

# Procurement Monitoring and Social Accountability

*Curriculum Development Program*



The World Bank

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# Executive Summary

The devolution of procurement responsibilities to local levels of government is increasingly occurring across South Asia. This trend is significant because increasingly localized decision-making better enables communities to hold government authorities accountable for the effectiveness of public spending, which can lead to various improved development outcomes, such as improvements in quality of service delivery; greater empowerment and understanding by end-users services supplied through public procurement processes; and improved oversight and accountability of service delivery agencies.

World Bank Institute (WBI) sought to build onto existing momentum, both in South Asia and globally, achieved by practitioners and civil society organizations on awareness-raising initiatives and practical applications of social accountability tools and approaches in public procurement processes.

The objective of this report is to set out an overview of the strategic approach developed by WBI as a component of the Norwegian Governance Trust Fund (NTF) program, “Procurement and Service Delivery: Establishing effective collaboration between government and beneficiaries on monitoring procurement outcomes.” WBI received funds under the NTF to facilitate the development of context- and audience-specific knowledge products by recognized practitioners and civil society organizations in South Asia as part of a broader effort to create a practical curriculum on social accountability in procurement.

This report is intended to signpost the breadth and accessibility of these knowledge products, and an early glimpse into some emerging lessons, albeit in early testing stages. These lessons and experiences will be shared at the South Asia regional workshop on the theme, “Strengthening Citizen Engagement in Procurement: Reviewing experiences, Identifying Challenges and Exploring opportunities” to be convened in from December 8th to 10th, 2009, at the BRAC Centre for Management Development in Rajendrapur, Dhaka, Bangladesh.

# Abbreviations and Acronyms

ANSA-South Asia	Affiliated Network for Social Accountability in South Asia
APREGS	Andhra Pradesh Rural Employment Guarantee Scheme [India]
ASCI	Administrative Staff College of India [India]
CEAPG	Public Administration and Government Center (Centro de Administração Pública e Governo) [Brazil]
CGG	Center for Good Governance [India]
CSA	Center for Social Accountability (CSA) [India]
CUTS-CART	Consumer Unity and Trust Society's program for Consumer Action Research and Training [India]
GDP	Gross Domestic Product
G-Watch	Government Watch [Philippines]
JNNURM	Jawaharlal Nehru National Urban Renewal Mission [India]
K-III	Greater Karachi Water Supply Scheme [Pakistan]
KW&SB	Karachi Water and Sewerage Board [Pakistan]
NIRD	National Institute of Rural Development [India]
NREGA	National Rural Employment Guarantee Act [India]
NTF	Norwegian Governance Trust Fund
OPEN system	Online Procedures Enhancement for Civil Applications [South Korea]
PHRD	Policy and Human Resources Development Fund
PIP	Productivity Improvement Program [Philippines]
PROOF	Public Records of Operations and Finance [India]
PSAM	Public Service Accountability Monitor [South Africa]
PWI	Procurement Watch Incorporated [Philippines]
SAc	Social Accountability
SASANET	South Asia Social Accountability Network
TAF	The Asia Foundation
TI	Transparency International
WBI	World Bank Institute
YASHADA	Yashwantrao Chavan Academy of Development Administration [India]

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# Introduction

**G**lobally, public procurement has been identified as the government activity most vulnerable to corruption. As a major interface between the public and the private sectors, public procurement provides multiple opportunities for both public and private actors to divert public funds for private gain. Procurement of goods, works and other services by public bodies alone amounts on average to between 15% and 30% of Gross Domestic Product (GDP), in some countries even more. Few activities create greater temptations or offer more opportunities for corruption than public sector procurement. Damage from corruption is estimated at normally between 10% and 25% and in some cases as high as 40 to 50%, of the contract value (Transparency International 2006).

Procurement processes differ widely throughout the world, involving complicated regulations and practices in each country. As a result, procurement is often opaque and building effective integrity systems poses significant challenges. While procurement is often seen as a highly technical process, ample evidence is now available which demonstrates that it can be made accessible to the public. Space is increasingly being made for citizens to become engaged at the various stages of the procurement process.

## Purpose of this Report

The objective of this report is to set out an overview of the strategic approach developed by World Bank Institute (WBI) as a component of the Norwegian Governance Trust Fund (NTF) program, "Procurement and Service Delivery: Establishing effective collaboration between government and beneficiaries on monitoring procurement outcomes." WBI received funds under the NTF to facilitate the development of context- and audience-specific knowledge products by recognized practitioners and civil society organizations in South Asia as part of a broader effort to create a practical curriculum on social accountability in procurement. This report is intended to signpost the breadth and accessibility of these knowledge products, and

to provide a gloss on lessons learned under the Procurement Monitoring and Accountability Curriculum Development program developed by WBI, the management of which will soon be transferred to the Affiliated Network for Social Accountability in South Asia (ANSA-South Asia). These lessons and experiences will be shared at the South Asia regional workshop on the theme, "Strengthening Citizen Engagement in Procurement: Reviewing experiences, Identifying Challenges and Exploring opportunities" to be convened in from December 8th to 10th, 2009, at the BRAC Centre for Management Development in Rajendrapur, Dhaka, Bangladesh.

## What is Social Accountability?

Social accountability has been defined as "an approach towards building accountability that relies on civic engagement, i.e., in which it is ordinary citizens and/or civil society organizations who participate directly or indirectly in exacting accountability" (Malena, et al 2004). The concept refers to the establishment of vertical relationships between citizens and government which are characterized by direct accountability through a range of "internal" and "external" tools, or mechanisms initiated and supported by the government, civil society, or both.

In the last several years, social accountability tools have become increasingly sophisticated; they have revolutionized ways in which citizens, communities, independent media and civil society organizations voice views and interact with public officials and public servants, to hold them to account. These tools have likewise gained widespread acceptance and application, particularly in the service delivery context. Examples of these tools include citizen participation in public policy making, participatory budgeting, public expenditure tracking, citizen monitoring of the performance of public service delivery and projects or subprojects, independent budget analysis, social audits, lobbying and advocacy campaigns by civil society, and citizen advisory boards. The effectiveness of these

tools depends on the enabling environment, which refers to the set of conditions which impact the capacity of citizens, government officials, civil society organizations, the media, and other actors to engage in social accountability in a sustained and effective way at the policy, project and program levels. This includes the legal, regulatory and policy frameworks and political/governmental, economic and socio-cultural factors.

A key goal of social accountability initiatives is to achieve citizen-government partnerships: while the responsibility for final policy formation remains with government, this relationship ensures that citizens have greater voice in government decision-making and can help shape the policy dialogue (Caddy, et al 2007). Tools such as participatory budgeting, public expenditure tracking, citizen report cards, citizen score cards, and other mechanisms which facilitate monitoring and evaluation of public service delivery can complement and reinforce conventional accountability mechanisms, such as elections, political checks and balances, accounting and auditing systems, administrative rules, and legal procedures. Social accountability tools enable civil society to meaningfully contribute to public decision-making and to otherwise hold public actors accountable for particular decisions and behavior in more sustainable ways (World Bank 2006). Social accountability tools additionally provide civil society with an array of formal and informal rewards and sanctions to help ensure that government acts in the best interests of all people, including the poor and marginalized (Malena, et al 2004).

Procurement monitoring by citizens is a new area of social accountability which is in great demand. Social accountability tools are useful across contexts, and generally seek to improve governance, enhance or expand public services, and scale up civic empowerment (Public Affairs Foundation, Sirker, and Cosic 2007). In the governance context, social accountability tools

have emerged as effective mechanisms to monitor government performance, including exposing government failures and transgressions. In the public service delivery context, these tools can promote a 'virtuous circle' in which efforts to strengthen internal accountability mechanisms within the public sector are reinforced by measures to facilitate external control by citizens toward common goals, including improving delivery of public services. In the empowerment context, these tools can enhance citizens' voice and influence in relation to the government, including social groups which are underrepresented in formal political institutions, such as women, youth, and poor people.

### **Scaling Up Social Accountability Pilots with Support from the Norwegian Trust Fund and by Leveraging Complementary Funding**

In 2007, the World Bank Institute (WBI) received grant support from the NTF to establish a pilot program designated, "Procurement and Service Delivery: Establishing Effective Collaboration Between the Government and Beneficiaries on Monitoring Procurement Outcomes." The pilot emphasized the importance of good governance in public procurement as part of efforts across regions to move toward localized decision-making; this area is a key entry point for the development of social accountability tools. WBI used the funds to have a consultative workshop with key practitioners and policy-makers in the South Asia region to set the framework for core curriculum on social accountability with a procurement focus, develop a series of eight global case studies demonstrating practical social accountability lessons in public procurement; and channeled funds to three partner training institutions (ASCI, YASHADA, and CGG) to develop social accountability knowledge products.

