

READER-LEARNER LIST
ON SOCIAL ACCOUNTABILITY
AND PROCUREMENT
AN ANNOTATED BIBLIOGRAPHY



Affiliated Network for Social Accountability
in East Asia and the Pacific

...connecting citizens to improve governance

Reader-Learner List on Social Accountability and Procurement

An Annotated Bibliography



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I. INTRODUCTION

This Reader-Learner List provides a menu of reading materials on social accountability with focus on the public procurement process. It is intended for public procurement practitioners who want to make the public procurement process transparent and accountable with the end of meeting its development objective.

The list provides reading materials that help one to understand the underlying concepts of procurement monitoring. There are reading materials that look into value for money, cost management, design quality and supply chain management. The list also gives leads to questions like “When do you disclose the budget in the course of the procurement?”, “How do you pre-qualify bidders (candidate contractors)?”, and “How do you debrief losing bidders?”

The list also provides a model “Code of Good Practice” for customers (government) and suppliers (bidders or contactors). This code is further iterated by Transparency International (TI) in its Integrity Pact.

On the part of civil society organizations (CSOs) and other citizen groups involved in procurement monitoring, the list gives specific reading materials on procurement monitoring and whether public procurement has delivered on its promise. One can get a glimpse of procurement monitoring¹ practices as experienced by Textbook Count², Government Watch³, Bantay Eskwela⁴, PDAF (Priority Development Assistance Fund) Watch⁵, Road Watch⁶, and many others.

The list is not meant to be prescriptive nor does it claim to be comprehensive. But it is hoped that the materials listed here will lead one to search for other, more relevant procurement monitoring materials.

1 Another term for procurement monitoring is “bidding” or “tendering” by government.

2 Monitoring of textbooks delivery.

3 Monitoring and evaluating the implementation of awarded government contracts.

4 Monitoring of school buildings construction.

5 Monitoring of member of parliament’s (MP’s) or Congressperson’s spending of pork barrel funds.

6 Physical verification of roads and other hard infrastructure.

To help the readers browse through the list, the materials are framed under three categories: organizing, engaging, and ensuring⁷.

A. Organizing

This stage of the public procurement process will try to answer the “how” and the “why” of procurement. Why are we buying this thing or service? How much will it cost us? How do we buy this thing or service? What is the risk of buying this thing or service? This is where planning is done on how to go about the whole procurement process. In short, this stage is meant to map out the objective as well as the strategy to achieve the product of the procurement. On the part of the citizen or CSO, knowing what to analyze and how to analyze (variables, risks, valuation or costing) is crucial to be able to participate in the procurement planning process.

B. Engaging

This stage covers the rules of engagement between and among government (as customers) and suppliers (as contractors or bidders). Government in itself can enforce its own “code of conduct” that will govern the whole procurement process. CSOs can also play their part, as third party or witness to this code. An example of this is Transparency International’s Integrity Pact (TI-IP). This stage also answers what are the capacities that CSOs need to better engage government in the public procurement process.

C. Ensuring

Monitoring is the key in ensuring that contracts are complied with, fulfilled or completed. The observer, CSO or citizen should be on the ground – measuring the extent of the road, the quality of the goods, counting the right number or quantity of what was procured or bought.

⁷ The framework is adopted from the International Institute for Environment and Development (2004). Online: <http://www.policy-powertools.org/index.html>.

II. THE READER-LEARNER LIST ON SOCIAL ACCOUNTABILITY

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

Ackerman considers social accountability as the new response to development challenges following the failures of state- and market-led mechanisms. It marks the citizen sector as the new central force that will determine the course of development, particularly in governance.

2. Blair, Harry. 2007. *Gaining state support for social accountability mechanisms.* Paper prepared for the World Bank's CommGAP workshop in Paris, 1-2 November 2007.

Harry Blair raises the crucial role of the government in social accountability. He illustrates the entire spectrum of state response to and posturing on citizens' participation in governance. Knowing how to utilize and optimize the affirmative side of this spectrum provides an effective jumping board for any social accountability initiative.

3. Arnstein, Sherry. 1969. *A Ladder of Citizen Participation.* JAIP, Vol. 35, No. 4.

A critical guide to advance from superficial to a more empowering and genuine type of engagement with government.

4. Khalid Malik and Swarnim Wagle. 2002. *Civic engagement and development: Introducing the issues.* in 'Capacity for Development. New Solutions to Old Problems. UNDP.

