Mongolia Social Accountability Learning-in-Action Program

15 to 19 November 2011
Documentation Report

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Learning-in-action is an interactive process that focuses on increasing the individual competencies, and social and relationship-building skills of stakeholders, with the awareness that positive changes in one's self should result in positive changes in structures, systems, actions and relationships that reshape social environment.

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Introduction

The Social Accountability Learning-in-Action Program (SAcLAP) is a set of integrated capability building activities for targeted Mongolian citizen groups and a select number of counterpart government officials. It aims to build understanding and competencies in adapting and undertaking social accountability approaches toward good governance. The end goal is to integrate constructive engagement between citizens and government in monitoring the use of public resources into governance reform initiatives in Mongolia.

As proponent of SAcLAP, the Affiliated Network for Social Accountability in East Asia and the Pacific (ANSA-EAP) abides by learning-in-action as an operative principle in delivering this capability building intervention. It is a highly interactive process between the learners and their environment. The targeted outcome is the improvement in the competencies of participants and overall capabilities of the group of participants as learners in instituting citizen-driven change in the structure, systems, actions, and relations of key stakeholders. This is expected to result in the transformation and reform of governance practices in organizations, communities, and other institutions where the learners are located.

For SAcLAP, ANSA-EAP utilizes a blended approach to learning, with activities such as:
- Face-to-face workshops (Pilot run for customization and 5-day SAc workshop)
- Mentoring and Coaching (online)
- Provision of small grants for 10 SAc pilot initiatives
- Formation of a learners group and a pool of SAc practitioners attending to a continuous learning process for improved quality and effectiveness

The pilot run of the SAcLAP workshop was held in the Philippines last 18-26 October 2010 in Astoria Plaza, Pasig City. The pilot run aimed to: 1) customize a workshop design suited for the five-day social accountability workshop in Mongolia in November 2010 2) serve as a learning intervention for the ANSA-Convenors' Group of Mongolia Partnership for Social Accountability Network (PfSAN), and partners in the government.

The World Bank Mongolia Country Office and the Partnership for Social Accountability (PfSAN), through Democracy Education Center as its coordinating organization, are ANSA-EAP's key partners in this undertaking.

SAcLAP Workshop

The Social Accountability Learning in Action Program Workshop is the key capacity building activity of the entire learning intervention. Designed and co-coordinated by SAcLAP proponent ANSA-EAP and co-coordinated by the PfSAN, it was held from 15 to 19 November 2010 in Ulan Baatar, Mongolia.

The workshop took off from the October 2010 pilot workshop design, with the following sessions[1] customized and appropriated for application in the Mongolian context:

> Session 1 – Understanding Good Governance
> Session 2 – Constructive Engagement
> Session 3 – Social Accountability
> Session 4 – Public Financial Management
> Session 5 – Performance Monitoring using the Citizens' Scorecard
> Session 6 – Budget Monitoring
> Session 7 – Procurement Monitoring
> Session 8 – Public Expenditure Tracking Surveys

Resource persons from ANSA-EAP's pool of experts across the globe (East Asia-Pacific and South Asia) were invited to give input and facilitate the sessions. Mongolian resource persons likewise shared their expertise on good governance and the various social accountability tools, with a special focus on the Mongolian governance context.

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[1] Annex 1: SAcLAP Workshop Design and Schedule

Participants[2]

Participants of the Mongolia SAcLAP were primarily comprised of individuals from citizens groups (e.g. nongovernment development organizations, community-based organizations, citizens' organizations, trade unions, academic institutions, research and training organizations, and media practitioners) and government representatives (e.g. cabinet secretariat, parliament, local government).

Workshop Documentation

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[2] Annex 2: SAcLAP List of Participants

This documentation captures the proceedings of the SAcLAP workshop; that is, workshop preliminaries, the eight formal workshop sessions and the wrapup session. This includes the highlights of the:

- inputs of resource persons
- learning exercises
- plenary discussions
- small-group reports, and
- workshop outputs.

Day 1, 15 November 2010

The first day of the workshop covered an introductory activity; welcome remarks from World Bank-Mongolia, ANSA-EAP and the PfSAN; introduction of workshop participants; Session 1: Understanding Good Governance; and the introduction and learning exercise for Session 2: Constructive Engagement.

Preliminaries

Mr. Wadel Cabrera introduced himself as overall workshop facilitator and gave the instructions of the activity that was meant to facilitate introductions, given the big and diverse workshop group.

Activity. For the Getting-to-Know-You activity, everyone was given a board with two columns: *People I know;* and, *People I Want to Get to Know.*

People I Know	People I Want to Get to Know

For 10 minutes, each participant was tasked to ask as many people as possible to write their names on the appropriate column. Toward the end of the workshop, the participants will be referred back to their list and check how many people from the second column they have managed to get acquainted with.

Welcome Remarks. Representatives from SAcLAP's three partner organizations welcomed the participants. Highlights of the welcome remarks are found below:

Mr. Ts. Tumentsogt, Acting Country Manager, World Bank-Mongolia

- On behalf of the World Bank, Mr. Tsumentsogt thanked all participants for being active and participating in the workshop.

- **World Bank's support to citizen group-government engagements.** In recent years, the work of Mongolian civil society has been very active, especially when it comes to engagements between government and NGOs and the World Bank has always been supportive of such cooperation. The experience has led to a realization that there is a need to improve the capacity of Mongolian NGOs, which is why World Bank has been regularly organizing learning workshops and seminars such as SAcLAP.

- **Situating SAc in Mongolia.** SAcLAP was organized so that the participants can learn about social accountability practices from various countries across the globe, and how to cultivate social accountability in the Mongolian context

- **The value of learning from regional experience.** He recognized the value that ANSA-EAP's experience in working in the Philippines and the rest of the EAP region. World Bank-Mongolia expects close contact and a fruitful cooperation in the future with ANSA-EAP.

- **SAc in Mining.** Mining development is important in Mongolia, as a lot of revenue is generated by this sector. Thus, the issue of SAc in mining should be regarded as important as well.

- **Monitoring government as NGO role.** Government expenditure also needs to be monitored, and how this money is spent should be audited to ensure that vulnerable groups are not exploited. Infrastructure projects should likewise be monitored to assess if benefits reach intended beneficiaries. This is the role of NGOs in Mongolia today.

- In closing, Mr. Tsumentsogt thanked ANSA-EAP and PfSAN and wished success to the workshop.

Ms. Angelita Gregorio-Medel, PhD, Project Director, ANSA-EAP

- Dr. Gregorio-Medel greeted the participants and expressed that it is a privilege for ANSA-EAP to be in Mongolia.

- **Shared mission: to improve the world.** The deep connections and relationships between not just people but countries and across seas show us the world's reality. We are one world, one universe. Differences in religion, beliefs, and government, are just but the beautiful diversity that gives the world the capacity to regenerate itself.

- **Citizens at the core of change.** The big challenge is to make this world beautiful, a mission that starts with human beings. Development analysis has shown that governance is a major challenge to reform; at the heart of governance is government—power mandated—and citizens.

- **ANSA-EAP as a regional network for action**. ANSA-EAP is a young facility. Unlike other networks, ANSA-EAP's vision is to create a community of practitioners who go beyond talking. Action makes for real changes and reform.

- **Citizen-driven reform**. ANSA-EAP dreams of a community of practitioners upholding citizen-driven reform. Government has the power, mandate and legitimacy, but citizens have the innate power to change society.

- **The importance of citizen-government engagement**. Both citizens and government need one other to succeed. 30 years of NGO work has shown that reforms cannot be effective if we work together instead of just trying to bring down government.

- **Cooperation across countries should be a priority**. The EAP region is rich in social accountability experiences, and ANSA-EAP is working to achieve cross-country sharing, especially in ANSA-EAP's four priority countries—Mongolia, Indonesia, Cambodia, and the Philippines.