The NTF program additionally catalyzed the development of other WBI activities on

social accountability and public procurement. Specifically, WBI supplemented NTF support by leveraging Trust Funds from the Policy and Human Resources Development Fund (PHRD) to supplement funding to the three partner training institutions mentioned above; and to develop two additional products: case studies on Brazil's experience in procurement accountability to be shared with South Asian peers and the "Capacity Building Program in Social Accountability" in Sri Lanka.

The resultant range of knowledge products were developed in partnership with internationally recognized training institutions, procurement experts and organizations, several of which participated in WBI's November 2007 workshop. These knowledge products include:

- **An interactive website** developed by the Center for Good Governance (CGG) with NTF support, with portals dedicated to the mobilization of research, testimonials, and good practices on the intersection of social accountability and procurement; the goal of this website and its several informative portals is to create a one-stop platform for interested stakeholders on procurement and social accountability by referencing international best practice from around the world;
- **Two manuals** developed by the Yashwantrao Chavan Academy of Development Administration (YASHADA) with NTF support, examining both the right to information and how it might be exercised by citizens and local-level government to maximum effect ("Enhanced Transparency in Procurement through Voluntary Disclosure under the RTI Act 2005") and more general understandings of the enabling environment for social accountability in India ("Social Accountability in the Indian Context");
- **A report featuring twelve case studies from South Asia** developed by the Administrative Staff College of India (ASCI) with NTF support, which documents social

accountability in procurement in urban and peri-urban governance in the region;

- **A report featuring four case studies from Brazil** developed by the Public Administration and Government Center (Centro de Administração Pública e Governo - CEAPG) with funds leveraged by WBI, which documents how to strengthen social accountability at the local level, including in the procurement context;
- **A curriculum on social accountability and local governance in Sri Lanka** developed by The Asia Foundation (TAF) with funds leveraged by WBI, which documents social accountability approaches and tools at the local government level in Sri Lanka; and
- **A series of eight global case studies** commissioned by WBI which document social accountability in public procurement processes in South Korea, Pakistan, Mexico, South Africa, Argentina, and the Philippines.

## **The WBI/ANSA-South Asia Partnership: Transferring Management Responsibility for the Procurement Monitoring and Accountability Curriculum Development Program**

WBI's strategy was to launch the SAC procurement curriculum program and get some initiatives underway, while in tandem the World Bank was helping to establish and build the capacity of ANSA-South Asia, a program managed by the Institute of Governance Studies at BRAC University in Bangladesh, which aims to improve governance and accountability in South Asian countries through demand-side approaches. The idea was for ANSA-South Asia to then scale up the pilots in motion as part of its larger portfolio. ANSA-South Asia seeks to promote sustained citizen engagement and develop partnerships for accountable institutions by providing a networking platform to enhance practitioner expertise and



disseminate knowledge regionally and globally in three areas: budget allocation, expenditure tracking, and performance monitoring. ANSA-South Asia also draws on and strengthens existing social accountability institutions and networks of practitioners throughout the region to scale up and raise the impact of demand-side initiatives at the country level. ANSA-South Asia's goals include:

- Building capacity through training and skills building on social accountability;
- Providing a knowledge platform for dissemination of best practices;
- Facilitating networking and regional exchanges among practitioners to strengthen local capacity;
- Providing technical assistance and grants to practitioners engaged in demand-side governance initiatives; and
- Conducting and disseminating research on social accountability.

# Genesis of the Procurement Monitoring and Accountability Curriculum Development Program

## Social Accountability Practitioner Consultation

The Procurement Monitoring and Accountability Curriculum Development program was the result of the South Asia Regional Workshop on "Social Accountability Curriculum Development", which was convened by WBI in New Delhi, India from November 19-20, 2007. The purpose of the workshop was to bring together a group of leading South Asian practitioners, training institutions, and policy makers to develop a curriculum for social accountability, and to create a space for these partners to decide on which aspects of social accountability and procurement they wanted to focus. WBI organized the workshop as a response to demand by several institutions in South Asia for a consultation to develop certificate or post diploma learning programs on social accountability, with the aim of increasing the number of social accountability specialists to apply new skills for improved policies, budget and procurement oversight, and better governance and service delivery. The core objectives of the workshop were to develop a curriculum on social accountability targeted to different stakeholders and to broaden the South Asia Network on social accountability.

The workshop was attended by thirty participants, including social accountability practitioners, academicians, donors, NGO representatives, state and local government training institutes from Bangladesh, India, Pakistan, and Sri Lanka. A key outcome from the workshop was broad agreement among participants that there is demand for a social accountability curriculum from multiple sources across the South Asia region. Participants further agreed that there was urgent need for capacity building of social accountability skills in all countries of the sub-continent, to improve the quality of governance and accountability. The participants identified the priority topics for a social accountability curriculum which set the following framework for

the curriculum subsequently developed by the partner institutions:

- Conceptual understandings of social accountability, such as the rationale, principles, and definitions;
- Enabling environment issues, such as situational diagnostics, legal framework, political economy, system of governance, planning mechanisms, existing accountability mechanisms, access to information, and rights;
- Social accountability tools, such as best practices, development of new tools, RTI Acts, participatory budgeting, performance monitoring, participatory policy making, documentation of processes, and use of ICTs;
- Strategic communication and advocacy;
- Sustainability (financial, institutional fund raising, scaling up); and
- Monitoring and evaluation and assessing impacts.

The workshop participants also determined that the emerging need for a social accountability curriculum is rooted in the increasing demand by and expectations of the public for inclusive growth and development throughout the South Asian region. They further agreed that increasing awareness of the concept of social accountability throughout the region is the result of promising news of outcome-based budgeting and other social accountability tools which have already been put into practice in South Asia and other regions. They concluded, however, that a sizable gap remains in the development and application of social accountability methodologies which target procurement in South Asia, and of training programs that could lead to the application and improvement of social accountability practices and tools.

## Identification of Target Audiences for Social Accountability Curriculum

The workshop participants agreed that while multiple audiences needed to be targeted by the social accountability curriculum, the initial focus ought to be on public sector officials (at the local, state and national levels), to sensitize them to the importance of social accountability, and to raise awareness of the importance of partnering with the community to advance meaningful public policy and programs.

## Implementing the Recommendations from the Consultation: Partnering with Training Institutions for a Multifaceted Approach

WBI adopted a multifaceted, collaborative approach to implement the recommendations from the consultation. To start, WBI issued a call for proposals from recognized training institutions to develop knowledge products to contribute to the development of the social accountability curriculum in light of the priority areas and target demographics identified during the consultation. As indicated above, WBI leveraged resources to complement NTF support to develop further knowledge products which identify distinct lessons and global good practices that are salient to the South Asia context. Ultimately, proposals were selected from the following partner training institutions:

- *The Yashwantrao Chavan Academy of Development Administration (YASHADA)*: YASHADA was established in 1963 in Maharashtra as a training center for modern management and administration practices. It is also one of a few national training institutions on the Right to Information Legislation. Among other priorities, the mission of YASHADA is to “to promote modern management science as a major

instrument for development of economic and social activities of the... institutions and organizations of the State Government.” YASHADA typically trains approximately 50,000 people per year, including trainee groups of government officials and non-officials, executives of NGOs and members of academia. Approximately 1,200 institutional and off-campus training courses are conducted annually, including: induction courses for newly recruited or promoted state government officers; refresher and orientation courses for in-service government officers; and workshops, seminars and conferences on issues related to development administration for officers from various departments of the Central and State Governments, public sector undertakings and non-government organizations. YASHADA was selected because it was already a partner with WBI on an urban management program, and YASHADA had proposed integrating social accountability into its urban management program initially and then mainstream it across its various training programs for government officials. The institution additionally has significant scale and well-developed outreach to the target demographics of the social accountability curriculum, particularly among local, state and national government officials.

- *The Administrative Staff College of India (ASCI)*: ASCI was established in 1956 at the initiative of the government and the private sector as a college for practicing managers. The mission of ASCI is to “bring together men and women from all spheres of administration - private and public sector, industry and commerce and government service - to study the administrative problems which in one form or another are common to all organizations.” ASCI focuses on professionalizing management and offers structured training courses to develop strategic thinking, reformist leadership, and state-of-the-art skills among practicing

managers throughout the developing world. Approximately 75,000 participants from industry, government and non-government organizations have taken advantage of the more than 200 management development programs offered by ASCI every year, including training in urban governance and infrastructure development; management studies; poverty and rural development; innovation and technology; economics and finance; human development; and public policy, governance and performance. ASCI was selected because it, too, is a long-term partner of WBI. ASCI also collaborated with WBI to develop India's first urban certification program. The institution has significant scale and well-developed outreach to the target demographics of the social accountability curriculum, including local, state and national government officials, and ASCI proposed to integrate the SAC curriculum into its highly demanded urban management certificate program.

