NGOs have supported this government initiative. Since 2000, Transparency International Korea has monitored OPEN through surveys to provide a third party view of the system. These survey reports were:</p> <ul style="list-style-type: none"> • "Efforts by the SMG in securing transparency and preventing improprieties in administrative procedures," • "The efficiency of the OPEN system – citizen's level of awareness and its advantages," and • "Satisfaction levels and points of improvement for the OPEN system". <p>In the Spring and Winter Conferences of the Korea Association for Public Administration (April 2000 and December 2001), papers on the accomplishments of the OPEN system were presented.</p> <p>The OPEN system is also gaining recognition from academe worldwide – the 62nd Annual Conference of the American Society for Public Administration (March 2001) selected the OPEN system as a success case.</p> |
| | (If applicable) Has the initiative been scaled up? Repeated? | <p>The original purpose of the OPEN system was to prevent corruption and ensure transparency in administrative procedures.</p> <p>It is being upgraded to improve work efficiency. A software program is under development to make OPEN compatible with the Civil Application Administration System and other approval systems.</p> |
| Further References | Web sources | http://open.metro.seoul.kr , http://www.metro.seoul.kr http://www.moleg.go.kr |
| | Documents and Reports | N/A |
| | Resource Persons/Contacts | N/A |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

E-PROCUREMENT IN SOUTH KOREA

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii) BPET , or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Government E-Procurement System (GePS) |
| | Primary Agency Running Intervention | Public Procurement Service (PPS), the central procurement agency of South Korea. |
| | Location | Seoul, South Korea. |
| | Sector or Level of Focus | Public sector. |
| | Type of Engagement | The engagement is continuous. |
| Context and Scope | What is the driving force behind the SA initiative? | <p>South Korea has set the pace in e-procurement. This is partly a natural outgrowth of its IT culture: the nation is known to be an Asian leader in Information Technology. Fully 70 percent of households are connected to broadband (high speed) Internet.</p> <p>President Kim Dae-Jung (serving from 1998 to 2002) also deserves a large share of the credit for e-procurement, because of his strong push for it. It was part of the 11 e-governance initiatives of the Kim Dae-Jung administration. In his 1998 inaugural speech, he promised to have the systems in place by the end of his term in 2002.</p> |
| | What are the main objectives and what key accountability problems does it seek to address? | To make public procurement more transparent, competitive and efficient by delivering the service through the Internet. |
| | Who is the target audience or demographic focus? | Private companies seeking business with the Korean government |
| | What is the political culture or environment? | Democratic. Democracy restored in the mid-1980s. |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | E-Procurement: conducting public procurement through a common Internet portal. |
| | Briefly describe the methodology(/ies) or tools used. | <p>Procurement is now conducted in full public view through the Korean government's e-procurement website, GePS.</p> <p>The law requires more than 25,000 public organizations to list on GePS their bidding information, like project specifications, volume, criteria for awarding the bids, and others. The site contains information on 390,000 products.</p> <p>By registering on the GePS only once, suppliers can join all public bids.</p> <p>The system provides integrated information on bids – only GePS is allowed to post bid information on procurement. It pre-qualifies suppliers and standardizes product information. The PPS manages GePS's bidding, contracting and payment facilities.</p> |

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| Results and Impact | What advocacy and media activities support the initiative? | The government pushed e-procurement as a part of the wider e-governance effort called Cyber Korea 21. |
| | How inclusive was the intervention? | It is open to anyone with access to the Internet. |
| | Other Important Information or Comments | In 2003 South Korea's e-procurement won the UN Public Service Awards on innovations in governance. |
| | What (if any) has been the impact of the initiative? What have been the incentives? | <p>It has made procurement much more efficient. Formerly procurement involved enormous amounts of paper, many trips to government agencies, and a large staff. Firms seeking state business had to scan through newspaper ads, and registered with the various government agencies.</p> <p>The latter in turn did not share information with each other; they kept their own lists of suppliers. Incidents of pre-arranged bidding were not rare. The process was complex, tedious, time-consuming, and vulnerable to corruption.</p> <p>Today, e-procurement has drastically cut down on paper work, visits to agencies, and staff time. Before e-procurement, payment for goods took all of 14 days. Today the payment is done in just 4 hours.</p> <p>The field has become much more competitive. Participation in bids has risen sharply – the number of bids has tripled. Today there are 87,000 suppliers registered on the site. Around 1.2 million people participate in e-bidding every month.</p> <p>Procurement is now transparent. It has eliminated face-to-face contact, an opportunity for graft. The public can compare the prices offered by different suppliers. GePS also provides real-time information on the procurement process. The notices for and results of bids are posted online.</p> <p>Private bidders can't collude with one another, because all the bids are disclosed online. For the same reason, government procurement officers can't delay the placing of orders. They can't connive on selecting the successful bids.</p> <p>With the data completely open to the public, the various agencies can check each other on the awarding of bids.</p> <p>Because of transparency, competition, and efficiency gains, the savings amount to an estimated \$ 2.5 billion in annual procurement costs. This compares with the \$ 26 million investment to set up the system.</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | The government performed well in its process reengineering. It adroitly paced and sequenced its reforms to computerize governance. Including e-procurement in the larger package of e-governance reforms was important in selling it to the Public Procurement Service staff. President Kim Dae-Jung himself held regular meetings with the Presidential EGovernment Committee to check on progress on the 11 projects. The committee made recommendations that addressed administrative, legal and cultural differences between the local and national governments on the issue of installing e-procurement. |