- **Citizen-led democracy.** In monitoring the use of public resources, citizens have to demand their rightful seat at the table. We have to learn how to negotiate and practice the real meaning of democracy.

- **ANSA-EAP and Mongolian civil society.** The very young relationship with the Mongolia convener group, the Partnership for Social Accountability Network (PfSAN), has shown we can look forward to a stronger partnership. ANSA-EAP is happy that it is able to reach the rural areas of Mongolia through representatives.

Ms. Undral Gombodorj, ANSA-EAP Network Fellow for Mongolia, Partnership for Social Accountability Network

- **PfSAN and ANSA-EAP.** The Partnership for Social Accountability Network is composed of nine organizations that have been working on social accountability in Mongolia since December 2009, in partnership and close coordination with ANSA-EAP. ANSA-EAP has four priority countries, Mongolia being one of them.

- **SAcLAP.** SAcLAP is a program that the nine organizations were engaged to do as PfSAN. ANSA-EAP is the training organization for SAcLAP. SAcLAP is being implemented with financial support from the World Bank-Mongolia's Governance Program.

- **Participants.** SAcLAP has participants from NGOs and government offices from UB and the rural areas. More opportunities for relationship-building will be afforded to all the participants and organizers during the break.

- On behalf of PfSAN, Ms. Gombodorj wished success to the workshop.

Introductory Notes. Mr. Cabrera introduced the Social Accountability Learning-in-Action Program to the participants of the workshop, and ANSA-EAP's bias towards a learning-in-action approach to building the capacity of key stakeholders.

- SAcLAP, as a capacity building initiative, aims to build the competencies of citizen groups and government representatives; and build a common understanding among stakeholders in undertaking SAc approaches toward good governance.
- Three groups oversee the conduct of the one-year learning program—ANSA-EAP, World Bank-Mongolia (through the Governance Partnership Facility) and the Partnership for Social Accountability Network.
- Learning-in-Action, as a capability building approach of ANSA-EAP, is an interactive process between the learners and their environment. It begins from the distinct context of the learners— their provinces, offices, units or departments. This approach focuses on increasing the individual competencies, and social and relationship-building skills of stakeholders, with the awareness that positive changes in one's self should result in positive changes in structures, systems, actions and relationships that reshape social environment.
- For ANSA-EAP, learning comes full circle as practitioners continue doing, hence, SAcLAP employs a blended approach to learning. This is composed of two face-to-face workshops (in Manila and in Ulaan Baatar); field application through the development and implementation of new projects; and online mentoring for the ten projects that will be chosen for funding. The proponents of these projects will undergo mentoring and coaching to help them further develop the design and implementation of the initiatives.

Mr. Cabrera also shared with the group the workshop framework that will guide the workshop activities:

- Arriving at a shared SAc framework, which is composed of a discussion of concepts on:

  - Good governance according to the World Bank, ANSA -EAP and other stakeholders. How do we want to achieve good governance in MNG?

  - Constructive engagement. Why is it important to dialogue as partners? With constructive engagement, citizen groups and

> government should be able to sit down and see each other as partners and allies.

- • Social accountability.

- • PFM as the arena where we can engage each other in the spirit of social accountability.

  - o SAc tools in the PFM cycle: budget monitoring, participatory expenditure tracking surveys, citizen report cards, and procurement monitoring.

- • Applying SAc approaches, tools and methodologies at the end of the workshop.

He then detailed the schedule of activities for the five workshop days, and discussed the house rules:

- • Be prompt, so we can start on time.

- • When having difficulty, raise alarm.

- • Use microphones when you speak. Identify self, for purposes of documentation.

- • Clarificatory questions will be entertained during plenary sessions.

- • Sharing of experiences and insights should be done during small group workshops.

- • Maintain a daily journal, for you to note down thoughts and feelings, and to give feedback on how things are going: content, process, methodology and resource persons.

Finally, Mr. Cabrera introduced the workshop team[3], resource persons[4] and recognized the participants of the workshop.

Session 1: Understanding Good Governance
Facilitator: Mr. Randee Cabaces

Mr. Cabaces opened his presentation with the learning objectives for the session, which are to: a) arrive at a shared appreciation of what good governance is, and its value to the participants' work; b) become aware of the situation of governance in Mongolia, namely the gains in terms of achieving good governance, and the issues and challenges to good governance reform; and c) be able to identify the link between good governance and social accountability.

In order to achieve these objectives, the following learning activities were employed: a) individual reflection and group discussion; b) plenary reporting; c)

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[3] Annex 3: Workshop Team
[4] Annex 4: Profiles of Resource Persons

resource person's input on the state of good governance in Mongolia; and d) plenary processing and discussion.

Activity: Personal Reflection and Group Sharing. Participants were asked to reflect individually on two questions:

- What is good governance to you?
- How is it important to your work?

Each participant wrote their answers on idea cards, which they then shared to a bigger group. Each group was tasked to discuss and identify the gains and issues in achieving good governance in Mongolia based on the sharing of the members, and prepare a diagram illustrating the results of the discussion.

A plenary sharing ensued, during which each group reported on the output[5] of their discussion.

Highlights of the Plenary Reporting.

- **Group 2** defined good governance as a partnership among the three key stakeholders of good governance, which they identified as government, citizen groups, and the private sector.
    - **Issues:** Lack of enforcement of laws; low access to information; weak interaction between citizen groups and government.
    - **Gains:** Some social accountability initiatives have been started; established links with media; increase in the capacity of citizen groups in engaging government.
- **Group 1** defined good governance as a process of responding to citizens needs—a process that requires the participation of civil society.
    - **Issues:** Weak mechanisms for citizen participation; lack of decentralization; weak government capacity to implement decentralized setup.
    - **Gains:** Government taking steps towards transparency; ongoing conversation among citizen groups on common understanding and vision for good governance; concrete steps in regulating the private sector; citizen monitoring in budget and procurement.
- **Group 3** saw good governance as the interaction of government and citizens to achieve transparency, accountability, and participation in government processes and transactions. The group also identified the importance of good governance in finding comprehensive solutions through stakeholder participation; ensuring that government decisions are responsive to the needs of citizens; and, improving fairness and equity.

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[5] Annex 5: Session 1 Group Outputs

- o **Issues:** Differing levels of capacity of citizen groups; government's approach to participation is weak; weak access to information; unclear scope of work of government officials
  - o **Gains:** Established legal framework for participation (e.g. government resolution on establishing partnerships with NGOs)
- **Group 4** zoomed in on openness, transparency and participation as key operating principles of good governance, with components of mutual listening between citizens and government and collaborative problem-solving.
  - o **Issues:** Mouth: weak access to information (e.g. budget); eyes: lack of transparency; ears: lack of open dialogue.
  - o **Gains:** The roots of good governance have been planted.
- **Group 5** outlined the context of governance in Mongolia as one replete with corruption, poverty and unemployment. The group highlighted the need for citizen participation, as government alone cannot address all these problems.
  - o **Issues:** Persistent development and governance problems; need to improve training of public officials.
  - o **Gains:** Partnerships in monitoring government at the provincial level; indicators on government performance have been set; some information on government decisions are disseminated for citizen feedback; proposal to amend budget and procurement laws under process.

Input: Mongolian Governance Context[6]. In order to enrich the discussion and the participants' understanding of good governance in the Mongolian context, a resource person, Ms. Sosormaa Chulunbaatar, Advisor to the President on Civil Society Participation and Human Rights, shared her insights on good governance in Mongolia. Specifically, Ms. Chulunbaatar's presentation covered how the Mongolian government and citizens understand good governance, the current challenges to good governance, and the future of good governance in Mongolia.

Ms. Chulunbaatar contextualized her presentation by sharing her experience of learning about SAc during the pilot workshop, where she was a participant. She shares that SAc is not a completely novel concept in Mongolia, and that Mongolian stakeholders are currently in the stage of learning comprehensively about social accountability approaches and tools.