To realize more fully the virtue of participation, Khalid Malik and Swarnim Wagle (2002) argue for the importance of its collective embodiment. This presents the second connecting thread of social accountability as a relational value, which requires the formation and consolidation of social capital. It must foster organization and solidarity, which will allow the citizen sector to pose both micro- and macro-level counterbalance to the institutionalized machinery of the government.

5. Pope, Jeremy. 2003. *Access to information: whose right and whose information*. In *Global Corruption Report*. Transparency International.

Jeremy Pope (2003) problematizes the prevalent tendencies of government and many other social institutions to be secretive, which encourages abuses and corruption. He contends that access to information is a right and a source of empowerment. It has to be guaranteed and, moreover, translated into an ethic and culture in governance.

6. Arellano-Gault, David. 2008. *An organizational analysis of transparency: 'transparency failures' as an instrument for incorporating effective transparency policies into public organizations*.

This paper proposes four “transparency failures” as tools to study concrete and workable ways of incorporating the transparency agenda into governmental organizations.

7. Cornwall, Andrea. 2002. *Making spaces, changing places: situating participation in development*. IDS Working Paper 170. Institute of Development Studies. Sussex.

Provides an enlightening discussion on social accountability in a situated practice of a particular society and culture. By implication, it invites us to view social accountability as a product of the people’s shared understanding, which results in the exploration and framing of a democratic space that defines and redefines as well as builds and rebuilds the fundamental role of citizens in the sphere of governance.

8. Arroyo, Dennis and Sirker, Karen. 2004. *Stocktaking of Social Accountability Initiatives in Asia and the Pacific Region*. The World Bank Institute Community Empowerment and Social Inclusion Learning Program.

Prepares the reader in contextualizing various examples of social accountability. This offerstoexpandthereader’sknowledge base of how social accountability is really done. Besides, social accountability is really more of an action than an idea; it is better demonstrated than explained.

9. ANSA. No year. *FAQs on the Social Accountability Approach*. ANSA-EAP. Filters the basic ideas on social accountability.

III. THE READER-LEARNER LIST ON PROCUREMENT MONITORING

A. Organizing

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

The study identifies opportunities to improve the delivery of social development objectives by modifying the way in which infrastructure projects are procured. The focus of research is public procurement of infrastructure in low and middle income countries.

2. Ledbury Mark, Miller Nigel, Lee Amy, Fairman Tessa, Clifton Carla. M. (2006). *Understanding policy options*. Home Office, Economics and Resource Analysis Group (ERAG). London: Research Development and Statistics Directorate, Home Office.

This report summarizes the evidence based on the use of policy instruments to address market failures in different contexts. It aims to provide guidance to policy makers in diagnosing problems by market failure and generating a shortlist

of policy options. It arose from a Home Office project in 2005, which looked at the potential to change the behavior of intermediaries and victims to prevent crime.

3. *Multi-criteria analysis: A manual*. (2009). London, England: Department for Communities and Local Government.

This manual provides guidance for Government officials and other practitioners on how to undertake and make the best use of multi-criteria analysis (MCA) for the appraisal of options for policy and other decisions, including but not limited to those having implications for the environment. It covers a range of techniques which can be of practical value to public decision makers and are increasingly being used in the UK and in other countries. They are described in this manual as multi-criteria analysis (MCA) techniques.

4. Procurement Policy Unit. (2004, July). *Guidelines on factors that can be considered when trying to reduce the risks of overdependency on a supplier*. 9. London, England: Office of Government Commerce.

This note provides guidelines on the factors to be taken into account when seeking to reduce the risk of adverse consequences arising from over-dependency. It is not the intention of this note to discourage the establishment of long-term relationships or the benefit that such associations can bring. Its purpose is to identify situations in which overdependency is at risk of occurring, and then to establish the ways of avoiding and addressing any related issues that may arise.

5. HM Treasury. *The Green Book - Appraisal and Evaluation in Central Government*. London, England: HM Treasury.

The Green Book is a best practice guide for all central departments and executive agencies, and covers projects of all types and size. It aims to make the appraisal process throughout government more consistent and transparent.

6. Global Advice Network. (n.d.). *Integrity Management Procedures - Procurement Tool*.

A critical path method of analyzing the process of public procurement.

7. Green Amanda, Nunberg Barbara. (2004, November). *Operationalizing political analysis: The Expected Utility Stakeholder Model and governance reforms*. 6. D.C., Washington, USA: The World Bank.

