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CITIZEN PARTICIPATORY AUDIT
**LEARNING
GUIDEBOOK**

INTRODUCTION

To ensure that the Citizen Participatory Audit (CPA) is used effectively and efficiently, it is important to build the capacity of all stakeholders involved in the CPA exercise. Since CPA is a continuous process of learning, this capacity building component is essential.

In general, the capacity building component of the Citizen Participatory Audit (CPA) aims to:

(a) Enhance partnership-building and constructive engagement among participatory audit stakeholders through continuing dialogue and collective problem-solving; and (b) build participatory audit practitioners' capability to design and utilize participatory audit tools.

DEFINING CAPACITY

Capacity is the ability of people, organizations, and society as a whole to perform functions, solve problems, and set and achieve objectives in a sustainable manner. Institutions and organizations have to build their capacity in order to better deliver quality service to the public.

THREE FEATURES OF CPA CAPACITY BUILDING

Learning-in-action- this draws lessons from the actual practice of social accountability (SAc). It uses different learning modalities on concepts, tool, methodologies

and practice to deepen understanding of social accountability.

Learning organizations – learning through capacity building takes place among individuals, networks and organizations, so that strategies, structures, processes and systems are aligned with the goals of the project. Strategic areas for CPA capacity building include skills and capabilities, roles and responsibilities, policies and systems, and forums for cooperation. The key to effective capacity building is identifying the appropriate strategies that would help address the CPA audit needs.

Demand driven and focused on enhancement and strengthening of existing capacities – it emphasizes the importance of a partnership or a participatory approach. A partnership approach involves the development of relationships that recognize the strengths and needs of all partners and allows the decision-making power to rest with those whose 'capacity is to be developed'. It recognizes that capacity can often be increased more effectively by reinforcing existing structures than by building new ones.

Target Partners: Those Whose Capacity Is To Be Developed

Capacity building in CPA starts with the question “Whose capacity is to be developed?” Consider the partners from these sectors:

Government:

- COA bureaucracy (at all levels including all its sectors);
- officials and personnel of government agencies subject to CPA, also at various levels;
- local government officials;
- legislators and policy-makers;
- other government institutions and functionaries

Citizens:

- individual citizens,
- various citizen groups,
- NGOs and CSOs,
- media organizations and practitioners,
- the academe,
- the religious sector,
- general public

The list of target partners for capacity building is not limited to the above, but includes all those who believe they have a stake in ensuring government performance.

Current CPA capacity building plans and initiatives include information, education & dissemination (IED) and Core competencies define what CPA Audit Team members need to know and are able to do to perform effectively their auditing tasks. The core competencies can provide a framework of the knowledge and skills that audit team members need to perform their jobs.

buy-in activities targeted at of the key actors of the project, government and citizen groups.

Content of Capacity Building: What Competencies Are To Be Developed

Competencies cover the elements of knowledge, abilities, skills, personal characteristics, behaviors and/or qualities that are linked to audit objectives and are key to producing results. Figure 1 shows the minimum competency requirements for each capability building activity.