She began by sharing a strategy document that was adapted by the Mongolian government from New Zealand, which aimed at small but accountable public service. Posing the question, "why haven't we reached the same level of success… if fulfillment rate is high?," Ms. Chulunbaatar stressed that according to World

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[6] Attachment 1: Mongolian Governance Context [Presentation]

Bank research, copying indiscriminately from the experiences of developed countries does not necessarily lead to successful reforms, especially when no prior groundwork has been done to change the mentality of the government, and reforms do not include grassroots initiatives. However, she recognized that in recent years, there have been successful grassroots initiatives in Mongolia although these aren't well-known; and that there have been some efforts to localize international best practices, although there is much room to improve these efforts.

Ms. Chulunbaatar then emphasized the equal roles that both government and citizens should play in improving governance: that policy reforms from the government are integral, but citizens should balance state power in seeking to improve people's lives. She then proceeded to argue that the state's functions should be redefined to include the functions:

- to facilitate and not to engage in all activities
- to give space for citizens to act on their own; and
- to monitor quality and standards of public services.

This is what delineates *government* from *governance*—government is one institution, while governance encompasses a partnership among stakeholders from government and non-government bodies. Thus, governance is not the sole territory of government. In the context of the local governance reform in Mongolia—which affords citizens with more space for participation in local governance—she notes that citizens are still not confident that their representatives indeed represent their interests and needs.

According to Ms. Chulunbaatar, there are several steps that Mongolia should take in order to achieve good governance:

- Move from representative to participatory governance, as the representative democracy model fosters that concentration of power on an elite grou.
- Decentralization in order to create space for citizen participation.
- Development of criteria or indicators for good governance
- Building the capacity of citizen groups and government on jointly addressing governance issues.
- Government and citizen groups should refrain from pinning the blame on one another.
- Provide incentives for reform champions in government.

Government is an institution while governance encompasses a partnership among stakeholders from government and non-government bodies.

She concluded her sharing with the message that reform should be done with participation from all stakeholders.

Input: Good Governance and Social Accountability[7]. To set the ground for the discussion on good governance and social accountability, the session facilitator, Mr. Cabaces, gave a recap of the group presentations on good governance.

The groups defined good governance as: a good interaction between the government and citizens who participate; meeting the demands and needs of citizens coupled with the participation of citizen groups; and transparency, accountability and participation.

Taking off from these ideas, Mr. Cabaces proceeded to make the connection between good governance and social accountability.

- The key principles of good governance are transparency, accountability, and participation. These principles should move towards good society as its end goal. Social accountability, as an approach to good governance strives for the improvement of society through three development outcomes: a) better service delivery; b) improved people's welfare; and c) strengthened people's rights.
- Social Accountability is a process of constructive engagement between citizens and government to monitor the use public resources. Constructive engagement, and citizen monitoring are the two key operating concepts of social accountaility.
- Constructive engagement between citizens and government is evidence-based, solutions-oriented, and is a sustained process. At the heart of constructive engagement is dialogue.
- Citizen monitoring occurs in the stages of the Public Finance Management (PFM) cycle—planning, budgeting, expenditure management, and performance monitoring. A host of SAc monitoring tools may be used by citizen groups for each stage of the PFM cycle.
- An enabling environment for social accountability rests on four pillars: a) organized and capable citizens; b) responsive government; c) access to information; and d) context and cultural appropriateness.

Plenary Discussion. During the plenary discussion, participants clarified concepts related to social accountability, and requested for more information on governance issues in the region. Highlights include questions on:

- **How long social accountability initiatives in the region have been going on.** Different countries differ on the length of time they've been implementing SAc initiatives. For instance, the Philippines and Indonesia have a longer and more advanced experience in pushing for an enabling environment for social accountability. In the Philippines, social accountability work has been ongoing for several years now, a fact that is made manifest by the 1991 Local Governance Code.

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[7] Attachment 2: Good Governance and Social Accountability [Presentation]

Cambodia however, coming from a period of conflict, is still in the beginning stages of decentralization.

To provide more information on SAc initiatives in EAP, Mr. Cabaces shared a matrix on good governance exemplars[8] in the region. This question will also be addressed during the presentation of the results of a CSO mapping of SAc efforts in Mongolia by a member of the PfSAN.

- **The GDP allocation of the Philippines**. As the 2011 budget is currently being passed, only information on the Philippines' 2010 budget, passed in 2009, is available. (Mr. Cabrera will share information on this at a later time.)
- **How to sustain critical partnerships**. This question will be addressed by the next session on constructive engagement.

Synthesis. The overall workshop facilitator, Mr. Cabrera, distilled and surfaced the linkages among the various concepts that were taken up during the session:

- Good governance is solving problems in partnership.
- Transparency-Accountability-Participation provides a structure that enables partnership.
- We are currently faced with several issues and challenges that hinder good governance.
- The prevailing question is how to begin, when there seems to be reluctance from all sides of good governance? This will be addressed by the next session, as well as the succeeding sessions.

Session 2: Constructive Engagement (Part 1)

Facilitator: Ms. Angelita Gregorio-Medel, PhD

To open the session, Ms. Gregorio-Medel introduced the learning objectives: a) to understand and appreciate the concept, principle, and importance of constructive engagement in social accountability, and the practice of dialogue in collaborative problem-solving; and b) to start to become aware of one's practice of active listening, feedback-giving and receiving, and framing and re-framing.

In order to achieve these objectives, the following learning activities were employed: a) group activity; b) group discussion; c) plenary reporting; and d) input on constructive engagement; and e) plenary discussion.

The group activity was covered during the first part of the session, while the other three exercises were relegated to the second part of the session (Day 2 of the workshop).

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[8] Annex 6: Good Governance Exemplars Matrix

Activity: Roleplay. Each participant was randomly assigned a role through drawing lots. Ten were assigned a specific role, while twenty were assigned to observe a particular role. The rest of the participants were tasked to observe all ten roles. All participants were provided with a sheet containing information on the case.

> **CASE STUDY: Constructive Engagement**
>
> Since the early 1990s, gold mining has been garnering strong economic interest in Mongolia. While this industry supports a considerable number of Mongolian families, several gold mining sites are also host to unregulated mining practices. This leads to the destruction of rivers and lakes with gold deposits.
>
> Mining Company A recently acquired a license to operate at the headwaters of River X, which runs through three aimags. When the citizens caught wind of this, they exhibited various reactions. Some welcomed the potential influx of investments, while others were strongly against what they called "exploitation" of the environment.
>
> To resolve the dispute, the Ministry of Environment convened a public forum, which was attended by:
>
> 1. Representative of the Ministry of Environment
> 2. Mining company representative
> 3. Journalist
> 4. Aimag representative 1
> 5. Aimag representative 2
> 6. CSO representative 1
> 7. CSO representative 2
> 8. University professor
> 9. Soum government official
> 10. Local government representative 2

The ten roleplayers were given a sheet[9] specific to their role, which contains confidential information on their character's background and interests. Everyone was given ten minutes to prepare notes.

Guidelines for the observers—on what to pay close attention to—were also given:

The roleplayers were given about an hour[10] to carry out their roles and discuss the issue in front of the larger group.

Group Discussion. The participants were then asked to break out into three groups according to their task in the activity—participant/roleplayer, participant observer, or group observer. They were then tasked to discuss and document their observations as a group, for presentation the next day. Members of the PfSAN served as small-group facilitators and documentors for the group discussions.