- *The Center for Good Governance (CGG):* The CGG was established by the Government of Andhra Pradesh in October 2001 to help facilitate the achievement of the statewide goal of 'transforming governance.' CGG was selected because it has already previously partnered with the World Bank to develop and host the South Asia Social Accountability Network (SASANET), an online platform which offers an extensive database of tools, best practices and case studies created to facilitate enhanced social accountability in governance. The platform was designed to raise awareness among government and members of civil society of the use of social accountability tools in the promotion of good governance. CGG is tasked with hosting the site for the broader purpose of developing a cadre of trainers able to support government and civil society to use these tools, as well as to assist them to pilot programs and identify good practices. CGG develops its own peer-reviewed content and has a solid reputation

among government and civil society as an effective training organization. Adding a module on social accountability in public procurement onto CGG's website allowed the program to add to the momentum of the presence CGG has already established, and to tap into its established and well-respected brand.

- *The Center for Studies in Public Administration and Government (Centro de Administração Pública e Governo - CEAPG):* CEAPG is part of the São Paulo Business School (Escola de Administração de Empresas de São Paulo), and operates under the auspices of the Getúlio Vargas Foundation (Fundação Getúlio Vargas). CEAPG developed and runs the Program for Public Management and Citizenship, which has compiled an open source database of more than 8,200 case studies of governance innovations between 1996 and 2005. CEAPG uses this database to develop networks to discuss issues across thematic areas, including governance; transparency and social control; local development and poverty reduction; public policies; and evaluation of actions and policies. These networks raise awareness of new, effective governance initiatives worldwide, including the application of assessment techniques developed to promote inclusive governance and civic engagement in public policy-making. CEAPG was selected because of its international reputation for developing and disseminating effective instruments to reduce poverty and social exclusion. Specifically, CEAPG hosts and maintains the Technological Incubator of Popular Co-ops, a social networking website to establish partnerships (or co-ops) among social accountability practitioners, government officials, and the general public which encourage the inclusion of the poor and vulnerable across thematic areas, including in public policy-making and procurement processes. The website further houses an open source, online platform which

provides the general public with access to a comprehensive database of research and case studies on local governance.

- *The Asia Foundation (TAF)*: TAF is a non-profit NGO which supports leadership and institutional development, exchanges, and policy research in Asia at the country and regional level. It is headquartered in San Francisco, and has offices across Asia, including in Afghanistan, Bangladesh, Cambodia, China, East Timor, Hong Kong, Indonesia, Japan, Korea, Malaysia, Mongolia, Nepal, Pakistan, Philippines, Sri Lanka, Thailand, and Vietnam. As of 2008, the Foundation disseminated educational materials, more than one million books, and other knowledge products throughout Asia. It further provided more than USD \$87 million in program support during in 2008, including on improving governance, law, and civil society; women's empowerment; economic reform and development; and international relations. The mission of the Foundation is to develop "a peaceful, prosperous, just, and open Asia-Pacific region." TAF was selected because it has extensive experience with and a strong reputation for piloting effective local governance activities. The World Bank has previously partnered with TAF to pilot a range of technical assistance activities on local governance in Asia, including supporting Afghanistan's election process, launching civic engagement activities for the poor and marginalized in Laos, and benchmarking corruption trends in Mongolia.

The selected proposals identified key knowledge gaps to be addressed through the proposed products, and the processes to be used to mainstream the knowledge products into ongoing training programs. Multi-layered peer review processes were next implemented for each knowledge product as they were being developed. The first layer was comprised of peer review processes institutionalized by the partner institutions themselves. For example, YASHADA undertook two peer review meetings attended by the target audience of the two manuals under development. During these meetings, public officials and NGO leaders respectively reviewed the content of the manuals and provided comments to better tailor the content to demand. ASCI likewise undertook peer review meetings with public officials, who were the target audience for the twelve case studies under development. CGG similarly undertook an online peer review by a large number of SASANET contributors and users.

WBI then convened working group meetings with several of the partner organizations during the development of their knowledge products. During these meetings, expert-practitioners from YASHADA, ASCI, and CGG presented information to WBI counterparts and several respected practitioners and received comments. They further examined overlaps and synergies among and between each institution's knowledge products in discussions with WBI counterparts, to explore how regional partnerships might be developed to wholesale knowledge and learning and develop centers of excellence.

# Knowledge Products Developed under Pilots Supported by the Norwegian Trust Fund and Complementary Funding Leveraged by WBI

Each of the knowledge products – were developed by training institutions and expert-practitioners using extensive outreach and analysis. Outreach included interviews and in some circumstances field studies with individuals, organizations, advocacy groups, training institutes, and government agencies undertaking projects and initiatives focusing on social accountability in public procurement. In terms of analysis, of the various initiatives identified, detailed information was collected on those examples which provide valuable, practical lessons about local or regional conditions and other motivating factors which have led to the development of particular tools to improve social accountability. The knowledge products then point to the lessons learned from these initiatives.

Additionally, the leaders of several of the knowledge products – Professor Nasrin Siddiqui (YASHADA); Professor Usha Reddi (ASCI); Professor V. Srinivas Chary (ASCI); Dr. Rajiv Sharma (CGG); and Mr. Satyajit Vagvala

(CGG) – shared their perspectives to provide further context on the projected uses of the knowledge products and the challenges they face in deploying these products effectively as training tools. The discussion that follows draws on interview these WBI partners, which were conducted in November 2009.

## Snapshots of Each Knowledge Product

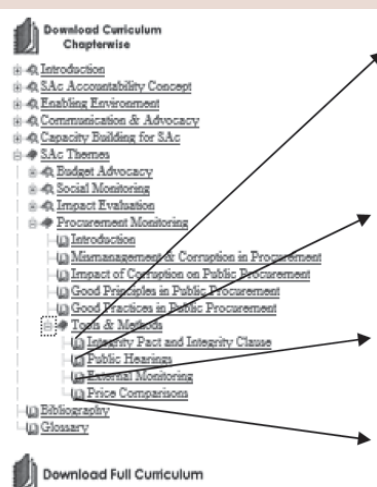
### Interactive Website: The “Social Accountability Curriculum” (CGG):

The “Social Accountability Curriculum” is an online platform developed by CGG. The platform is comprised of six main chapters, as well as a Bibliography and a Glossary. The scope of the curriculum is comprehensive, and the main chapter headings are:

- CHAPTER 1: Introduction;
- CHAPTER 2: Social Accountability Concept;

### Box 1: CGG website.

The website is comprised of portals which provide snapshots of topics and good practices on social accountability, including public procurement. For example, the Procurement Monitoring portal details and series of tools and methods used to promote social accountability:



**Integrity Pact:** details that pacts can be executed between parties to a public procurement contract which specify rights and obligations of those involved, including prohibitions on bribery and collusion, disclosure requirements for bidders, and levying sanctions for violations.

**Public Hearing:** explains that well-publicized, open public hearing can raise public awareness effectively and serve as a platform for public comment.

**External Monitoring:** explains different forms of civil society monitoring, emphasizes that monitors must be independent, and details selection criteria for monitors.

**Price Comparisons:** explains how to collect and publish price information to reduce gouging and shed light on corrupt practices.

- CHAPTER 3: Enabling Environment;
- CHAPTER 4: Communication & Advocacy;
- CHAPTER 5: Capacity Building for Social Accountability; and
- CHAPTER 6: Social Accountability Themes.

Each main chapter contains between one and eight sub-chapters which sign-post the subject matter. When the user clicks on the chapter or sub-chapter link, a new window opens containing the content of the curriculum. Each chapter and sub-chapter is generally between one and two pages long and is presented in an introductory format. The content of the curriculum does not use overly technical jargon.

The aim of the curriculum is to strengthen the capacities of social accountability practitioners and to help them apply their skills for improved policies, budget and procurement oversight, and better governance and service delivery. The SASANET website ([www.sasanet.org](http://www.sasanet.org)), maintained by the CGG, is the host website. The website indicates that the target audience of the curriculum is broad, including policy makers and other supply-side (local and national government) stakeholders, social accountability practitioners, civil society, and researchers; the content is accordingly geared toward users with limited or no familiarity with social accountability concepts.

CGG launched the website in March 2009 and has since embarked on an extensive outreach campaign to raise awareness of the platform and to solicit feedback on its content. Specifically, CGG leadership and staff have sent emails and written correspondence to more than 250 agencies of the Government of India, NGOs, CSOs, political parties and others to scale up usage which is occurring each day. The CGG has mobilized significant data on usage of its social accountability platform. Between March and November 2009, the website had more than 20,000 hits at approximately 10 to 15 clicks per user, with an average of 2.5 pages viewed per visit. Direct traffic (i.e. users looking for

the site) accounts for about 50% of total users, while indirect traffic (i.e. users who reach the site through a search engine) comprise about 35%, with the remainder accessing the site through links on websites of partner organizations or other avenues. Approximately 60% of users are first-time visitors to the platform and nearly 40% are revisiting it. Dr. Rajiv Sharma characterizes its reception by the CGG's target audience – civil society and NGOs in particular – as “good to excellent” and feels that platform access reflects a good balance of new and returning users. According to CGG research the majority of the platform's users are in India, but it has also been accessed across regions, including by users in the United States, Kenya, Bangladesh, the United Kingdom, Sri Lanka, the Philippines, Brazil, Tanzania, and Norway.