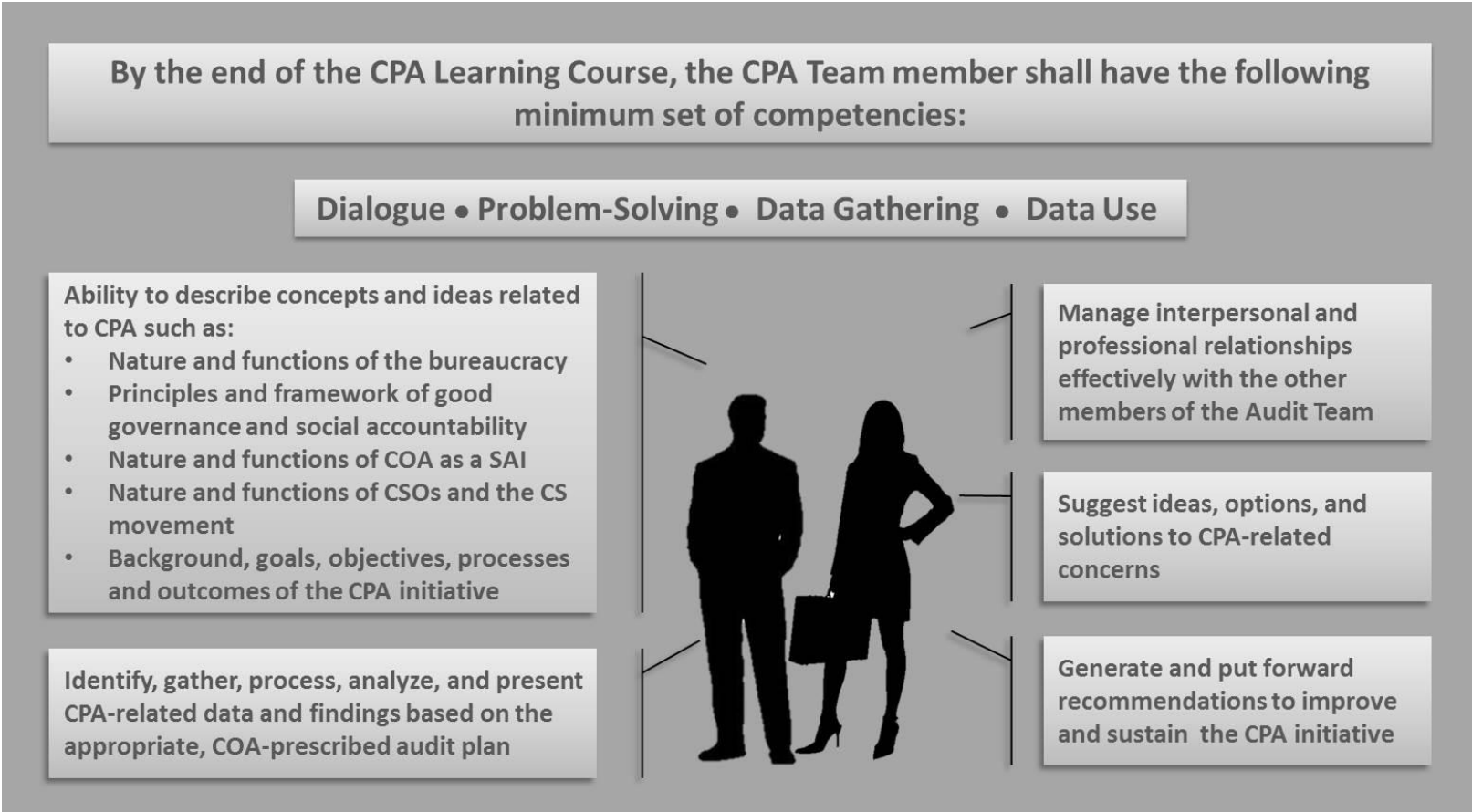


Figure 1. The minimum competency requirements of the members of the CPA Audit Team.

The **CPA Agenda Building Process** is a way of identifying and determining the specific problems, issues, and concerns that may be audited under the CPA. A unique feature of the CPA Agenda Building Process is its being participatory. It is conducted as a workshop where participants—who are members of civil society organization (CSOs) and COA officials—learn about the CPA; determine problems, issues, and concerns that they want audited (those that are “close to their hearts”); identify ways and means where they can help; and what their capacity building requirements would be.

The CPA Agenda Building Process has been piloted in several areas (Baguio City, Davao City, Iloilo City, and in the NCR), and a consultation process is taking shape where specific problems, issues, and concerns are identified at various levels (local, regional, and national). It is hoped that the CPA Agenda Building Process will become a COA regular activity.