[9] Annex 7: Session 2 Roleplay Guides
[10] Attachment 3: Constructive Engagement Roleplay Exercise [Video]
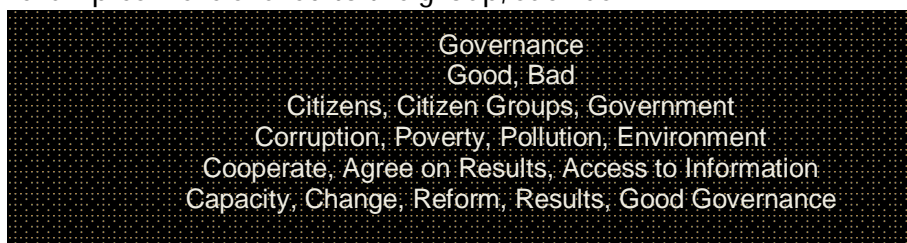
Day 2, 16 November 2010

Day 2 of the workshop consisted of the recap of the previous day; Session 3: Social Accountability; the continuation of Session 2: Constructive Engagement; and Session 4: Public Finance Management. The day was concluded by the accomplishment of the participants' daily journal.

Recap. Ms. Sengedorj of the PfSAN facilitated the recap activity, which was meant to summarize and highlight the key activities and lessons of the previous day.

The participants were asked to construct a pyramid poem describing what they learned about social accountability during the first day of the workshop by writing:

- Line 1: One word/topic that you found most interesting
- Line 2: Two words to describe the word on line 1
- Line 3: Three nouns that are related to word on line 1
- Line 4: Four words stating issues related to the word on line 1
- Line 5: Five words describing what you can do to address the problem.

Several examples were shared to the group, such as:

Governance
Good, Bad
Citizens, Citizen Groups, Government
Corruption, Poverty, Pollution, Environment
Cooperate, Agree on Results, Access to Information
Capacity, Change, Reform, Results, Good Governance

To cap the activity, Ms. Sengedorj thanked the participants and wished a bigger pyramid poem for them in the future.

Mr. Cabrera then went back to the roadmap of activities to situate the next session.

- Social accountability doesn't exist in a vacuum. The workshop began by situating social accountability in the Mongolian context in order to pinpoint where the participants are and what the challenges to achieving good governance in Mongolia are.
- Currently, the problems Mongolia faces are corruption and lack of mechanisms for engagement.
- The session on constructive engagement allowed the participants to begin to understand how it is for citizens and government to see things eye-to-eye through the roleplay activity. Constructive

engagement helps frame and facilitate a better understanding of social accountability.

He then introduced the changes to the schedule, namely that Session 3: Social Accountability will be moved to the morning, and that the continuation of Session 2: Constructive Engagement will be pushed back to the afternoon.

Session 3: Social Accountability

Facilitator: Mr. Randee Cabaces

Mr. Cabaces began by sharing the learning objectives for the session, which are to: a) gain an appreciation of current social accountability practices in Mongolia; b) arrive at a shared understanding of social accountability; and c) identify action points for improving social accountability practice in Mongolia.

In order to achieve these objectives, the following learning activities were employed: a) open space activity; b) plenary discussion; c) resource person's input; d) open forum; and e) summary and synthesis.

Activity: Open Space. Mr. Cabaces introduced the principles of Open Space:

- Open Space is a marketplace activity, which is marked by organized chaos and the exchange of information and is a place for learning.
- Open Space follows the "Law of two feet"—that is, using your feet to dictate where you go.
- The Four Paths of Open Space dictates that whoever comes is the right person; whatever happens is the only thing that could have; whenever it starts is the right time; whenever it's over, it's over. The Four Paths is an invitation to openness.
- In an Open Space activity, there are no formal groups. Everyone is free to move around.
- In an Open Space activity, you will be guided by your passion: something that you find personally compelling.

In preparation for the Open Space, the participants were asked to reflect on the guide question:

- What will I do in the coming 12 months to improve SAc practice in my area of work?

They wrote their answers on idea cards and taped the cards to their chest to facilitate the free-flowing and free-moving sharing of ideas.

After several minutes of moving around and sharing with different groups of people, the participants converged into seven groups to discuss. The highlights of the group discussions were shared to the bigger group.

Highlights of the Plenary Reporting.

- **Group 1**'s report was focused on disseminating information on good governance and social accountability through training events and partnerships with media outfits and social welfare centers.
- **Group 2** chose to exert more effort in making sure that citizens have access to information, building capacity of stakeholders in using and sharing that information.
- **Group 3** focused on the need for training for local trainers as well as media practitioners.
- **Group 4** emphasized the need for partnership in implementing an action plan for good governance, including the sharing of information among stakeholders.
- **Group 5** presented on the need to advocate for responsible mining, enlisting the support of mining companies and local communities in puhsing for an appropriate policy reform.
- **Group 6** focused on the the things that government officials can do to push the SAc agenda in Mongolia, particularly by asking citizens to evaluate government performance.
- **Group 7** wants to introduce a scorecard to evaluate government services, and to use social audit tools in Mongolia.

Mr. Cabaces summarized the group presentations by highlighting the following key issues:

- Shared understanding and common SAc framework among stakeholders
- Capacity building on SAc
- Explore possible learning modalities (e.g. online)
- Government transparency/citizens' access to information
- Engagement with government on monitoring and government's response to citizen feedback
- Role of media in SAc
- Role of academic institutions in SAc
- Role of the private sector in SAc
- Mobilizing local communities for SAc
- Networking and partnership among SAc stakeholders
- Citizen monitoring in the EI/mining sector

He also noted the specific social accountability tools mentioned in the group reports, which are budget monitoring and expenditure tracking and scorecards to monitor performance.

Input: Grounding Social Accountability in the Mongolian Context[11]. To inspire better appreciation of Mongolia's current social accountability practice, Ms. Ariuntungalag Munktuvshin, Executive Director of the Independent Research Institute of Mongolia, (IRIM) presented the results of the mapping of SAc practices in Mongolia commissioned by ANSA-EAP. The research was conducted by PfSAN member research organizations. The study covered tools, achievements and challenges faced by social accountability initiatives by civil society groups in Mongolia.

Ms. Munktuvshin explained the methodology for the research, which included policy and legal environment analysis, literature review, assessment of access to information, and individual and group interviews with main stakeholders.

She then shared that the first challenge in conducting the research was the terminology. As "social accountability" is a new term, the researchers needed to localize the meaning to make the term more relevant and specific in Mongolia. Ms. Sengedorj, also from PfSAN, was called on to present the distinction between *responsibility* and *accountability*, which have the same translation in Mongolian.

Account, which is the root word of *Accountability*, is a Buddhist word. It hinged on principles of reporting back, being responsible for actions, demands (both positive and negative), and individual agency.

Responsibility, on the other hand, connotes an assignment or being bound to duty; discipline; fulfillment of work that has been assigned; and being responsive to actions.

Open Forum. Much of the discussion during the open forum revolved around the following key issues:

- Whether the Mongolian translations for *accountability* or *responsibility* captures the spirit of social accountability.
- Accountability as a concept that should be applied not just to government but to individuals, NGOs and the private sector as well.
- Clear criteria (or indicators) for SAc in Mongolia should eventually be established.

Other questions include:

- *What is the role of the private sector (e.g. corporate social responsibility)?*
- *What are the indicators to assess whether NGOs have the capacity to monitor government?* Ms. Munktuvshin responded that the parameters are one of the challenges to social accountability in Mongolia right now.

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[11] Attachment 4: Grounding SAc in the Mongolian Context [Presentation]

- *Did the study include a survey on government transparency and accountability?* No, as the survey covered the Four Pillars of Social Accountability.

To wrap up the discussion, Ms. Undral Gombodorj raised the point that social accountability is a process that has already been started in Mongolia. And while it has been framed by ANSA-EAP at the regional level, it is up to Mongolians to localize the concept, and decide on issues such as the connection between social accountability and corporate social responsibility.

After breaking for lunch, Mr. Cabaces recounts the activities of the day so far, and emphasizes the discussion on the need to localize the understanding of SAc in the Mongolian context. Mr. Cabaces asked the participants if a consensus on the Mongolian translation of "social accountability" has been reached—whether it is *responsibility* or *accountability* that it more closely related to.