The ‘Procurement Monitoring’ sub-chapter of the curriculum under Main Chapter 6 (“Social Accountability Themes”) provides a digestible introduction to signs, types, and impacts of mismanagement and corruption in and on procurement processes. It thereafter identifies principles and good practices in public procurement, including the importance of:

- *Policies:* Robust policies are the first line of defense against corruption, including mandating transparency, accountability and the establishment of regulatory processes to detect and prevent corruption.
- *Sound Legal and Institutional Frameworks:* A comprehensive legal framework is necessary to guide the entire public procurement process, including legal and regulatory controls which define standard tender documents, guide authorities in assessing and processing tenders, clarify responsibilities up and down the procurement chain, and establish safeguards against and penalties for corruption;
- *Control Systems:* Independent internal and external control systems can enhance accountability and transparency in public

procurement by detecting and preventing corruption, and can include internal audits, financial risk analyses, management control systems, performance audits, and external financial audits;

- *Complaints and Review Mechanisms:* Complaints and appeal mechanisms provide participants in procurement processes, as well as the general public, the opportunity to voice concerns or bring violations to light, and should be established by clear rules to stem possible abuse;
- *Sanctions:* Effective, standardized sanctioning systems should be established to prevent and respond to instances of corruption in public procurement processes.
- *Professionalism/Training:* Public procurement officials should be well trained, including in the correct application of rules and procedures, the identification of corruption risks, and on the relationship between integrity and effectiveness.
- *E-Procurement:* E-Governance, including e-procurement, is an increasingly available option to increase transparency and efficiency in public procurement, as well as to lower costs and reduce transaction time.

The platform has provided an avenue to receive user feedback: the website's main page has a "Post it and Share" option, which allows users to comment on the platform's content as well as to share good practices in and lessons from social accountability work. However, this feature is not widely used and that CGG has relied primarily on outreach to pursue user feedback. To accomplish this outreach, CGG issues regular email updates and newsletters to more than 150 NGO's throughout South Asian countries.

In terms of the projected uses of the website in the mid- to long-term, CGG is looking to involve outside experts and practitioners for insights and inputs as it continues to refine the content. The website content (as it currently stands) is set out in

an elementary fashion to provide first-time users with an accessible introduction to the concept of social accountability, but that CGG plans to develop a parallel curriculum which provides a more advanced treatment of the content in the mid-to-long term, for the benefit of practitioners and experts. To improve on the multiplier effect of the platform's content; CGG is also considering having it translated into a small number of local languages, based on the availability of funds.

CGG is also planning to undertake another outreach campaign geared specifically toward universities and other academic institutions, to increase use of the platform and its content by mainstreaming the substance into courses for students and adult education. CGG further plans to develop new modules geared toward the impact of social accountability in practice areas including, for example, procurement, health, education, and more. This is a particularly valuable area for development for CGG, since the Government of India is increasingly incorporating social accountability tools into national-level activities; for example, CGG has been commissioned by the Ministry of Housing and Urban Poverty Alleviation to develop social accountability tools for government-sponsored activities in urban areas.

In the longer term, CGG plans to scale up usability of the platform beyond the South Asian context, including adding to or revising the platform's content to increase its relevance to users in other regions. Plans are also under way to partner with other social accountability organizations in South Asia and beyond, to share components of the curriculum and incorporate good practices, lessons learned and innovations from other regions, such as case studies on e-governance.

Dr. Sharma and Mr. Vagvala of CGG feel that with careful planning, the platform can be replicated. From inception to launch, the planning and development of the platform took between seven and eight months, which was followed by an intensive peer review process. Specifically, CGG convened two peer review workshops on the



platform's content, which was widely attended by representatives from social accountability NGOs, including representatives from ILA, CUTS-CART, NIRD (the National Institute of Rural Development), and other local organizations in Hyderabad. The substance of the comments arising from these workshops is being incorporated in the design and content of platform. For example, CGG will soon seek to develop practical examples or case studies of social accountability initiatives in particular sectors (starting, for example, with procurement monitoring, impact evaluation, and budget monitoring).

### **Manual #1: “Social Accountability in the Indian Context” (YASHADA):**

This 87-page manual was principally authored by Professor Nasrin Siddiqui at YASHADA. The manual is comprised of the following seven chapters, along with bibliographical end-notes:

- CHAPTER 1: Social Accountability – the Conceptual Framework;
- CHAPTER 2: Social Accountability – the Global Scenario;

- CHAPTER 3: The Indian Context for Social Accountability;
- CHAPTER 4: Citizen Initiatives in Social Accountability – Four Case Studies from India;
- CHAPTER 5: Government-Driven Supply-Side Social Accountability;
- CHAPTER 6: Legal, Judicial Framework for Social Accountability; and
- CHAPTER 7: Making Social Accountability a Reality.

The manual is intended for use in training of government officials initially in the state of Maharashtra. Accordingly, the manual sets out a comprehensive gloss on the general concept of social accountability, including definitions and principles, which it subsequently refines in light of recent social and policy developments in India. The chapters also describe the concept of demand-side accountability and anti-corruption strategies contextually, using four case studies in Chapter 4, between one and five pages in length.

### **Box 2: Social Accountability in the Indian Context**

The case studies comprise contextual summaries of social accountability initiatives, and point to lessons which might be gleaned by readers. For example, the Bhagidari case study is set out to express the following lessons:

*Bhagidari.* Bhagidari is a state initiative to promote broad-based civic participation in local governance (*bhagidari* translates to mean “people partnership” in Hindi). The broad goal of Bhagidari is to facilitate “greater transparency and accountability in administration... [to improve] the quality, efficiency and delivery of public services” (Siddiqui 2009). This program facilitated increased public awareness of the concept of social accountability. From Bhagidari emerged the ‘My Delhi – I Care’ initiative, which provided a further rationale for social accountability across sectors, including in public procurement, and emphasized the importance of citizen-government partnership to respond to public concern. Under ‘My Delhi – I Care’ broad consultations were held with various civil society organizations, such as the Resident Welfare Associations, the Market and Traders Associations, and with agencies of the Municipal Corporation of Delhi, such as the Delhi Development Authority, the New Delhi Municipal Council, the Delhi Vidyut Board, the Delhi Jal Board and the Delhi Police. Partnerships were established between civil society and these and other government agencies under Bhagidari, which has grown from twenty to more than 1,600 citizen groups representing more than three million people in the last ten years.

Each of these case studies describes a social accountability initiative in Maharashtra, India, through the prism of:

- Social Accountability Advocacy (*The Case of Anna Hazare* on page 39);
- Budget Advocacy (*The DISHA Initiative* on page 41);
- Empowerment in Urban Governance (*Advanced Locality Management* on page 43); and
- Citizen-Government Partnerships (*The Bhagidari System* on page 47).

The manual also substantiates the challenges to social accountability in India by pointing to further authoritative analysis, including by Transparency International and UNDP, which demonstrate that while India has achieved much as a democracy it can nevertheless be described as an environment that “lack[s] ... respect for social accountability and the rule of law” (Siddiqui, et al 2009). By detailing challenges in the enabling environment, including corruption, inefficient bureaucracy, and low public confidence in government, the manual addresses issues felt across the South Asia region.

There is great interest in deploying the manual, or components of it, in YASHADA training programs. Specifically, in December 2009 YASHADA plans to launch a pilot program which deploys the manual in a 5-day training program which will target group will be mid-career officials in regulatory sectors, such as the IAS, Indian police, and other parts of government peopled with local-level unelected officials where social accountability mechanisms and expectations are in large measure absent.

YASHADA also plans to pilot the manual in a training module in one of its 3-day ‘foundation programs’ which targets new members of the local and state-level bureaucracy in the near-to-mid term, in an effort to alter perceptions about power and discretion early in officials’ careers, to emphasize the importance of fair dealing

and accountability to the public. Professor Siddiqui has noticed that new (in many cases younger) members of the Indian bureaucracy have personal views that comport with these approaches to government and procurement, and may be more inclined to put them into practice than mid-career officials. YASHADA intends to modify both products iteratively, based on feedback from participants in both the pilot program and the ‘foundation program’ in an effort to keep the content relevant.

In the mid-to-long term, YASHADA plans to expand its already extensive reach to train broader segments of government officials from both rural and urban areas since India is facing increasing pressure to develop, improve, or reform its national and local-level procurement environment and infrastructure as a result of broad FDI. YASHADA might translate the manual from English into at least two local languages as a start, to better communicate key social accountability and procurement lessons to district functionaries and local representatives. YASHADA is additionally planning to develop more training modules for rural communities under a Center for Citizens’ Empowerment, which might rely on the manual as a training tool, and it may eventually deploy the manual on a pan-Indian basis.