To simulate the ensuing negotiations among stakeholders in procurement reform in Anyland, Expected Utility Stakeholder Model was used by iterating a series of "games" to predict the level

of reform that would be most feasible politically. With the help of sophisticated computer software, the relationships between each pair of stakeholders were examined in terms of each player's policy stance, power, salience, perceptions of other players' values, and expectations. What emerged was a clear picture of which players would challenge others to accept their viewpoints and which players would acquiesce. These bargaining dynamics were carried forward to the point at which no stakeholder could see a potential policy gain from challenging other players or shifting positions.

8. Office of Government Commerce. (2007). *Whole life costing and cost management* (Vol. 7). London: Office of Government Commerce.

This guide emphasises the need to base decisions on a whole-life approach rather than the upfront capital cost of the construction. It provides advice on producing whole-life cost models and explains what needs to be done to keep costs under control at key stages in the project.

9. Office of Government Commerce. (2006). *Supply chain management in public sector procurement - A guide*. London: Office of Government Commerce.

This guide provides a series of key insights into the management of multi-tiered supply relationships within the government procurement environment. The aim is to encourage contracting authorities to take a more sophisticated approach to supply chain management and understand both

the role that they and their main suppliers must play in managing the supply chain.

10. Office of Government Commerce. (2002, March). *Best practice: Value for money evaluation in complex procurements*. 2. Norwich, England: Office of Government Commerce.

This chart provides key questions on what to ask to achieve “value for money” in the public procurement process.

11. Office of Government Commerce. (n.d.). *Business case template*. 2. London, England: Office of Government Commerce.

The template helps organizations make rational decisions the procurement process.

12. Office of Government Commerce. (2007). *Construction projects: A manager’s checklist*. 16. London, England: Office of Government Commerce.

This document outlines the key questions that a Senior Responsible Owner (SRO) should ask about a construction project.

13. Office of Government Commerce. (2007). *Design quality - Achieving excellence in construction procurement guide*. 28. London, England: Office of Government Commerce.

This guide highlights the importance of good design in achieving value for money, including reference to government policy initiatives, the role of the design champion, methods of judging design quality and the importance of selecting a competent design team.

14. Office of Government Commerce. (n.d.). *Disclosure of budgets in the course of procurement: When is it appropriate?* 4. Norwich: Office of Government Commerce. This guide addresses the issue of whether or not budgets should be disclosed in the early stages of a procurement exercise. There is no simple “yes/no” answer to the question, as any decision on whether to disclose or not will depend on a number of factors. As it is impossible to cover all procurement possibilities, each case will have to be judged on it’s own merits. These guidelines discuss the key points, which should be considered before deciding how to proceed.

15. Office of Government Commerce. (2009, January). Procurement pre-qualification tool. *Improving procurement: Pre-qualification tool*, 12. London, England: Office of Government Commerce.

The Procurement Pre-Qualification Tool has been developed as a self assessment tool to enable the Senior Responsible Owner (SRO) to quantify the status of a major ICT procurement prior to the start of a competition. The purpose of the PQT is to assist the SRO’s engagement in the pre-competition stage by focussing on key areas to be addressed to ensure a successful procurement and subsequently, delivery of outcomes.

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

Gives an overview of the entire public procurement process and what reforms can be done in each stages. This reference

documents is divided into three themes: namely, mainstreaming, capacity building, benchmarking and monitoring and evaluation.

17. ADB, OECD. (2006). *Curbing Corruption in Public Procurement in Asia and the Pacific: Progress and Challenges in 25 Countries. Thematic review on provisions and practices to curb corruption in public procurement. Country self-assessment reports.*

The review seeks to assist governments in understanding better the corruption risks inherent in their countries' institutional settings and procurement practices. It also strives to provide governments with an analytical framework to design rules, procedures, and policies to bolster transparency and integrity in public procurement.

18. Klitgaard Robert, MacLean-Abaroa Ronald, Parris H. Lindsey, (2000). *Corrupt Cities: A Practical Guide to Cure and Prevention, ICS Press.*

This book is designed to help citizens and public officials diagnose, investigate, and prevent various kinds of corrupt and illicit behavior. It focuses on Systematic corruption rather than the free-lance activity of a few law-breakers, and emphasizes preventive measures rather than purely punitive or moralistic campaigns. Unlike many descriptive treatises on corruption, the book stresses practical steps.