After reiterating the points in the earlier discussion, the participants still have not reached an agreement on the translation of "accountability."

Mr. Cabrera stepped in to conclude the session by reiterating the connections between social accountability and good governance. In working with government towards transparency, accountability, and participation, citizens have to claim their stake and engage government through monitoring. Social accountability, regardless of how it is translated, is subject to continuous reflection, and is informed by practice and experiences. The process of carrying this out may not always be easy, but as the participants experienced in the roleplay, constructive engagement is a must.

> *Social accountability, regardless of how it is translated, is subject to continuous reflection, and is informed by practice and experiences.*

Session 2: Constructive Engagement (Part 2)
Facilitator: Ms. Angelita Gregorio-Medel, PhD

Session 2 continued with group reporting and concluded with inputs from Ms. Gregorio-Medel.

Highlights of the Group Reports.

- **Group 1: Group Observers**
  - On the process, the group noted that there was a lack of structure to the discussion.
  - On the effectiveness of the messages, they lauded the CSO representative for presenting evidence-based arguments and the mining company representative for her loyal to her company.

- o On who gets to speak the most, they noted that the CSO representative was able to communicate her frustrations well.
- **Group 2: Participants/Roleplayers**
  - o The group shared information on their role's background, and noted the conflicting interests, which hindered the quality of the dialogue.
- **Group 3: Participant observers** consolidated their observations under five major categories:
  - o MESSAGES
    - CSO representatives tried to deliver messages on the destructive mining operations
    - Government representative blamed central government for providing license to the mining company
    - Mining company representative remained confident about the company's point of view
  - o INTERESTS
    - CSO representatives kept blaming government
    - The professor was probably motivated by revenge
    - Government just wanted to look good to the company and the community
    - Government official was looking to promote himself favorably among his constituents
    - Mining company's interest was to start operations as soon as possible
  - o BODY LANGUAGE
    - Negative expressions were strongly expressed through non-verbals
  - o WHO THEY OFTEN ADDRESSED
    - It was not clear who the government officials were addressing
    - The mining company representative sought protection from the government
    - CSO representative 1 was attacking the government, but it was a one-way communication flow

During the open forum, the participants congratulated the roleplayers as they portrayed how multistakeholder meetings in Mongolia typically unfold. Ms. Gregorio-Medel picked up on the last point, saying that much like in real-life situations, things don't get resolved without clear decision points, and delineation of issues and objectives. She urged the participants to recognize the difference between **interests** (what drives a certain individual's position) and **positions** (being for or against something).

Input: Constructive Engagement[12]. In an effort to anchor the previous day's activity on the constructive engagement framework, as designed by ANSA-EAP, Dr. Gregorio-Medel presented on the framing and finer points of the session topic.

Constructive engagement is a process of building a mature relationship between two naturally opposable parties that are bound by a given reality. At the heart of constructive engagement is **communication**. Constructive engagement has a lot to do with interests and positions, and interest usually varies from person-to-person.

The very difference in people's personalities (e.g. males and females, citizens and government, teachers and students) situations, and beliefs can be the source of creativity and dynamism. It is these differences that allow for a learning process to occur and provide opportunities for relationships to mature.

Constructive engagement requires not only skills and knowledge, but also a predisposition.

Referring back to the question yesterday on sustaining collaborations: the difference between constructive engagement and collaboration is that constructive engagement allows for differences in opinions among stakeholders, whereas collaboration is more likely to lead to cooptation

At the heart of constructive engagement is communication. It requires skills, knowledge, and a disposition.

The elements of constructive engagement— **relationship** and **results**—were presented in a matrix. The optimal combination is that of high relationship among stakeholders and high results; this results in a high level of constructive engagement.

Constructive engagement is marked by certain characteristics:

- **Trust-building between citizen groups and government**, because if there is no trust, there is no incentive to pursue partnership
- **Evidence-based**, in that data and information should be used to justify positions
- **Results- or solutions-oriented**
- **Sustained and sustainable engagement,** meaning engagement should go beyond episodic dialogue and cooperation.

The key competencies of constructive engagement are **sustained dialogue** and **creative problem solving** while continuing to assert needed changes and reform.

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[12] Attachment 5: Constructive Engagement [Presentation]

- Dialogue is a process of "shared exploration towards greater understanding, connection, or possibility" (The Co-intelligence institute, 2003).
- Collaborative problem-solving involves creative inquiry, negotiation and systematic deliberation on options toward action.

At the heart of constructive engagement is communication, a process that involves exchage of info, thoughts, ideas and emotions.

Effective communication is marked by competency in four dialogue skills: active listening, framing and re-framing, probing, and feedback-giving.

Active listening is important because it complements people and exhibits care; it builds trust; and it leads to learning. There are three steps involved in listening: hearing, understanding, and judging. When asked which of the three occurred the most during the roleplay, the participants said that due to the prevalence of blaming and pointing fingers, judging occurred the most.

Given then importance of listening, one must be able to get past certain challenges, such as the fact that people's listening speed is faster than other people's speaking speed. Hence, there is a lot of "dead air".

Some tips that could help participants surmount challenges to active listening are:

- Paying attention
- *Listening* to body language – body speaks about how engaged a person is
- Taking notes especially during important conversations and questions – there usually is a wealth of information in dialogue
- Being aware of biases – don't bring in past negative experiences to the table; best to lay down your cards from the get-go
- Asking questions
- Avoiding negative mannerisms
- Listening to what is not being said
- Don't interrupt
- Golden rule

Framing and Reframing Messages

The difference between paraphrasing, reframing, and rephrasing:

- Paraphrasing is meant to clarify the meaning of a statement by changing the words used but ultimately retaining the meaning
- Reframing is when the meaning is altered by modifying either the context or the content of the message.
- Rephrasing is when toxic comments are translated into neutral and/or useful comments.

Probing. Probes are questions designed to elicit data or information. In order to get more information, it is recommended that one ask open-ended questions (what, why, how questions). Organizing questions using the ORID guide: Objective, Reflective, Interpretative, Decisive helps improve the clarity of messages.

Other tips for better probing are:

- Ask one question at a time.
- Give the other person time to answer. Don't immediately fill up the silence.
- Reinforce answers verbally.

Giving and Receiving Feedback. A feedback is an evaluative response to a message and can be positive or negative.

In giving constructive and corrective feedback, use the DESC framework— Describe, Express/Explain, Suggest, Contract/Compromise/Consequence.

The steps to take when receiving feedback are:

- Acknowledge the feedback
- Ask: Is the feedback fair?
- Think: How should I react?
- Remember: Feedback-giving is not about being the "bad cop"

"The most important thing in communication is to hear what is not being said." This is especially true in the case of opposable parties. For ANSA-EAP, governance cannot be improved if there is no recognition of the need to build a relationship between citizens and government.

Open Forum.

1. *In yesterday's roleplay, the actors were very aggressive. How can these various feelings be used to form one shared objective?*

    You have to learn how to facilitate. For instance, acknowledge the anger of the participants and address that anger by putting it on the agenda.

2. *We understand CONENG as consensus building. Is there a set of criteria to measure how effective constructive engagement is?*
    Consensus is not just an agreement. It's a real leveling of interests so that they can come together and meet higher objectives. A consensus that advances party interests instead of national interests is political consensus and not constructive engagement.

Some indicators of constructive engagement include continuing dialogue and positive result for development outcomes.

3. *In the case, corruption was prevalent. How do you say this without being negative?*
    Information (e.g. dates, data from lifestyle check) can be used. Constructive engagement requires preparation—data gathering and analysis.

Session 4: Public Finance Management
Facilitator: Mr. Redempto Parafina

Mr. Cabrera introduced the session and the session facilitator, Mr. Redempto Parafina.