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| | (If applicable) Has the initiative been scaled up? Repeated? | E-procurement has been copied by many countries, like Bulgaria, Chile, Japan, Mexico, Philippines, etc. |
| Further References | Web sources | www.g2b.go.kr |
| | Documents and Reports | Speech of Administrator Kyung-Sup Kim of the Public Procurement Service of Korea, November 5, 2003. UN Public Service Awards on Innovations and Quality in Governments, Mexico City, Mexico. “Learning from the Award-Winning Korean Public Procurement Service,” by Geon-Cheol Shin (Kyunghee University) and Myung Sub Park (Korea University). |
| | Resource Persons/Contacts | N/A |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

REPORT CARD ON PUBLIC SERVICES IN COLOMBO, SRI LANKA

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii)BPET, or (iv) PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| Basic Information | Name of Intervention | Colombo Report Card on public services. |
| | Primary Agency Running Intervention | Colombo Centre for Policy Alternatives. |
| | Location | Colombo, Sri Lanka. |
| | Sector or Level of Focus | Law and constitutional reform, Media, Political and Social surveys, Devolution and Participation, Conflict Resolution... |
| | Type of Engagement | The social indicators arm of the Colombo Centre for Policy Alternatives continues to run surveys. The CCPA began in 1997. |
| Context and Scope | What is the driving force behind the SA initiative? | Perceived urgent need to strengthen institutions and capacity building for good governance and conflict resolution in Sri Lanka. The important role of non-partisan civil society groups in contributing to this process. |
| | What are the main objectives and what key accountability problems does it seek to address? | To contribute to public accountability through awareness building in society regarding all aspects of public policy and policy implementation. To address the problem of poor service delivery, lack of feedback from the end users, and the lack of motivation to improve among service providers. To repair mechanisms for the redress of grievances. |
| | Who is the target audience or demographic focus? | Policy making bodies of government and the general public. |
| | What is the political culture or environment? | Democratic, but with ethnic conflicts expressed in a separatist civil war. |
| | What specific SA tools and methodologies are being used? | Opinion Polls. Report Card on Four Essential Services. |
| Tools and Methodologies Used | | Opinion Polls: the Center's polling unit, Social Indicator (SI), provides a channel through which public opinion, especially that of marginalized groups, can inform public policy debate. The purpose is to communicate public perceptions rather than the views of politicians or their parties. Professionals with expertise in statistics, market research, social sciences and IT comprise the group. SI is affiliated with and adheres to the standards set by the World Association for Public Opinion Research (WAPOR). |
| | Briefly describe the methodology(ies) or tools used. | SI has published a Peace Confidence Index, a Report Card Survey on the Delivery of Public Services, a Survey on Knowledge, Attitudes and Practices on the peace process, and a survey on corruption commissioned by Transparency International. Election surveys are also conducted. Report Card: The study covered health care, education, transport and public utility services in the city of Colombo. The Report Card offered a feedback mechanism for its residents of Colombo on the quality of these services. The results were used to highlight problems and positive experiences, and to lobby for better quality and service delivery. |