## **Manual #2: “Enhanced Transparency in Procurement through Voluntary Disclosure under the [Right to Information] Act (2005)” (YASHADA):**

This 145-page manual was principally authored by Mrs Kishori Gadre of YASHADA. The manual identifies not only government officials as a key target audience, but also bidders and the public at large. The manual is accordingly comprised of the seven chapters, along with bibliographical references and a 79-page booklet comprised of ten annexures to provide as comprehensive an analysis as possible to a wide audience. These chapters include:

- CHAPTER 1: Introduction;

- CHAPTER 2: The Approach;
- CHAPTER 3: Right to Information and Other Vigilance Mechanisms;
- CHAPTER 4: Basis of the Study;
- CHAPTER 5: Analysis of Procurement;
- CHAPTER 6: Stage-Wise Analysis of Procurement; and
- CHAPTER 7: Recommendations.

Chapters 1 through 4 set out a comprehensive summary and analysis of the Right to Information (RTI) Act (2005) as a social accountability tool to empower citizens of India. Specifically, Chapters 1 through 3 begin by setting out the legal framework which governs public procurement in India, which is further supported by the promulgation of the RTI Act. Chapter 4 next explains that procurement processes are still quite vulnerable to corruption and provides a snapshot of tools which have decreased graft, such as e-governance, though it cautions that there must be fundamental changes to the enabling environment in India and broad understanding of the value of the concept of social accountability before sustainable progress might be made. Chapter 4 then posits that the RTI Act is a step in the right direction because it creates the space for civil society to become engaged in public procurement processes, including pressing for improved accountability of public agencies and increased transparency of public spending in India.

Chapter 5 provides a detailed analysis of the usefulness of the RTI Act in the public procurement context. This chapter details public procurement processes required under the Act. To develop this chapter, the manual's principle author and her team studied and evaluated procurement processes of various service delivery agencies at state and local levels of government in Maharashtra, including public works, water supply and drainage, road development, transport, telecommunications, housing (urban sector),

and public health. This included visits to these agencies to study the effectiveness of different types of transactions, including procurement of goods, works contracts, service contracts, rate contracts, public/private partnership contracts, and consultancy contracts, as well as to observe and compare decision-making criteria against each agency's standard operating procedures. The team further studied right to information initiatives, including e-governance pilots, which have been launched by the governments of Andhra Pradesh, Chattisgarh, Assam, Karnataka, and Maharashtra, as well as monitoring activities implemented by several NGOs, such as Parivartan, Open Space, and Sajag Nagrik Manch.

Chapter 6 summarizes the comprehensive list of social accountability tools the principle author observed in use at the local and state levels in Maharashtra related to the four stages of public procurement: planning; pre-tender; tender; and execution, with remarks on effective processes, as well as gaps in effectiveness.

Chapter 7 sets out a series of recommendations to scale up transparency and accountability in procurement processes in Maharashtra and close the gap between actual practice and the standards articulated in the RTI Act. The recommendations include:

- *Disseminate Disclosure Rules:* Instructions governing which types of documentation may be disclosed needs to be updated throughout the state, and procurement officers should be provided with checklists which detail these updated disclosure rules;
- *Deploy E-Governance Tools:* E-procurement in particular should be scaled up at both local and state levels of government since it is an effective (and cost effective) way to manage procurement processes from planning to execution;
- *Enhance Accountability of Procurement Officials:* Powers, duties and accountability

mechanisms of all procurement officers and consultants should be disclosed and made accessible by the public;

- *Fully Disclose Public Works Information:* Information related to public works projects, including the scope of and need for the project, an accounting of the cost, and a calendar detailing the delivery schedule should be disclosed and made accessible by the public;
- *Develop a Citizen's Guide:* A uniform 'citizens guide' or primer should be developed on the procedures and norms governing the procurement process in general, including introductory material on document terminology and the 'what,' 'when,' 'where,' and 'how' of accessing disclosed documents, including how to access project particulars and acts, rules, Government Resolutions (GRs), circulars and traditions, and evaluation criteria; and
- *Disseminate Procurement Steps:* All steps in the bidding process for public procurement contracts should be disclosed and easily accessible, including proceedings of pre-tender meetings; summaries of technical and financial bids; summaries of negotiations with the lowest bidder; the minutes of any procurement committee meetings related to acceptance or rejection of a demo or tender; any special conditions progress report (which detail quality requirements of material,

### **Box 3: Enhanced Transparency in Procurement through Voluntary Disclosure under the Right to Information Act 2005.**

The manual distills complex components of India's RTI Act (2005) into digestible summaries. For example, the manual summarizes the legal frameworks which govern public procurement in India using non-technical language, and explains how these frameworks are supported by the promulgation of the RTI Act:

*Public Procurement.* The manual begins by pointing out that while there is no law in India which exclusively governs public procurement, the Indian Contract Act (1872) and the Sale of Goods Act (1930) clarify standards and the General Financial Rules (GFR) (2005) provides a regulatory framework. The manual explains this framework and cautions that procurement processes are vulnerable to corruption, and so provides a snapshot of social accountability tools which have effectively decreased graft at the local and national levels.

*Mandatory Government Disclosures.* The manual next provides a detailed break-down of the RTI Act itself. For example, it explains that Section 4 of the Act establishes a legal-institutional, rights-based framework for mandatory disclosure by government of certain information to the public within a specified period. Section 4 also urges all branches of government to adopt social accountability tools, such as computerization of records, to better enable citizens to access disclosed information. Section 6 of the Act vests all citizens of India (except the population of Jammu and Kashmir), with the right to information and empowers them to have access to, inspect, and possess copies a wide range of government documents with certain exceptions (specified under Sections 8 and 9 of the Act).

*Information Delivery.* The manual then explains that the RTI Act establishes mechanisms to deliver disclosed information; it provides for the appointment of Public Information Officers within public authorities and mandates the appointment of Information Commissioners to inquire into complaints, hear appeals, and guide the implementation of the Act. These Information Commissions are empowered to levy penalties, recommend disciplinary proceedings against officers who fail to execute their responsibilities properly, and award damages and compensation to the wronged.

manpower, outcome, and conditions for payment); and the schedule of inspections expected during procurement process.

Overall, the manual has value as a training tool in general, and particularly throughout India since various local and national government initiatives explicitly require government procurement officials to have a broad understanding of the RTI Act (2005) to implement programs, such as the National Rural Employment Guarantee Act (NREGA) and the Andhra Pradesh Rural Employment Guarantee Scheme (APREGS).

YASHADA plans to pilot this manual as well in a training module in one of its 3-day ‘foundation programs.’ In the mid-to-long term, it might additionally translate the manual from English into one or more local languages, and may integrate the manual, or components of it, into training modules currently it plans to develop under a Center for Citizens’ Empowerment.

According to Professor Siddiqui of YASHADA, voter priorities in India are changing in that national elections are increasingly won or lost on governance issues and as a result, there is increased awareness of and need for social accountability training, particularly in public procurement. She has cautioned that social accountability initiatives cannot be imposed onto Indian communities, but rather they should be driven by local and national government since broad sections of the public in India cannot be accurately described to be empowered, and so demand for social accountability is absent across states. YASHADA accordingly plans to deploy this manual in an effort to help facilitate a government-supplied approach to social accountability.

### **Report featuring twelve case studies from South Asia: “Social Accountability in Urban Governance: Indian Case Studies” (ASCI):**

This 94-page report was principally authored by Professor Usha Reddi of ASCI. The report states

that it is targeted at both primary and secondary target audiences. Primary targets include policy makers; city and procurement officials; social development experts; and training and academic institutions. Secondary targets include officers of the Indian Administrative Service; and private sector representatives.

In the report’s introduction, it sets out a general conceptual framework for social accountability, and identifies entry points and good practices in the public procurement context in India. The introduction also discusses the characteristics of an enabling environment for social accountability, and the benefits which might be realized by both the society and the state.