19. The World Bank. (2001, edited 2003). *Bank-Financed Procurement Manual. Washington, DC.: The World Bank.*

The Operations Policy (OP)/Bank Procedures(BP)11.00andtheProcurement Guidelines constitute the Bank's policies on procurement. This Manual is intended to give additional advice and assistance to Bank staff to help them carry out their own procurement responsibilities and to help them advise Borrowers on how to handle their own responsibilities when carrying out procurement using Bank financing. The Manual does not contain any new policies. Rather, it explains in more detail how specific aspects of procurement should be handled consistent with the Guidelines, the OP and the BP. It is a source of "how-to" information about the tasks and elements that comprise the procurement process.

The information in the manual is very specific to procurement in Bank financed projects and may not serve the needs of the participants unless it is provided as background material and with the right caveats.

20. The World Bank. (1999). *Procurement and Financial Procedures Manual For Use By Community-Based Organizations.* Mbuba Mbungu.

The purpose of this manual is to provide procurement and financial procedures for use by formally structured Community-Based Organizations that wish to manage and utilize their resources in an economic manner, with due care to accountability and transparency. The manual would also be useful to CBOs during the time of putting up a facility as well as during the maintenance and operation phase.

B. Engaging

1. Holloway, R. *NGO Corruption Fighters' Resource Book – How NGOs can use monitoring and advocacy to fight corruption.*

This Resource Book is intended to clarify and supply ammunition for dedicated NGOs in their fight against corruption by providing:

- An **Overview** of the issues with which they need to be familiar in order to wage the battle that they have in mind;

- Information about two key tools that have produced significant impact in NGO work over the past several decades - **Monitoring and Advocacy**. These are framed, together with **Project Management Tools**, into a set of guidelines for the anti-corruption fight; and,

- References for additional useful information and organizations that can help them.

2. The World Bank. (2008). *Fiduciary Forum Showcase Guidebook: achieving results through financial management and procurement innovations.* The World Bank. Provides a look on various exhibit panels on financial management and procurement innovations showcased during the 2008 WB Fiduciary Forum.

3. Transparency International. (2002). *The Integrity Pact - The concept, the model and the present applications: A status report.* Transparency International.

A step-by-step guide on how to apply the Integrity Pact. It also provides examples in different countries where the Pact was used.

4. Office of Government Commerce. (2003). *Supplier debriefing.* Norwich: Office of Government Commerce.

A guide on how to conduct a debriefing for losing bidders of a government contract or tender.

5. Office of Government Commerce. (n.d.). *The Government Procurement Code of Good Practice For Customers and Suppliers.* 8. London, England: Office of Government Commerce.

A model code of good practice that can be applied in countries who wants a more credible, transparent and accountable public procurement.

6. New Economics Foundation. (2009). *Competitive tendering: A guide for development workers in third sector infrastructure organisations.* 23. London, England.

A guide for CSOs wishing to apply for tender or bid (in this case, commissioning) for a community project. It also provides helpful tips on how to engage the contracting authority (in this case, the commissioner) to make the public procurement process more credible, accountable and transparent.

C. Ensuring

1. Cox, E. (2002). *The Social Audit Cookbook: recipes for auditing the way we connect*. Sydney: Lance Reichstein Foundation.

This cookbook aims to give a variety of recipes for social research. It contains a broad selection of ingredients that can be used to create a research design that suits your particular needs for measuring how people are connecting in your community. You may use some of the suggested measures to find out how people feel about a local park or precinct or perhaps you'll conduct a more in-depth social audit to see how new welfare policies are affecting the lives of your target groups. You may be puzzled about the difficulties of motivating local efforts or want to know how well community members are developing the ability to work together.

2. *Draft Concept Note on the Social Audit Mechanism to be followed in Karnataka*. (n.d.). 6. Karnataka.

A model concept note in applying social audit.

3. Center for Governance. (2005). *Social Audit: A Toolkit - A guide for performance improvement and outcome measurement*. Hyderabad: Director General & Executive Director, Centre for Good Governance.

A toolkit on how to go about the process of doing a social audit.

4. Gregorio, S. P. (2006). *A Resourcebook on the G-Watch Monitoring experience*. 25. Quezon, Philippines: Ateneo School of Government.

This resource book distills seven years of Government Watch's experience in monitoring government agencies. The resource book can be read on its own and as a resource or reference in conducting a training on monitoring and evaluating the implementation of awarded government contracts.

5. G-Watch, Ateneo School of Government. (2007). *Bayanihang Eskwela: The citizens' monitoring of school building construction projects*. Quezon City, Philippines: G-Watch, Ateneo School of Government.