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| | | <p>The Colombo Centre for Policy Alternatives first underwent training given by the Public Affairs Centre of Bangalore, India. Then the CCPA formed an Advisory Committee composed of leading government officials and NGO leaders to help initiate report cards in Sri Lanka.</p> <p>The sample was randomly chosen from the General Election voters list of 2001. Field enumerators were employed to conduct the interviews and were trained on how to administer the questionnaire. Two pre-tests were carried out.</p> <p>The survey used a structured questionnaire involving 611 respondents, for a margin of error of 4 percent. The actual fieldwork lasted from June 14 to 23, 2003. Interviews were done face-to-face.</p> |
| | What advocacy and media activities support the initiative? | <p>Use of print and electronic media.</p> <p>The survey results came out in the Sunday Observer (October 26, 2003), with the headline “CMC Under Microscope.”</p> <p>Various publications.</p> |
| | How inclusive was the intervention? | <p>Adult residents of Colombo were the survey respondents.</p> |
| | Other Important Information or Comments | <p><u>Survey Findings on Public Health care:</u> The majority of the residents sought treatment at a government health facility. Of those surveyed, 90% said they had to endure long queues and protracted waiting periods. Slightly over half (56.8%) had to wait from half an hour to two hours in order to obtain treatment or medicine. More than a tenth (12.6%) waited for more than three hours. Half said they could not obtain prescribed medicines from the hospital. A third said they got ill treatment from hospital personnel. But less than a tenth filed a verbal or written complaint, mainly because it would be pointless.</p> <p><u>Survey Findings on Private Health care:</u> Over the past 6 months from the time of the survey, 65% said they had visited a private medical institute for treatment. Half of those sought out private health care cited convenience as the main reason, followed by proximity to their residence. The problem of waiting a long time in a queue was also raised among 4 of 5 respondents. However, the waiting time was shorter than in public services. Ill-treatment by health personnel was also cited as a problem encountered. Further, the doctor was not present at the scheduled time. Again, 92% admitted they did not make a verbal or written complaint.</p> <p><u>Survey Results on Public Utilities:</u> The Public Utilities surveyed included garbage clearance, street lighting, road maintenance, drainage systems, and street fumigation. The greatest satisfaction (84.3%) was seen in the clearance of household garbage, while spraying mosquito repellent received the lowest satisfaction rating (18.5%). The next lowest satisfaction rating went to drainage systems. Only 35.8% of respondents felt that drainage was adequate, and only 20.8% said these channels were cleaned regularly.</p> <p>Furthermore, only 23.1% of respondents said that drains in their neighborhood continued to function when it rained. Two-thirds did not complain about problems encountered with public utility services. Of those who did, nearly half said they had to complain more than 3 times before any action was taken.</p> |

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| | | <p><u>Survey Results on Education:</u> The large majority who had children in school sent their kids to a public school (80.5%). More than two-thirds said they encountered problems in their child’s school over the last 6 months. The biggest problems cited had to do with receiving uniforms (73.1%), poor sanitary conditions (30.3%), the late arrival of teachers (29.5%), and inadequate space in the classrooms (29.4%). Again, 87.2% said they did not complain about these difficulties.</p> <p><u>Survey Results on Transport:</u> Most respondents (80.7%) used buses for their regular transport needs. A fourth (26%) said they rarely obtained a seat during their trips. A fifth (18.5%) said the buses they rode always made unnecessary stops. Only 8.5% revealed that they had complained to the conductor or the driver.</p> |
| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | There were no significant policy changes that arose due to the report card. |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | No. Catching more public attention and support were CPA’s projects concerning conflict and peace, elections, media, and constitutional reforms. |
| | (If applicable) Has the initiative been scaled up? Repeated? | No. Subsequent CPA-SI surveys have dealt with other pressing issues, like the peace process. |
| Further References | Web sources | http://www.cpalanka.org/ |
| | Documents and Reports | “A Report Card on Four Essential Services in the City of Colombo.” Centre for Policy Alternatives, July 2003. |
| | Resource Persons/Contacts | Pradeep Peiris, Social Indicator, CPA |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