Mr. Parafina introduced Public Finance Management (PFM) as a subject that can be serious and highly technical. Thus, the session's sole objective is to convince the participants that of the relevance of PFM in their work and their lives.

Mr. Parafina recounted a story from India, in which the mother expects her child to fully account for the money s/he receives. He likens the story to the main message of PFM—that it is about money, citizens' money, which government has to account for. However, unlike the situation in the story, PFM involves complex systems and processes. In order to give the participants a handle on the basics of PFM, three methods were used in the session: a) video presentation; b) plenary discussion; and c) input from a representative of the Ministry of Finance.

Video presentation. The video—*PFM 101*[13]—covered the basic definition, "red flags" or vulnerable areas, and SAc tools and initiatives for each stage of the PFM cycle.

PFM can be serious and highly technical…but it is relevant to citizens' daily lives.

Input: Mongolian PFM[14]. Ms. Ariunsanaa from the Office of the Ministry of Finance introduced some PFM reforms that the government of Mongolia are instituting.

- The government is currently harmonizing laws and government resolutions relating to government budget and expenditure, noting the contradictions and the gaps.

- A unified treasury account will be instituted for the entire government. This will ensure (a) quicker budget financing; (b) better reporting quality; (c) expenditure can be tracked on a daily basis.

- Online payment requisitions and invoicing will be ready in three years.

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[13] Attachment 6: PFM 101 [Video]
[14] Attachment 7: Mongolian PFM [Presentation]

- Auditors check government reports every month. The MoF also has an internal auditing department.

- More transparent budget processes. In response to NGO requests, information on budget expenditure is disclosed to the public. 2009 performance was also discussed by the Citizens' Hall.

Ms. Ariunsanaa also outlined the Mongolian budget process, which is at the heart of PFM:

1. Submission of draft budget to Parliament
2. Approval of budget
3. Commencement of procurement
4. Chief budget managers approve monthly and quarterly schedule for funding.
5. Minister of Finance approves the schedule
6. Minister of Finance approves the expenditure
7. Government agencies submit the payment request along with other supporting documents to treasury find

She also identified issues that must be address, reforms notwithstanding. For one, information on the budget needs to be further simplified for more people to understand it. The government also needs to report on how it is making information more

Open Forum. Mr. Parafina introduced a framework for the open forum meant to inspire a richer discussion of the PFM cycle in Mongolia:

- Participants can ask about PFM reforms in Mongolia
- Ariunsanaa mentioned the iteration of the different PFM cycle stages in Mongolia. Frame questions on how these stages are linked.
- Explore questions on whether citizen participation is appropriate in the various stages.

1. *On the budget law*
   a. *What are the expected changes in the budget law? Do you impose sanctions for violations uncovered through internal monitoring?*
   The new draft law has articles regarding the budget monitoring. There are some sanctions such as banning those proven guilty from taking government positions for up to 10 years.

   b. *Are there any articles enabling citizens' participation in budget planning and expenditure in the new draft law?*
   Budget planning software is currently being considered, and is expected to function by next year.
   Upon activation of the software, school budgets will be open to everyone; citizens will be able to actively monitor the school budget. However, the

software itself won't be available to the public to ensure the security of the software from hacks.

The new legislation includes concepts on program-based expenditure. But planning does not allow budgeting "in-between the programs", so citizen monitoring is crucial for this.

2. *NGOs and Budget Monitoring*
   a. *Are there any incentives for NGOs that are able disclose hidden income or similar information?*
      10% is paid as incentives in the case that illegal exports are unveiled.

   b. *We saw some cases from our survey and monitoring that some government officers get award for savings or underspent budget. Is this a correct solution?*
      Chairman and accountants of government agencies are interested in underutlization of the budge because they get awards for savings. This should be monitored by the citizens.

   c. *CSOs conduct monitoring on the government agencies. Will there be any possibilities of using the monitoring results in the operation of the government?*
      We use the results of monitoring and inspections and run audits to verify these results.

3. *Others*
   a. *Does the General Police Department impose fines for administrative breeches in order to generate income in the budget?*
      Fines are not for generating income, but for securing the social order.
   b. *What is the mission of the Ministry of Finance?*
      The mission is the proper coordination of monetary policy for the well-being of the people.
   c. *How do you plan decentralization? The centralization of the budget and re-allocation seems to be similar to old Socialist times.*
      Centralization will be focused on the mining income. For example, mining income generated from mines in Umnugobi aimag will be centralized and spent nationwide, because the mineral resource in this aimag is also the property of the nation.
   d. *Why do you say state money instead of public money?*
      "State" is understood as "nation".

Day 3, 17 November 2010

Day 3 of the workshop consisted of a recap/synthesis of the previous days' messages; and Session 5: Performance Monitoring using the Citizens Scorecard.

Session 5: Performance Monitoring using the Citizens' Scorecard

This session marks the move from framing social accountability to the various social accountability tools practitioners can employ to monitor various stages of the PFM cycle.

Synthesis. Situating the previous days' debates on framing social accountability, Dr. Gregorio-Medel emphasized the struggle to appropriate social accountability in Mongolia:

- Social accountability focuses on governance—citizen-driven governance. SAc, while useful on its own, will not overtake other change agendas—gender, human rights, community-driven development, etc. Instead, SAc work hews closely with anticorruption and CDD programs.
- Social accountability is focused on citizens monitoring government's use of resources in the arena of PFM and has specific tools
  - Participatory planning, whether for policy, projects or programs
  - Participatory budget formulation and monitoring
  - Participatory expenditure tracking
  - Procurement monitoring
  - Performance monitoring
- In social accountability, citizen groups do not exist to oppose and bring down government. Instead, under the framework of constructive engagement, citizen groups support what is working and commend processes and champions that abide by the principles of good governance. Conversely, they pinpoint gaps and blocks to good governance.
- The struggle of framing social accountability does not rest solely on bringing in the Mongolian culture and context, but to integrate what is new:
  - "Citizen oversight" and "social responsibility" doesn't catch what SAc is to you here; the challenge to ANSA-EAP and Mongolian SAc practitioners is to hold these two possibilities together, understand that they are not enough, proceed towards application and practice, and while practicing, learn in action
  - When the time is right, the seeming chaos will find organization and order. Mongolian SAc stakeholders will find the right term—one that resonates with the meaning of SAc and that ties with the Mongolian experience and practice.
  - The definition might be temporarily chaotic and seemingly without focus; what is important is to sustain the engagement.

Dr. Gregorio-Medel then introduced the next session on performance monitoring. While PFM logically starts with planning, one can begin using social

accountability tools anywhere in the cycle. In many instances, communities begin by developing and using scorecards or report cards, which are the most popular performance monitoring tools.

Dr. Gopakumar Thampi, a scorecard expert from India, has been invited to share lessons on developing and using scorecards. Dr. Thampi was one of the pioneers of the Bangalore citizen report card initiative.

Dr. Thampi, who is currently based in Dhaka, Bangladesh, sent a video recording of his lecture, which was shown to introduce the basic idea behind citizen scorecards. He connected to the facility via audioconference for the open forum.

Video: Input on Citizen Scorecards[15].

Open Forum. Dr. Gregorio-Medel facilitated the open forum, where participants had the opportunity to ask Dr. Thampi questions on citizen scorecards.

1. *What was the reaction of the government agencies when they heard the results of the CRC?*
   After the first card, they started accepting the results. For the second report, they were surprised and did not accept it. They accepted the third report as well. Eventually, the government understood that it is not a tool for criticizing them. So we started working together to identify the solutions based on the survey findings. During the CRC process, we presented goal and objectives to government agencies and allowed some time for them to prepare for the discussion. This helped to build trust.

2. *How do the politicians use the result?*
   Initially, they thought that it is only relevant to a specific agency or person. Lately the political parties and other institutions started regarding the findings with greater attention. So they have started reflecting the findings in policy-making.