The key features of the report are twelve social accountability case studies from across India, each of which is between five and nine pages long, which detail initiatives in urban, peri-urban, and rural settings. The case studies look at how the initiative was formulated, implemented and monitored, and also summarize the impacts. Each provides a glimpse of the enabling environment which facilitated the development of particular social accountability tools; an explanation of tools used to make the initiative successful; and an account of how the tool has been institutionalized to promote sustainability. The case studies additionally point out factors which did not contribute to the sustainability of certain initiatives, and examines key issues and challenges faced by both government and stakeholders who contributed or challenged the initiative. The case studies include:

- CHAPTER 1: Citizen Report Card: Bangalore and Beyond (Karnataka);
- CHAPTER 2: Bhagidhari: ‘Citizen-Government Partnership’ (Maharashtra);
- CHAPTER 3: Public Records of Operations and Finance (PROOF) (Maharashtra);
- CHAPTER 4: Participatory Budget of Pune City Corporation (Maharashtra);
- CHAPTER 5: Sarva Shiksha Abiyan in Kolhapur (Maharashtra);

- CHAPTER 6: National Rural Employment Guarantee Act (NREGA) (Andhra Pradesh);
  - CHAPTER 7: NREGA (Rajasthan);
  - CHAPTER 8: An Evaluation of MDMS, CUTS (Rajasthan);
  - CHAPTER 9: Testing the Potential of RTI Act as a SAc tool (Rajasthan);
  - CHAPTER 10: E-procurement (Andhra Pradesh);
  - CHAPTER 11: Lokvani Initiative (Uttar Pradesh); and
  - CHAPTER 12: Versatile Online Information for Citizen Empowerment (Andhra Pradesh).
- At the conclusion of each case study, the report

#### **Box 4: Social Accountability in Urban Governance: Indian Case Studies**

The case studies comprise contextual summaries of social accountability initiatives, and point out the utility of each tool for broader implementation. For example, the “Citizen Report Card: Bangalore and Beyond” case study describes a public watchdog campaign which achieved some success in pressing local urban government to disclose quarterly financial statements for public scrutiny:

*Citizen Report Card: Bangalore and Beyond:* in 1993, the Public Affairs Center (PAC), a small civil society NGO in Bangalore, convened a series of public discussions of service delivery in the city and found broad public agreement that improvements needed to be undertaken by local government. PAC thereafter launched the Bangalore Citizen Report Card on Public Services, a survey of local households to gather feedback on the types of problems they experienced with public services. Structured questionnaires were designed for field interviews; questions included:

- How satisfactory are the public services from the user’s perspective?
- What aspects of the services were satisfactory and what were not?
- What were the direct and indirect costs incurred by the users for these services?

Marketing and Business Associates, a market research firm, carried out the survey itself. The survey covered approximately 1200 randomly selected middle and low-income households, using separate, contextualized questionnaires for each demographic.

Three citizen report card surveys were held to track public opinion and progress of improvements to service delivery over time. The first report card (in 1994) revealed relatively uniform public disapproval of Bangalore’s public service delivery. The second (in 1999), revealed partial improvements in public satisfaction with the seven service providers covered. The third (in 2003) indicated further improvements in Bangalore’s delivery of public services. Respondent satisfaction with the service providers covered significantly improved. For example, respondent satisfaction with the Bangalore Water Supply and Sewerage Board increased to 73%. However, respondents did indicate that there remained room for improvements to enhance the quality of services.

In terms of impact, the results yielded by the Citizen Report Cards helped to inform service providers of problems encountered by service users. For example, the Bangalore Municipal Corporation instituted property tax reforms to improve transparency and reduce corruption, such as loss of revenue from graft. Likewise, the Karnataka Electricity Board and the Bangalore Water Supply and Sanitation Board instituted reforms to respond to complaints of over-billing.

provides two sections to promote active learning: an “Issues to Reflect” section and a series of exercise questions. These sections are designed to enable readers to consider what they have read, test themselves, and draw their own conclusions about the social accountability tool’s practicality and potential for replication. Moreover, in the final chapter entitled “Notes for Trainers,” the report provides guidance for instructors and other users of the report on how to structure short and long training sessions, and provides talking points. The report specifies that the purpose of these notes is to align trainers’ perspectives with the authors’ and to provide some guidelines on different ways in which the cases can be used. While these notes are not prescriptive, they provide instructions on deploying the case studies as part of a learning program.

The report indicates that it will be subject to further iterative peer review and subsequently used in several training programs developed and delivered by ASCI, starting with the Certificate Program in Urban Management. It further states that ASCI intends to integrate the social accountability into the content of several of its executive leadership programs, including the development of an online platform to deliver both real-time training and web-based modules to scale up delivery among a larger cohort of government officials.

Professor Reddi of ASCI notes that NGOs in India which emphasize the importance of social accountability in government services have been met with significant resistance from government officials, and as a result it has been difficult to persuade government officials to improve public procurement. ASCI’s approach when it developed the report was to mobilize research and conduct case studies of supply-side initiatives where government itself has attempted to bring in social accountability through civic engagement or where government has otherwise partnered with citizens to promote social accountability.

To do so, ASCI partnered with the Government of India’s Department of Administrative Reforms

and Public Grievances to mobilize research on case studies which evince good practices in governance and public procurement to implement the prestigious Prime Minister’s Awards for Excellence in Public Administration. As a result, ASCI amassed a significant amount of data on social accountability initiatives launch by the government. After a comprehensive review of this data, twenty-five supply-side case studies were selected for further review. ASCI staff contacted representatives for these initiatives to achieve a better understanding of the lessons that might be learned from each. From there, ASCI narrowed the cases down to twelve, which are currently featured in the final product, and which represent urban and peri-urban initiatives where government officials are actively engaged. ASCI sought to provide an accurate snapshot of public procurement social accountability initiatives, so as not to “paint too good to too bad a picture”; ASCI further provided cases which demonstrate sustainability, as well as cases which do not. The goal of this approach has been to encourage government officials to reflect on the value of these supply-driven approaches.

In terms of the projected use of the report, the report might be integrated into a ten-day ASCI course on urban governance management taught by Professor V. Srinivas Chary. The course targets mid-career government officials (twenty-five participants per course) and awards a certificate to participants who successfully complete it. Two courses are convened per year for a total of fifty participants annually. ASCI’s goal is integrate the content of the report into the course by spending one full day of the ten-day course on social accountability and public procurement, with an emphasis on using the case studies. ASCI will subsequently request feedback from course participants and will strive to make the cases even more accessible, perhaps by distilling the key background details, good practices and takeaways into a more digestible format. On the longer term, ASCI may seek to develop a more in-depth three-day

course focused solely on social accountability and public procurement, which could also use the case studies instructively. ASCI is also interested in developing an online learning platform around the case studies to facilitate wider dissemination, to add onto the multiplier effects of the fifty participants per year in Professor Chary's course.

ASCI is moving away from a 'wholesaling' knowledge and learning approach in favor of a more retail-oriented one in light of the particularized needs by urban managers for social accountability training across sectors throughout India, which is itself a response to the sweeping state and national reform agenda. While the case studies in the report have not yet been fully mainstreamed into Professor Chary's certificate program, they were used modestly as part of a learning module in October 2009, and the response from the participants was positive. Professor Chary plans to highlight the cases as the primary topic of a two or three-day module in a certification program he is scheduled to teach from December 14 to 25, 2009. This module will focus on the urban case studies, and isolate good practices and lessons in social accountability. Over time, ASCI may further seek to convert the case studies into an e-learning project as well.

In the longer term, ASCI will seek to partner with the Government of India to deploy the case studies as learning modules in several government-sponsored initiatives related to the promulgation of national community participation legislation, additional public disclosure legislation, and the establishment of a community participation fund. In light of steady improvements in the enabling environment for social accountability in India, ASCI plans to pursue further partnerships with the Government of India over time, particular relating to the government's flagship urban development program, the Jawaharlal Nehru National Urban Renewal Mission (JNNURM), which is supporting sixty-five urban governments to institute social accountability training across the country.

### **Report featuring four case studies from Brazil: "Citizen Engagement and Social Accountability: the Changing Face of Subnational Democracy in Brazil" (CEAPG):**

This 61-page report was principally authored by Professors Peter Spink and Marco Antonio Teixeira of CEAPG. The report is comprised of an introduction, four case studies, and concluding remarks. The case studies are each between eight and ten pages long and examine the following four social accountability tools and approaches in Brazil:

- "Building Bridges: the Pernambuco State Accounting Tribunal" describes why political will by state institutions is important for community participation in public spending;
- "Community Managed Water and Sanitation Services For Rural Villages" demonstrates how 'learning by doing' and transparent accounting can create a basis for community empowerment and ownership of a key resource;
- "Building a Formal Economy with Transparency and Community Supervision" demonstrates how a community was able to bring about a significant shift in the use of public funds by collectively assuming the responsibility for "changing the frame" of local development; and
- "Participatory Budgets: from Setting Priorities to Social Control" demonstrates how a second-generation participatory budget has spurred the development of citizen-driven approaches to participate in fiscal policy decisions by government, oversee public works procurement processes, and confront endemic to the community, such as cronyism and corruption.

The target audiences of the report include training institutions, government, and the public at large. The social accountability initiatives discussed in each case run parallel to initiatives detailed in the



other knowledge products described in this report. These parallel initiatives include: budgets; policy-making and planning; public goods and services; expenditures; public oversight and monitoring. The report further explains that while there is not necessarily a “one size fits all” approach to social accountability in Brazil’s procurement context, the tools described in the cases are relatively standard and have nevertheless been effective.

Under each case study, the report examines the enabling environment for social accountability, identifies trends, points to measurable impacts,

and spells out key lessons to be learned. It further provides ‘how-to’ advice on replicating some approaches and tools used in the case studies, such as detailing operating costs, improving impacts by developing civil society-government relationships and widespread community organizations to act as watchdogs, and scaling up leadership skills at the grassroots level.