COMMUNITY DEVELOPMENT AND LIVELIHOOD IMPROVEMENT, SRI LANKA

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| Basic Information | Name of Project | Community Development and Livelihood Improvement “Gemi Diriya” Project. |
| | Country | Sri Lanka. |
| | Task Team Leader | Meena Munshi. |
| | Type of Instrument | APL. |
| | Project/Program Period | APL is for 12 years. Phase 1 is for 4 years (2004-2008) . |
| Project/ Program Objectives | Describe briefly the main project/program objectives. | <p>Long-term objective : to support Government of Sri Lanka’s strategy of reducing rural poverty and promoting of sustainable and equitable rural development through: (i) better access of the poor to basic social and economic infrastructure and services and support for productive activities; and (ii) the development of policies, rules, systems, procedures and institutional arrangements that would allow the government to transfer funds directly to communities and provide them with technical and other support on a demand-driven basis.</p> <p><i>The objective of Phase 1 is to target poor communities in the project area and improve their livelihood and quality of life. Phase 1 would enable them to build accountable and self-governing local institutions and to manage sustainable investments.</i></p> |
| | Describe the social accountability (SA) activities or components of the project/program. | <p><u>Component 2: Institutional Strengthening</u> – This component would strengthen capacity of local and national agencies and support organizations to facilitate implementation of the program effectively and broaden their skills, especially in participatory development, as well as to develop a monitoring and learning system to capture results on the ground, and respond to the needs and demands of the community. The component will specifically include introduction of social and public accountability mechanisms, like participatory budgeting, community report cards, social audit and expenditure tracking to trigger changes in responsiveness and accountability among local government institutions and communities.</p> |
| | Which project objective or component do cater to? | <p>One of the key expected outcomes of the program is that at least 50 percent of national, provincial and district budgets for rural development is channeled directly to community organizations and reflects community priorities. The aim is to have 50% of the local governments practicing participatory planning and budgeting and allocating their own resources and budgets to community organizations based on a participatory process of planning and budgeting.</p> |
| | Describe which social accountability tools are used. | <ul style="list-style-type: none"> • Baseline community report cards indicating the criteria which Village Organizations members would like to use to evaluate Village Organizations performance; • Six-monthly follow up report cards exercises to assess scoring of the Village Organizations performance. This will also help to develop a rating system for Village Organizations that will then be discussed in open meetings of the Maha Sabha to identify corrective actions; • Village Organizations’ self-evaluation about its own performance and presentation to the village on a periodic basis; • Display of all key financial and physical information at a prominent location or at the Village Organization’s office; • Report cards on performance of various service providers by Village Organizations and sharing of this data with providers to develop better service standards. This information would be made public to all Village Organizations; |

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| | | <ul style="list-style-type: none"> • Training of Social Audit Sub-committee (Sub-committee of the Village Organization) members on input and expenditure tracking, financial supervision and report cards to enable them to report in Village Organizations on a periodic basis; • Development of a user report card on the Gemi Diriya Foundation (national-level implementing agency)'s performance on an annual basis by interacting with a sample of community members and changing organizational processes as a result of the feedback (market research and client perception); • Piloting a report card on service delivery performance of (Pradeshia Sabhas-PS) (local government authority at the divisional level) in selected divisions where intensive work is undertaken on local governance development. |
| | <p>(For Investment Loans) Specify proportion of the project budget allocated to SA activities</p> | About US\$2.0 million |
| Results and Challenges | Describe how the SA activities or components contribute to the outcomes of the project /program. What impact have they had? | The social accountability activities will help to build accountable and self-governing local institutions that can manage sustainable investments by: (a) devolving decision making power and resources to community organizations; and (b) strengthening selected local governments that demonstrate responsiveness and accountability to rural communities. Participatory divisional-level sub-committees will be gradually involved in project activities. Constituted by 30 % local elected officials and 70 % Village Organizations' representatives, these sub-committee will, during the third and final stage, rotate rural development funds to the communities besides appraising sub-projects and channeling project funds to them. |
| | Describe some of the main challenges faced in designing and implementing the SA mechanisms. | Need initial support and capacity building efforts to use SA tools and regular follows-up due to the novelty of the concept and the practical exercises; to educate service providers, local governments and others on how they could use these tools to improve their service delivery and effectiveness. |
| Further References | Web sources | N/A |
| | Documents and Reports | Project Appraisal Document |
| | Resource Persons/Contacts | Parmesh Shah/Meena Munshi |