2. Understand the Context of Issues and Concerns

Assessing the context or the situation to clarify the goals and objectives of capacity building, and determine the

strategic path to arrive there. This step requires systematic data gathering and a deep thinking-through process to address questions, issues, and concerns—things that seem to block development objectives and hinder people's aspirations.

CPA uses a number of tools to assess and understand the context. These tools include scanning, scoping, mapping, and profiling. Scanning involves a wide, sweeping examination of a situation much like moving a search light beam over a targeted area to gain an image of the “state of play” of participatory governance or social accountability. Scoping “carves out” information from the scanning activity and sets the boundaries or demarcates the coverage of possible social accountability initiatives or interventions. Mapping deepens the scoping results by identifying and describing the stakeholders and their practices, approaches, and tools; the locus of their operations and their partners; and the length of time they have been doing such activities. Finally, profiling takes a very detailed look at specific social accountability agents and intermediaries (groups, organizations, institutions) doing social accountability work. These tools are aimed at the development of an engagement strategy and leads to more effective implementation of CPA that are

tailored to the needs and characteristics of the people involved.

Once the issues and concerns have been identified, and the context of the capacity building targets determined, the next step is to come up with a learning design.

3. Develop the Learning Design and Methodology

Learning design (also called training design or instructional design) is the process of creating a blueprint for the development of instruction. The CPA design process—at least in its pilot stages—sets the stage for the development of a program that produces results, which, in this case, is the implementation of a planned audit activity according to set standards and mandated procedures.

Because CPA learners are adults, the approach will use the ERGA learning model will be used: Experiencing, Reflecting, Generalizing, and Application (Figure 2). The structured learning experience (SLE) approach will also serve to enhance team building requirements.

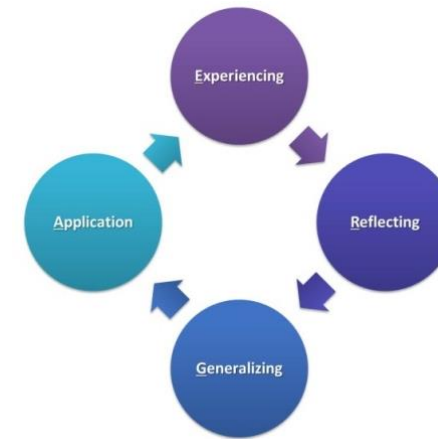


Figure 2. ERGA: The adult learning model.

The basic steps in developing the CPA training design are the following:

- i. Identify the need for CPA training
- ii. Assess the need for instructor-led training
- iii. Define the CPA learning objectives
- iv. Design the CPA training
- v. Develop the CPA training
- vi. Evaluate the CPA training

A short description of each step will help us understand and clarify how capacity building (in this case training) contributes to the achievement of the goals of CPA.



i. Identify the need for CPA training

Most of the work of identifying the need for CPA training is done using the various assessment tools (scanning, scoping, mapping, profiling). To further sharpen the identification of specific needs, CPA stakeholders involved in the audit issue should interact. This means talking with the potential learners (those who have been identified as CPA Audit Team members) to assess their knowledge, skills, and experience. Determining the gap between what they need to be doing and what they actually do is crucial. Is there a gap between what the CPA wants to achieve and what the learner can actually do?

One may also conduct a review of documented CPA projects to see if similar activities had been done in the past, so that there's no need to re-invent the wheel.

ii. Assess the need for instructor-led training

While there are a number of ways for training delivery, CPA pilot activities rely mainly on face-to-face (or instructor-led) training. There are two reasons for this modality: one is the need to have intensive personal interaction and group processes among the CPA Audit Team members (who are a mix of COA staff and CSO volunteers) to build them into a cohesive team, and, two, to level off on both technical and non-technical matters encountered during the audit activity.

iii. Define the CPA learning objectives

When written simply and clearly, written learning objectives help one stay focused.

Learning objectives are written descriptions of what the learner will be able to do, know, believe, or understand after the training. A common mistake in writing learning objectives is to describe what the instructor intends to do in the training. Writing learning objectives the right way helps both instructor and learners know what to expect from the training.