The case studies are presented in an introductory fashion and do not use technical jargon. The report emphasizes that many of the most effective approaches to scale up social accountability in

### **Box 5: Changing Face of Subnational Democracy in Brazil.**

The case studies are presented in narrative fashion, to provide readers with contextual understandings of social accountability in public procurement. The case study on Vitoria da Conquista, a municipality of some 300,000 inhabitants in Bahia, is a good example of the narrative style of the report and how each case study provides a practical gloss on the evolution of participatory budgeting processes within a community:

*Vitoria da Conquista:* In 1997, the newly elected government of Vitoria da Conquista launched efforts to make good on its campaign promises to scale up public participation in municipal financial decisions. This process started with discussions with business, commerce and civic associations to achieve consensus on tax regimes, and the government agreed to send monthly financial statements to members of the public, including representatives of civil society organizations and private industry, and to solicit input. This approach soon developed into real-time participatory budget meetings, which at the early stages focused heavily on local taxation and improving the efficiency of tax collections. Subsequent debates were convened, in which the public requested adjustments to tax calculation protocols for land and home ownership (IPTU).

Eventually, district-based delegates from both urban and rural areas were chosen. Next, delegates were selected to represent particular thematic areas (municipal workers; social work; public health; culture; agriculture; social movements; alternative economic development; sports and leisure; and education). These delegates convened meetings with government counterparts and not only discussed priorities with government counterparts but also, for example, visited sites of government works projects for discussions with developers.

Public requests in the budgeting and procurement contexts were increasingly taken up by government so that in the subsequent year, government was able to successfully respond to some 80% of public priorities. However, by 2000 a backlog had accumulated, which took some time to rectify. A number of reforms were thereafter instituted to protect against a similar problem and more delegates were elected (the total rose from 222 to 476). The post of Participatory Budget Coordinator was reformed and became an elected, rather than appointed, post. The report indicates that these participatory processes continue to evolve as broader segments of the public become increasingly engaged.

### **Box 6: The Asia Foundation Social Accountability Curriculum.**

The curriculum includes practical instructions for trainers on how to integrate the case studies and the PowerPoint slides into either a 'brief' or 'longer' training course on social accountability. These instructions include:

*Brief Training Course:* the following steps are recommended:

- A subject matter expert (such as a local government official) should present the case studies;
- Use the PowerPoint slides and other visual aids to make the practical examples in the case studies accessible.
- Presentations should be followed by questions and answer sessions so participants may clarify issues and enhance their understanding; and
- Trainer/moderator should ask probing questions to highlight lessons and key take-aways from the case studies.

*Longer Training Course:* the following steps are recommended:

- Participants should be formed into focus groups (six per group), keeping a balance in diversity (i.e. gender, and a mixture of experience);
- Copies of the case studies should be distributed; the group should read them before commencing a discussion. Questions are encouraged at this stage to get clarity and better understanding of the case material;
- Commence group discussion;
- Trainer/facilitator should pose in-depth 'focus questions' (and hand out worksheets with space to respond);
- Groups engage in follow-up discussions, to enable them to identify and assimilate the social accountability lessons from the case studies;
- Members of the small groups should be expected to 1) outline the purpose of the case study and demonstrate they can apply social accountability concepts in realistic situations; 2) demonstrate their ability to relate the analysis to the "big picture" of local governance in specific local and country contexts, as well as to particular issues in their own communities; 3) consider how social accountability tools and approaches in each case study might be tailored to meet needs in their communities; and 3) see that social accountability tools can yield constructive outcomes;
- Small groups should next prepare a brief presentation;
- Trainer/facilitator should guide the presentations and repeat insights from the group salient to the case studies' social accountability lessons.

public procurement were small when they were launched by civil society. The report concludes with a final piece of advice to readers: "don't

worry about the big picture, pick up a bit and begin" (Spink and Teixeira 2009).

## **A curriculum on social accountability and local governance in Sri Lanka (TAF):**

This curriculum is comprised of the following six main learning modules

- MODULE 1: Conceptual Understanding of Social Accountability;
- MODULE 2: The Enabling Environment for Social Accountability;
- MODULE 3: Bringing Social Accountability to Sri Lankan Local Authorities;
- MODULE 4: Strategic Communication and Information;
- MODULE 5: Performance Monitoring; and
- MODULE 6: Impact Evaluation.

The scope of the curriculum is comprehensive; each main learning module contains between four and thirty-five sub-modules which sign-post the curriculum's topic areas. These modules are complemented by six PowerPoint presentations (one per main learning module) which are between eleven and sixty-five slides long, and which provide brief summaries of the content of each learning module. The curriculum further contains twenty-one case studies of social accountability approaches and tools at the local government level in Sri Lanka. These case studies are presented as either written analyses or video documentaries and focus on the enabling environment for social accountability, good practices in local-level governance, and impacts of tools. They also identify lessons to be derived and provide hints about how positive outcomes of planning, budgeting, management, service delivery, and citizen participation might be replicated in different regional contexts. The case studies include materials and lesson from urban and rural locations in Sri Lanka on, among other issues:

- Promoting Civic Participation in Local Village Development;
- Participatory Budgeting and Collaborative

Fiscal Planning;

- Sustaining Effective Citizen Participation;
- Budget Advocacy and Monitoring Techniques;
- Social Audits and Public Procurement;
- Civic Engagement of Government on Road Maintenance;
- Civic Engagement of Government on Water Supply Issues;
- Civic Engagement of Government on Post-Disaster Management;
- Institutionalizing Grievance and Response Mechanisms at the Local Government Level; and
- Developing a Citizen's Charter.

The target audience of the curriculum is primarily training institutions; the curriculum includes a brief note entitled, "The Social Accountability (SAC) Curriculum - How to Use the Case Studies," which sets out two detailed models for trainers of both brief courses (comprising one or two days) and longer courses (comprising three or more days). These models provide advice on small group activities, the kind of expert who should present the case studies, the use of focus questions to promote thoughtful discussions, and other activities which allow students or trainees to demonstrate what they have learned.

### **A series of eight global case studies:**

WBI commissioned eight cross-regional case studies, which are between six and nine pages long each. The target audiences of the case studies include training institutions and government officials. The case studies examine the following social accountability tools and approaches in the following countries:

- **Argentina:** Poder Ciudadano ("Civic Engagement"), an NGO, inaugurated the Program for Transparent Contracting in the city of Morón, Buenos Aires to increase the transparency of local government procurement and scale up civic participation in procurement-related decisions.

- **Mexico:** Fundar, an independent CSO, has launched a series of pilot activities designed to increase public access to government budget information. Fundar also leverages national freedom of information laws to monitor national-level government procurement and expenditures, and provides government with feedback to influence expenditures on HIV/AIDS research and treatment.
- **Pakistan:** The Greater Karachi Water Supply Scheme (K-III) operates under the auspices of the City of Karachi's 13-point Program for Economic Revival of Karachi and seeks to improve water supply and service delivery. To implement K-III, Transparency International (TI) Pakistan and the Karachi Water and Sewerage Board (KW&SB) launched an 'integrity pact' to improve transparency of procurement for local water service delivery and to otherwise promote good governance in Karachi's water sector.
- **Philippines:** Government Watch (G-Watch), an NGO which operates under the auspices of School of Government at Ateneo University, develops and tests social accountability tools to monitor delivery of basic government services, including the implementation of Textbook Count, the national textbook delivery program. This includes integrating participatory mechanisms into Textbook Count and monitoring the production and delivery of textbooks to 40,000 elementary schools throughout the country in three phases: procurement, printing, and distribution.
- **Philippines:** Procurement Watch Incorporated (PWI), an NGO, seeks to increase public oversight of national-level government procurement by using print, radio, and TV media to raise the news profile of corruption in government procurement, as well as by engaging civil society groups to rally public support. PWI has developed 'public bidding checklists' which facilitate its monitoring practices.
- **Philippines:** The Naga City government institutionalized the Productivity Improvement Program (PIP) and more recently the i-Governance program to scale up civic engagement in local government decision-making by increasing access to procurement-related and service delivery information, as well as to improve local government service delivery by orienting practices more to meet public demand. The PIP additionally increased the transparency of procurement-related and service delivery information.
- **South Africa:** Public Service Accountability Monitor (PSAM), an NGO, operates under the auspices of the Center for Social Accountability (CSA), an independent institute affiliated with Rhodes University. PSAM promotes a rights-based approach to social accountability and seeks to achieve the realization of social and economic rights by monitoring local government procurement and service delivery in the Eastern Cape.
- **South Korea:** the Online Procedures Enhancement for Civil Applications (OPEN) system was institutionalized by the Seoul Metropolitan Government to improve transparency of local government procurement and other decisions by scaling up access to local government information related to public services, civil permits, and licenses. This information is publicly available online, without charge.