**SOCIAL ACCOUNTABILITY STOCKTAKING EXERCISE
FOR SOUTH AND EAST ASIA**

**SOCIALLY ACCOUNTABLE MECHANISMS – TOOLS TO SUPPORT PARTICIPATORY URBAN DECISION MAKING,
SRI LANKA**

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| Methodology Type | Specify whether (i)PB, (ii)IBA, (iii)BPET, or (iv)PPM (can select more than one option as come SA initiatives do not fit neatly into these categories) | |
| | Name of Intervention | <u>Tools to support Participatory Urban Decision Making.</u> |
| Basic Information | Primary Agency Running Intervention | Sevanatha - Urban Resource Centre. |
| | Location | Sri Lanka. |
| | Sector or Level of Focus | Urban Planning and Development. |
| | Type of Engagement | <ul style="list-style-type: none"> • Advocacy • Training • Pilot project implementation • Advisory services • Research |
| Context and Scope | What is the driving force behind the SA initiative? | Gradual deterioration of quality of urban governance. To find out alternative solutions for urban issues through participatory approaches. |
| | What are the main objectives and what key accountability problems does it seek to address? | <ul style="list-style-type: none"> • Ineffective municipal service delivery systems. • Lack of responsiveness towards the demand by the poor. • Lack of recognition for community organizations by the political and financial power holders. |
| | Who is the target audience or demographic focus? | Urban poor - women and men; Local level elected representatives ; Local government staff. |
| | What is the political culture or environment? | Elected representation. Executive mayoral system |
| Tools and Methodologies Used | What specific SA tools and methodologies are being used? | <ul style="list-style-type: none"> • Community Action Planning - CAP • Participatory budgeting • Report card system • Community contracting • Outcome mapping |
| | Briefly describe the methodology(/ies) or tools used. | <p>Community Action Planning is a participatory workshop arrangement to get the key stakeholders to identify problems, priorities, strategies and resources needed for livelihood development of communities. Participatory budgeting is a process to get people involved in deciding municipal budgetary allocation. This is done on district and ward basis with the cooperation of council members and civil society organizations as a cycle. In this process people are aware how municipal money is allocated before it is spent.</p> <p>Report card is a tool to get citizens involved in assessing the municipal performances on service delivery and conveys their level of satisfaction to the public, councilors and Mayor. Community contracting is a procurement system where beneficiary groups act as not only as user of amenities but also as the promoter, contractor and technical adviser too.</p> |

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| | | Currently the challenge in development is to change the attitudes and behavior of all parties concerned in positive way rather than getting only the physical outputs. Outcome mapping is to identify key partners and keep records on and share the information to influence for positive changes. |
| | What advocacy and media activities support the initiative? | <ul style="list-style-type: none"> • Community and public meetings • Person to person interview and talk • Community guidelines • Letters / leaflet/posters • Invitations and ceremonies • Reports / Journals • News paper articles • Video films / CDs • Forums (community, bi-annual and yearly) • Minutes of meetings • Public debate • Exhibitions |
| | How inclusive was the intervention? | In all activities the key stakeholders are community and local government body. Central government and NGOs are also key partners, but community plays an important role and included in all forums and activities. |
| | Other Important Information or Comments | Community consultation, participation and partnerships are the key words of all these activities. |
| Results and Impact | What (if any) has been the impact of the initiative? What have been the incentives? | <p>Communities have obtained right to stay close to their livelihoods, housing and basic needs and services.</p> <p>CBOs are recognized as institution to participate in all local development activities. Because of the recognition, CBOs has become a sustainable institution.</p> <p>There is vast changes in government procurement systems, planning processes and decentralization of government functions.</p> <p>Incentives are the political advantages being close to people and people are getting their basic needs.</p> |
| | Is the methodology or initiative institutionalized? Are there any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities etc.? Describe. | <p>Community Action Planning and Community Contracting system have been institutionalized at all level and in many ministries that are in charge of development works.</p> <p>Other methods have been experimented extensively and getting local government ready to apply for its annual work programs.</p> <p>There are institutional linkages among different agencies. Specially in local government, these partners meets regularly at committee level meetings.</p> |
| | (If applicable) Has the initiative been scaled up? Repeated? | CAP method and CC system are being used countrywide. Others are still at local level in selected local authorities. Report card method has been used extensively in Colombo for urban poverty reduction programs. |
| | Web sources | < sevanata@sri.lanks.net > |
| Further References | Documents and Reports | Contact: Sevanatha - Urban Resource Centre, No 14, School Lane, Nawala, Rajagiriya, Sri Lanka. |
| | Resource Persons/Contacts | Mr. K.A.Jayaratne, Sevanatha - Urban Resource Centre, No 14, School Lane, Nawala, Rajagiriya, Sri Lanka. Tel /Fax 94 112 878893 |