3. *Has this tool ever been used in the mining sector?*
   We have no experience in this sector using the tool, but we used it in the agriculture and education sectors.

4. *How do you train and prepare the enumerators?*
   We provide a five-day training on how to develop the card, to select the sample size, to explain the result properly and to do advocacy. We conduct training in 15 countries using this module.

5. *What are the strengths and weaknesses of CRC?*
   Strengths – Scientific and information-based. This sets the ground for dialogue.
   Weakness – Time-consuming. It takes 3-8 months to conduct the survey. It is also costly.

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[15] Attachment 8: Citizen Scorecards [Video]

6. *What is the ideal interval between scorecard runs?*
    Two to three years would be a good interval between surveys on a particular sector.

7. *How fast do the improvements come about after using scorecards?*
    It depends on the findings. A roadmap of results (short-term; long-term) can be used as the basis for monitoring the improvements.

8. *Have you tried conducting CRCs online?*
    Household face-to-face surveys are usually preferred. Conducting surveys online is a possibility; the credibility of information just has to be considered.

9. *Can we request for sample questionnaires?*
    Samples should be available online. (Dr. Thampi will also send 3 sample questionnaires and a manual.)

10. *What are useful tips for the sample size?*
    The question when it comes to sample sizes is how well is it reflecting the stratification of the population? Also, purposive sampling makes for a more representative sample.

11. *What is the best practice for securing funding for scorecard initiatives?*
    There are donors supportive of scorecards all over the world. To minimize costs, students can be tapped as researchers.

12. *Do we always have to start with a desk review?*
    Not necessarily. However, it is helpful to check existing parameters and get to know the context very well. FGDs with concerned individuals are also useful in identifying key issues and problems.

13. *What sector was the first scorecard used on?*
    Seven municipal services were surveyed: public health services, power, wather, police, road, education, and garbage management.

14. *How can people be motivated to participate?*
    In introducing the survey, make it clear that the survey will help solve problems by telling the service providers what the issues are. However, do not raise unfair expectations. Frame surveys as an opportunity to give feedback.

15. *Can business organizations use citizen report cards?*
    Yes.
16. *Can they be used to score private services? Can individuals be evaluated? Can they be utilized for internal monitoring of NGO's work? Can service providers assess the people who use their services?*
    Yes.

17. *What if local government is not supportive?*

Higher level officials can be targeted if local officials are not cooperative. The survey is only 50% of the job – 50% is trying to enact change, so the cooperation of public officials is important.

18. *Experience with repeated CRCs without outcomes, and people get fed up?*
We have no experience of people not participating – we do not promise change, but we reiterate the exercise as a space for giving feedback.

19. *Do ordinary citizens find CRCs easy to use?*
Very much. Initial FGDs and pre-testing of questionnaires are undertaken to ensure this. We check if questions are clearly stated, can be answered easily, and if there is some difficulty with the terms used, etc.

20. *Are results about improving services or describing situation?*
Both. First step is a reality check.—CRC is not an evaluation or assessment. It's a collective problem solving exercise. We are also actually getting data which are helpful to decision makers and service providers.

21. *Ho do we ensure accuracy of CRC results?*
45 minutes is the ideal time to collect information for an effective survey. Thus, the design of questionnaire is important. There is also a need for triangulation or cross-checking with secondary data. Disseminating results to the public is the final check – people will react if information from CRC is not accurate.

22. *What is unique with CRC, and how does it connect to PFM?*
CRC comes in very strongly in terms of looking at outcomes—if public services bring in the expected returns. CRC affords citizens the following: 1) power of measurement – information can be generalized based on sample; 2) power of comparison over time or across agencies.

23. *What are tips on the average number of questions and the type of questions?*
Time is an important factor to consider in deciding on the number of questions. Close-ended questions are faster to encode. Open-ended questions pose some difficulties such as indiscernable handwriting of respondents. A good mix of 80% close-ended and 20% open-ended should work effectively.

24. *Can we combine several sectors in one CRC questionnaire?*
Very much. An advantage of CRC questionnaire is that the household, where respondents are found, are users of many different services.

25. *How can possible pressure from government on "not too positive results" be mitigated?*
1) Give results presentation an overall positive image by presenting positive results first; 2) Pose negative results as challenges—things that need to be addressed; this is where constructive engagement can be utilized.

Video: Bangalore, India Citizen Report Card.[16]

Input: Performance Monitoring[17]. Dr. Gregorio-Medel opened her presentation with a discussion of how weak accountability within government, the absence of citizens' collective action, and lack of corrective action all contribute to poor service delivery. She then asserts that in the extreme cases of unsatisfactory public services, there are two options for citizens: first, to assert their voice; or second, to exit.

> **Voice** refers to the pressure that can be exerted on public service providers by well-organized citizen groups either directly through complaint or protest, or indirectly by influencing or participating in the political process in cases where utilities are controlled by democratically elected public officials.

Performance monitoring tools are concrete ways for citizens to assert their voice. Among the most common of these performance monitoring tools are scorecards or report cards, which can also be called consumer reports, performance reports, provider profiles, quality assessment reports, community score cards, or citizen report cards.

Scorecards or report cards can be used for various purposes, including:

Performance monitoring tools are concrete ways for citizens to assert their voice.

- **Diagnostic** tool, or to provide stakeholders with qualitative and quantitative information on prevailing standards and gaps in service delivery.
- **Accountability** tool to reveal reas where service providers have not achieved mandated service standards
- **Benchmarking** tool that allows for the tracking of changes in service quality over time.
- **Investigative** tool, for instance, in revealing hidden costs beyond mandated fees.

In preparation for the activity, Dr. Gregorio-Medel gave the participants some handles in designing a report card:

Steps in Developing a Scorecard
- Identify objective of report card (including purpose and scope)
- Select quality measures
- Determine the frequency of reporting
- Develop the plan to collect, data verification, dissemination, sanctions/reinforcement. The workplan includes the schedule, staffing, budget plans.

Elements of a Scorecard

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[16] Attachment 9: Bangalore, India Citizen Report Card [Video]
[17] Attachment 10: Performance Monitoring [Presentation]

- Key Result Areas, or the product or service attributes that are important to the consumer or end-user.
- Performance Indicators or measures, or service level or standards.
- Questions
- Responses

To end her presentation, Dr. Gregorio-Medel shared the world-famous Bangalore citizen report card experience, which aimed to monitor end-users' level of satisfaction on municipal services.

Case Presentation: G-Watch Scorecard on Disaster Preparedness and Relief Operations in the Philippines[18]. Mr. Parafina then presented G-Watch's concrete experience of working on a scorecard to evaluate government disaster preparedness and relief operations in the Philippines. The scorecard took off from the Government Watch model of preventing corruption and applied it to disaster services.

In his presentation, Mr. Parafina emphasized the importance of a balanced scorecard, which takes into account internal and external assessments (e.g. financial, human resources, critical processes, customer perception), reviews of past performance, and pointers for improvement.

Video Presentation: *Bantay Lansangan* (Road Watch). [19] To give the participants a taste of other performance monitoring tools used in the region, a video on the *Bantay Lansangan* (Road Watch) initiative was shown. *Bantay Lansangan* is a nationwide road-monitoring network in the Philippines that aims to track the implementation of road projects in the Philippines.

Workshop Activity: Developing Scorecards. The participants were randomly grouped into four and assigned the following objectives:
- Groups 1 and 2 are to develop scorecards geared toward improving health services.
- Groups 3 and 4 are to develop scorecards evaluating primary education services.

Keeping these sector-specific objectives in mind, the groups were tasked to:

- Define the **issues** that the score card will explore;
- Identify the main **objectives** of the whole scorecard process;
- Define the key performance **indicators** (<u>maximum of 5</u>) that will be rated in the scorecard; and
- Outline the key **activities** in implementing the scorecard.