Formulating the Learning Objectives

One of the more challenging aspects of training design is drafting the learning objectives. A learning objective shows what the learner will be able to do, know, believe, or understand after the training. It shows the behavioral—and therefore measurable—change that occurs in the learner because of the training intervention.

For example, the KAMANAVA Pilot 1 Capacity Building Activity conducted in November 2012 had the following learning objectives:

As a pilot project, the KAMANAVA Pilot 1 will facilitate in establishing a model on how to implement the CPA. It is expected that at the end of the three-day training, the participants will be able to:

- Describe the overall philosophy and principles of the CPA Project under the social accountability framework
- Explain the processes and requirements of CPA implementation specifically in the KAMANAVA Pilot 1 project, from planning to implementation to reporting
- Express appreciation of the constructive engagement approach in the KAMANAVA Pilot 1 project

iv. Design the CPA training

Armed with the specific CPA issue or concern and knowledge about the situation or context (including the learning needs of participants), and having a clear set of learning objectives, the next step is to draft an outline of the content by identifying what the learner needs to know and be able to do in order to achieve the learning objective. Then organize the learning content along the two requirements of logical flow and psychological flow.

A good way of coming up with a training design is to create a training framework and a training matrix.¹ A training framework pulls together all the necessary training elements into one concept map and provides an at-a-glance explanation of the training. A training matrix operationalizes the content of the framework into more doable parts, and follows the systems approach of input-process-output. The training matrix synchronizes the learning activities, outlining the learning goal, general schedule, sessions/topics/activities, specific learning objectives (per session/topic/activity), learning methodology or process, and expected output/deliverable.

Specify the learning methodology to facilitate the achievement of the learning objectives. One may use the following methods as part of the training sessions:

- Lectures
- Slides
- Flip chart
- Brainstorming
- Dramatization
- Stories and fables
- Role play
- Video or film showing
- Panel discussions
- Case studies
- Games
- Group discussions

An essential part of the training design is coming up with an evaluation framework. The evaluation framework helps one to determine and measure the extent to which training is effective. Evaluating training effectiveness is not an afterthought but an essential part of the training design.

¹ There are alternative ways of learning delivery, such as reading assignments, web-based (online) training, self-study plans, cross-training by a colleague, or even performance counselling.

The training design (represented by the training framework and the training matrix) is circulated among and discussed by stakeholders and decision-makers. It is at this step when negotiations happen concerning alignment of objectives and interventions, availability of resources, logistical matters, etc. The output will serve as the template for developing the training.

v. Develop the CPA training

Once the training design is final, the next step is to develop the training.

The first step is to put into detail the training design. A “blow-by-blow” account will help in levelling off on everybody’s understanding and appreciation of the operational side of the training delivery: the detailed activities, what are the session requirements, what are the sessions’ outputs, etc. The detailed training matrix also lists needed materials and equipment as well as the specific roles and responsibilities of those who have a direct hand in the training delivery like the training staff, resource persons, session facilitators, etc.

A List of the Most Useful Training Equipment and Materials

- Metacards (light colored)
- Marking pens (broad tipped)
- Whiteboard pens (broad tipped)
- Coloring pens/crayons
- Rolls of masking tape (1 inch)
- Scissors & cutters
- Easel sheets/butcher/manila paper
- Sticky notes (various sizes/colors)
- USB flash drive/memory sticks
- Multimedia projector
- Sound system (with audio jack for laptops)
- Video clips, presentation materials (including powerpoint slides)
- Tools & toolkits (e.g. paper-and-pencil tests, activity equipment, etc.)

Other important administrative and logistical considerations:

- Venue – Is the venue spacious enough for participant movement? Is it well ventilated and

lighted? Does it have sufficient electrical outlets and electrical cable extensions? Is there an internet access? (Or, can the wifi be turned off?) Are there breakout rooms? How are the multimedia screen and the whiteboards located? Are there wall areas where easel sheet/manila paper outputs can be posted for gallery viewing?