## Unpacking the Knowledge Products: A Snapshot of the Lessons Presented

The knowledge products developed under the Procurement Monitoring and Accountability Curriculum Development program detail social accountability tools and approaches driven by government, by civil society, or both. They present practical models for knowledge exchanges, multi-stakeholder dialogues, policy

debates, field visits, and awareness-raising activities for civil society organizations, local and national leadership, and practitioners to build consensus and coalitions for social accountability in public procurement.

Government-driven social accountability efforts might include strict compliance with legislation which drives social accountability, such as India's RTI Act (2005), by proactively publicizing and disseminating information, and otherwise responding to information requests as the law requires, such as the Online Procedures Enhancement for Civil Applications (OPEN) system institutionalized by the Seoul Metropolitan Government, South Korea (a global case study commissioned by WBI) and otherwise detailed in the manual on the RTI Act 2005 (a YASHADA knowledge product). Other government-driven activities might include proactive disclosures of procurement information, such as service delivery budgets, service types, delivery schedules, benefits and procedures, at government-convened town hall meetings to facilitate public discussions and create opportunities for community members to voice concerns, such as the Productivity Improvement Program launched in Naga City, Philippines (a global case study commissioned by WBI), or the Gramastha Din project launched by the state government of Maharashtra, India (a YASHADA case study) and the Bhagidari Program in Delhi, India (a YASHADA case study).

Civil society-driven social accountability efforts might include community-based social audits, where affected people in rural or urban areas mobilize themselves to demand information, such as procurement budgets, under the auspices of RTI legislation to research any discrepancies between proposed and actual spending and convene public debates to hold government officials accountable, such as the DISHA initiative (a YASHADA case study). Civil society organizations might additionally launch participatory budgeting activities by convening members of the public and government officials

to discuss public service delivery needs and allocate funds accordingly, such as the Pune Participatory Budgeting initiative (an ASCI case study), as well as the iterative process undertaken in Vitoria da Conquista, Brazil (a CEAPG case study). Civil society might additionally deploy social accountability tools such as citizen report cards, community score cards, and participatory expenditure tracking surveys to ascertain public priorities in the service delivery context, such as the initiative to implement NREGA in Rajasthan, India (an ASCI case study).

There are also intermediate models, or those which combine efforts driven by both government and civil society as well, such as the establishment of Mohalla Committees (a YASHADA case study) and Advanced Locality Management groups (a YASHADA case study). A further model demonstrates that social accountability reforms can be achieved not by civil society in the first instance, but through the efforts of a high visibility advocate, such as the case of Anna Hazare in the village of Ralegan Siddhi, India (a YASHADA case study).

Practical training materials can promote use and awareness of these government-driven, civil society-driven, and intermediate social accountability tools and approaches across regions. For example, the CGG website presents both context-neutral summaries of key social accountability concepts and practical case examples of how tools have been implemented and approaches have been undertaken in the Indian context, which have instructive value in the broader South Asia context as well as globally. Similarly, the curriculum on social accountability and local governance (the The Asia Foundation knowledge product) provides a series of case studies on local level social accountability initiatives in Sri Lanka, and includes instructions for trainers on how to encourage trainees to maximize their ability to replicate successful initiatives.

Overall, the knowledge products demonstrate that strong mechanisms can be established effectively

either by government or civil society to promote accountability up and down the service delivery chain, between policymakers who allocate procurement resources, providers responsible for delivering the public services, and the public end-users, including poor and middle-income households, to improve procurement processes and service delivery outcomes. The products also show how and why civic empowerment is a key starting point for scaling up social accountability. Transparency and RTI regimes in the enabling environment are also important drivers, including scaling up or institutionalizing proactive public engagement and participation in the formulation of public policies in the preparation of budgets;

scaling up citizens' ability to hold government accountable for how it actually allocated public monies after budgets have been devised, such as by public expenditure tracking surveys, social audits, and public hearings; and other efforts to improve public oversight and continued monitoring, such as by independent citizen oversight committees or watchdog groups. Outcomes of these social accountability initiatives have included decreases in waste of public resources, instances of corruption (particularly as a result of technological advancements, such as e-procurement), improvement in efficiency of service delivery, and responses to local needs and conditions.

# Next Steps

The World Bank and ANSA-SA have jointly organized a South Asia regional workshop on the theme “Strengthening Citizen Engagement in Procurement: Reviewing Experiences, Identifying Challenges and Exploring Opportunities.” The workshop will bring together participants from Bangladesh, India, Pakistan and Sri Lanka representing a wide cross section of stakeholders, including policy-makers, civil society practitioners, media, donors, private sector, World Bank staff and international resource persons from Latin America and East Asia.

As part of its larger portfolio, ANSA-South Asia will collaborate with partners to carry forward the dissemination of lessons and knowledge from the pilots and the resultant range of knowledge products to different stakeholders, such as local governments, procurement agencies, regulatory bodies, training institutions and civil society organizations, to promote further action in the South Asia region. ANSA-South Asia will also work to achieve the following priorities:

- Understand the state of play in civic engagement in public procurement in the region and discuss the challenge of developing civic engagement in procurement, with a focus on mechanisms of engagement, institution building strategies and partnership with governments;
  - Assess the specific challenges of local level procurement, and the specific opportunities for civic engagement, drawing on the experiences emerging from the NTF supported project in South Asia and other regional and global experiences;
  - Discuss salient insights and learning from various initiatives and experiences;
  - Identify potential areas/themes/gaps for sustaining civic engagement in procurement related work; and
  - Develop a community of practice of key stakeholders in the Region to strengthen and sustain further action in this area and connecting this Community of Practice to similar initiatives in other regions.
- ANSA-South Asia will additionally work to build citizen engagement in public procurement during the next three years. Specifically, ANSA-South Asia will pursue the following key strategies:
- Advancing the knowledge in themes related to procurement (case studies, fellowships). The emphasis here will be to commission research and documentation interventions to deepen our understanding of procurement processes, assess vulnerabilities and risks, and identify enabling environments and practices.
  - Promoting practices (grants for action projects). There is a steady groundswell of interest among citizen groups to engage proactively in the procurement process. ANSA-South Asia will provide project Grants to support promising initiatives.
  - Facilitating learnings (workshops). ANSA-South Asia will create learning forums and events to facilitate peer to peer exchanges and sharing of experiences in the region.
  - Strengthening Community of Practices (seeding forums). ANSA-South Asia will build and sustain communities of practices and practitioners in South Asia to deepen and widen citizen engagement activities in public procurement process.

# Conclusion

The devolution of procurement responsibilities to local levels of government is increasingly occurring across South Asia (World Bank 2003). This trend is significant because increasingly localized decision-making better enables communities to hold government authorities accountable for the effectiveness of public spending, which can lead to various improved development outcomes, such as improvements in quality of service delivery; greater empowerment and understanding by end-users services supplied through public procurement processes; and improved oversight and accountability of service delivery agencies.

WBI sought to build onto existing momentum, both in South Asia and globally, achieved by practitioners and civil society organizations on awareness-raising initiatives and practical applications of social accountability tools and approaches in public procurement processes. WBI accordingly undertook a strategic, multifaceted approach, a component of a program launched by the NTF, to facilitate the development of context- and audience-specific knowledge products by recognized training institutions and practitioners which present key lessons and examples of good practices in social accountability and procurement in South Asia and globally. These knowledge products have been developed as part of a broader effort to create a practical curriculum on social accountability in procurement. Looking ahead, it is anticipated that ANSA-South Asia will continue this work through collaborating with the various partner institutions and others to help scale up and deploy the knowledge products.

The partnerships forged by WBI with the various training institutions and expert practitioners

broadened understanding of the contextual realities of social accountability approaches in public procurement in South Asia and across regions. The establishment of these partnerships has also been (and will continue to be) key to the further development of processes launched by the Procurement Monitoring and Accountability Curriculum Development program. The number of partners is presently growing, which will self-sustain and drive these processes forward through a widening network of practitioners and experts both in the region and globally. This network has also been an effective medium in which practitioners from disparate parts of the region have shared experiences and knowledge to shore up gaps in training and practice. Moreover, these partnerships shed significant light on the Indian context in particular, in a more effective way than had WBI solicited analyses from a smaller group of consultants.

It is important to note that the products are still very much in the testing phase and thus it is too early to draw lessons on experience in their use in training public officials. The partner institutions have underscored that the development of each knowledge product has been and will continue to be an iterative process, and that while the knowledge products are comprehensive and ready to be deployed in training activities, they are still in many ways works in progress. Also, recent events such as two general elections in India followed by a swine flu outbreak, and then state elections, including in Maharashtra, India, have postponed the deployment of several of the knowledge products in training courses until 2010. Plans are underway to fully test the learning products both at ASCI and at Yashada early in 2010.



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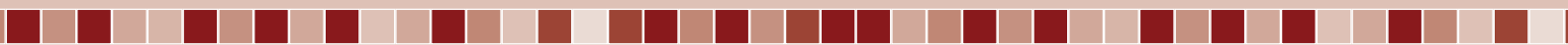
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