Provides a checklist on what to look for or watch out for in doing a monitoring or checking the construction of school buildings.

6. Hofbauer Helena, Zanol Tom, Sleboda Jennifer, Okwuje Ifeoma. (2008). *Our money, Our responsibility: A citizens' guide to monitoring government expenditures*. (V. Ramkumar, Ed.) Washington, D.C., USA: The International Budget Project.

The Guide discusses the work undertaken by 18 budget advocacy organizations around the world. It focuses on the budget implementation process, especially on civil society efforts to monitor and influence the quality of government expenditures.

7. Jaffer, P. (n.d.). *Concept and methods of social audit*. 8.

Describes the concepts and methods surrounding the conduct of social audit.

8. Ndlovu, N. (n.d.). *Introduction to community/ citizen implementation monitoring tools and methodologies*. 21.

Centre for Economic Governance and AIDS in Africa.

An introduction to Social Accountability (SAc) tools and methodologies like Community Score Cards (CSCs), Citizen Report Cards (e.g. PAC, India), Social Auditing (e.g. MKSS India, MUHURI Kenya), Public Procurement Monitoring (e.g. PWI, Philippines) & Road Inspection by the CCAGG (Philippines).

9. Thomas, K. (n.d.). *Social audit*. 5. Centre for Good Governance.

A description of social audit.

10. Leung, G. (2005, May 20). *Textbook Count and civil society participation: Effecting system reforms in the Department of Education*. 15. Makati, Philippines: G-Watch, Ateneo School of Government.

Discusses in detail how the Textbook Count Project was able to effect systemic reforms throughout the Department of Education, Philippines.

11. Wiehen Michael, Olaya Juanita, Adhi Ardian Kustiadi, Soraya, Fernandez Josie, Goh Ban Lee, Syed Adil Gilani, and Saad Rashid. (2006). *Handbook for curbing corruption in public procurement*. (K. Kostyo, Ed.) Berlin, Germany: Transparency International.

This Handbook for Curbing Corruption in Public Procurement is meant to be a basic introduction for all stakeholders to the challenge of overcoming corruption in the field of public procurement. The intent is to provide the readers with real

world examples of successful actions that have been taken against corruption in a variety of Asian countries. The hope is that these experiences can be “translated” and “exported” to other situations and countries with similar success. This Handbook is the report resulting from the European Union – Asia Urbs Programme, which provided funds for cross-sectoral workshops on improving public procurement in the three Asian countries described in this Handbook.

12. National Audit Office. (2008, December). *Good practice contract management framework*. 30. London, England: National Audit Office.

The framework is a good practice guide for managing a broad range of contracts. It is particularly relevant for contracts where services are delivered over a long period of time (five years plus) where customers need to ensure that service levels and value for money are maintained over the duration of the contract. The framework will provide the foundation for the Office of Government Commerce’s revised guidance on contract management. The framework covers the stage where a contract has been signed and the service is up and running. It does not cover the tendering/contract award stage or some of the specific issues that arise when a contract expires or is terminated, for example, relating to the disposal of equipment or handover to a new supplier.

13. CODE-NGO. (2005). *PDAF Watch Monitor’s Toolkit: A civil society monitoring system*. Quezon, Philippines: CODE-NGO.

A toolkit on how to monitor how a legislator's pork barrel funds was spent.

14. Office of Government Commerce. (2005, July 18). *OGC Successful Delivery Toolkit*. London, England: Office of Government Commerce.

Portal for access to a wide range of proven good practice for procurement, programmes, projects, risk and service management.

The Affiliated Network for Social Accountability in East Asia and the Pacific (ANSA-EAP) is a networking facility for networks promoting the “social accountability” approach to good governance. It provides capacity building through a learning-in-action approach and serves as an information gateway on social accountability tales, tools and techniques.

Social accountability is the process of constructive engagement between citizens and government in monitoring how government agencies and their officials, politicians, and service providers use public resources to deliver services, improve community welfare, and protect people’s rights.

The social accountability approach needs four basic conditions to work: a) organized, capable citizen groups; b) responsive government; c) context and cultural appropriateness; and d) access to information.

ANSA-EAP operates in a large and diverse region. It pursues a geographic strategy that currently puts priority on support and technical assistance to social accountability activities in Cambodia, Indonesia, Mongolia, and the Philippines. It also follows a thematic and sector strategy by supporting mainly local social accountability efforts that deal with service delivery (education, health, local infrastructure), procurement monitoring, the youth, extractive industries, and climate change.



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