- Meals and snacks – What are the meal preferences of the participants? (Participants may have preferences due to religious convictions or for health reasons. This should be asked beforehand when conducting the TNA.)
- Furniture (chairs and tables) - Are the furniture (chairs and tables) comfortable to use? What is the most appropriate furniture layout or arrangement given the training objectives and activities per session?
- Accommodations – Arrangements should be made beforehand especially if the venue is a hotel. Consider also participant preferences.

Finally, deliver the training. During training delivery, one needs to be able to shift from being immersed at the level of details to take the bigger perspective and back again. Arriving early, anticipating everybody's needs,

helping one another get to know each other, setting the agenda and the ground rules, linking the sessions with the training framework, reminding the group to stick to the schedule as much as possible—all these need a quick mind and being on one's toes always.

vi. Evaluate the CPA training

The evaluation asks the CPA participants for feedback about the training. Issues to address should include achievement of course objectives, relevance of topics to learner needs, satisfaction with the resource persons and facilitators (including training management), and satisfaction with the facilities. The feedback should get the training team to improve their instructional design and delivery.

THIS GUIDEBOOK is primarily a reference material that CPA students and practitioners may find useful. It lays out the roadmap of the capacity building process and serves as a guide to course developers/writers in the development of modules, sessions, and learning activities. Finally, this guidebook aims to assist training managers, training staff, facilitators, and resource

persons in determining the roll out requirements of learning activities.

The guidebook has three parts. The first part introduces the learners to the novel world of CPA. It aims to enhance their knowledge and appreciation of government bureaucracy and the role of citizens and CSOs in promoting good governance through social accountability. It provides the audit team with the required technical knowledge about the prescribed COA audit process for the CPA, and initial information about the goods or services they will be auditing. Additionally, this phase intends to help the team members establish interpersonal and working relationships through teambuilding activities.

The second part is the “application” of the CPA process during which the Audit Team implements the Action Plan developed at the end of part one. The Audit Team members are expected to maximize the “learning-by-doing” approach. The learning activities follow the iterative methodology of action-reflection-action.

The last part is the “evaluation” part of the CPA process. The audit team members are provided with a platform

on which they could look back and assess whether what they have done has contributed anything of value—hence the word “evaluation”—towards performance audit in particular and good governance in general. From a learning perspective, this phase may also be called the “consolidation of learning” stage.

An ordinary citizen who undergoes the CPA learning course is expected to have a deeper understanding of COA as an institution. On the other hand, COA staff who join the CPA team would have more appreciation about the role of citizens and CSOs in good governance. In other words, there is a deeper understanding and appreciation of each other’s institutions, perspectives, processes, and roles in good governance and reform work. But more than that, the CPA can be presented as a modality for citizen-government engagement that uses the social accountability approach.

GENERAL OUTLINE

MODULE	SESSION/TOPIC	TIME (HRS)
	Social Accountability As An Approach to Good Governance	1.00
SETTING THE CPA CONTEXT (3 HRS)	COA 101 – Understanding COA as the Supreme Audit Institution	1.00
	CSO 101 – Understanding Civil Society and Citizen Participation	1.00
	Audit Planning	2.50
Performance Audit: An Overview (7 HRS)	Audit Execution	1.50
	Reporting	1.50
	Monitoring and Follow up	1.50
PLANNING THE AUDIT PROJECT (8 HRS)	<i>Teambuilding exercises will be integrated into the planning activity (Operational planning – how to execute the audit activity)</i>	8.00
REFLECTION/ASSESSMENT SESSIONS	<i>At least three (3) reflection/assessment sessions will be conducted during the EXECUTION PHASE of the audit activity. Sessions will look into two (2) areas: technical assessment and learning/insights</i>	4.00 (per session)

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For more information, you may visit the following websites:

www.coa.gov.ph

www.i-kwenta.com

www.ansa-eap.net

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