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[18] Attachment 11: G-Watch Scorecard [Presentation]
[19] Attachment 12: *Bantay Lansangan* Experience [Video]

Groups 1 and 4 then presented their workshop outputs[20] for critiquing.

Mr. Cabaces, who facilitated the workshop, gave a few pointers for improving the participants' scorecards:

- On the **scope.** Spend more time defining a detailed or specific scope or purpose.
- On **indicators**. Develop sub-indicators for each indicators. Indicators have to pertain to level of satisfaction and should be firm bases for quality. Indicators should reflect objectives.
- On **sample/target respondents**. Provide basis for selecting sample size or target respondents.
- On **context.** It's a good idea to begin with exploring the current situation—on what is already being done to generate citizen feedback. However, also survey whether and how complaints are attended to.

Dr. Gregorio-Medel chimed in by recognizing the regard for saving resources by looking at what is already available. Mr. Cabrera, on the other hand, stressed the importance of focus. Amidst the abundance of issues, it is essential to identify issues that are both critical and strategic.

Day 4, 18 November 2010

Day 4 of the workshop covered sessions 6 and 7—Budget Monitoring and Procurement Monitoring.

Recap Activity. Mr. Cabrera opened Day 4 of the workshop with an activity that was meant to make participants recall their best and less-than-ideal experiences from Day 3. After writing what they liked and did not like most on idea cards, some participants shared their answers:

Most liked:	Least liked:
- Video presentation - Question and answer after the video - Direct communication with the expert - Scorecard - Scientific approach of scorecard. break	- Change of venue - Bad time management - No tea break - Lack of facilitators during the exercises

[20] Annex 20: Workshop Outputs – Scorecard Activity

Session 6: Budget Monitoring
Facilitator: Mr. Edward Gacusana

Activity: Leveling off. Mr. Gacusana opened the session by asking the participants to write their expectations on the sessions for budget monitoring and procurement monitoring on two idea cards.

Expectations for the **BUDGET MONITORING** session:

- Budget monitoring
- Budget oversight
- Making budget easy to understand for the citizens
- Budget formulation
- How to make budget simple
- God examples and practices
- Budget monitoring tools
- Monitoring income from mining sector, its expenditure and the transparency
- Budget outcomes and benefits
- Ensuring budget discipline to establish social accountability, examples
- How to ensure transparency in expenditure of budget for social

Expectations for the **PROCUREMENT MONITORING** session:

- Steps of procurement and methods
- Principles of procurement
- Steps of procurement
- Checking of the performance is efficient
- Legal environment for procurement
- International best practices

Presentation: Budget Monitoring Initiative in Mongolia[21]. Mr. Tserenjav, Executive Director of Transparency Foundation, was then called on to share lessons from his organization' budget monitoring initiative, which started in 2006.

He shares that ordinary citizens might find it hard to do budget monitoring, but with specially crafted tools, NGOs can undertake budget monitoring initiatives. He also enumerates some of the issues surrounding budget monitoring in Mongolia, namely:

- Budget monitoring by citizen groups can only cover a small part of government funds. Large-scale investments, project and programs are left unmonitored.
- There is no unified system or database for monitoring data.

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[21] Attachment 13: Budget Monitoring Initiative in Mongolia [Presentation]

- Monitoring recommendations are often repetitive (e.g. ensuring transparency and improving legislation) and do not offer specific and tangible actions and mechanisms.
- There are no mechanisms of working constructively with the government agencies.
- Untimely release of results.
- Lack of advocacy work in accordance with the monitoring findings.

However, there are some steps that citizen groups can take in order to improve budget monitoring in Mongolia. These include:

- Using information technology in generating and handling data.
- Developing tools that can be understood and used by ordinary citizens.
- Bringing in the evaluation aspect of monitoring; that is, looking at the outcomes of monitoring activities.

Presentation: Budget Reform Initiatives in Mongolia. Mr. Batsu of the Ministry of Finance then presented budget reform initiatives originating from the government. He opened with the two major systems of budget oversight within government—financial inspections and audit by the National Audit Office. The government's decentralization efforts are also reflected in the new budget law.

There have also been efforts to make government budget more open to citizen scrutiny:
- Tripartite partnership
- Ensuring the participation of NGOs (Extractive Industry Transparency Initiative, Consumer Rights Protection Association,etc.)
- Citizens' Hall
- Single window service
- Glass wallet
- Public participatory schemes /WB funded Sustainable Livelihoods-II project

However, there are still some gaps—in internal audit, performance audit, and budget transparency—that need to be addressed. These gaps are brought about by several factors, including:
- Weak public/community participation
- Weak budget reporting
- Limited opportunities to disseminate information on budget to the public
- Current legislation does not mandate budget transparency
- Roles of government on budget approval are unclear
- Weak inspection and oversight

Mr. Batsu concluded his presentation by enumerating principles that help ensure the budget is open and responsive to public participation:

- Ensure budget stability

- Ensure budget comprehensiveness
- Proper financial and budget management
- Ensure budget transparency
- Ensure budget accountability

Open Forum.

1. *What is the current process of the budget cycle? Why are the financial requirements for policy setting is insufficient? How can this be improved? The population is growing, but is the infrastructure ready?*
Generally, it is planning issue. We receive a lot of proposals from the ministries in the development sector and we study these proposals from different angles. The current process is occurs annually. Every August, ministries submit their plans. We need to consider the potential of our budget to augment the financial requirements of programs. We need to prioritize the ideas and proposals and then budget for implementation. Ministry of Finance set thresholds this year and the remaining budget will be spent for funding the programs, according to the new regulation.

2. *What are ways to provide adequate funding to local government? Perhaps there is a need to clarify their directions and duties?*
This is an important point. It is impossible to decentralize without clarifying directions and duties of local government. We have a lot of alternatives that we discuss at the Ministry of Finance. Some key duties need to be shifted to the local government, providing them with power over their budget. In terms of education and health, there is hesitation to shift the budget for these to the local government because some policy makers think that the policy will not be implemented accordingly if this is turned over to the local government. Conversely, local governments are not interested to be responsible for social welfare as this brings lots of workload. A balance between the two must be struck.

3. *Can the implementation be shifted to agencies, because to an extent, the ministries are just policy makers?*
It is easy to legalize this. Ministries may shift the policy implementation to local governments, but they have problems in terms of capacity and human resource. All cycles should be the same in the rural areas, but that capacity was not built locally. There is no good integration and collaboration among the subsidiaries of the ministries.

4. *It says that public participation will be ensured. Will the detailed mechanisms be included in the legislation apart from this general declaration?*
The draft law does not have details on participation. Local budget is developed by the Citizens' Representative Khurals, but it opens more opportunities for budget monitoring. Local budget will be allocated using formula-based calculation.

5. *Savings in budget is often spent for cars and furniture. This means that the government agencies do not provide service adequately and using the underspent for their convenience.*

This does not happen in countries with good budget. In case there are savings, it should be withdrawn by the ministry for re-allocation.

Input: Budget Monitoring[22]. To give the participants a deeper understanding of citizens monitoring the budget, Mr. Gacusana presented the importance of citizen monitoring, the steps in budget monitoring and the generic budget process.

Citizen monitoring is important because it unearths and attempts to correct mistakes that occur during budgeting; and allows citizens to assess the current situation. Some areas that citizens can engage government are budget monitoring, procurement monitoring, and performance monitoring.

There are five basic steps involved in monitoring:

1. Identify whether to monitoring central government or local government.
2. Access information. If necessary sign Memorandum of Understanding providing citizens access to information.
3. Identify what information to look for.
4. Analyze data.
5. Report to public – share information with citizens before, during and after the monitoring.

Government budgeting is the process of planning for and allocating revenues, borrowed funds and other receipts (including grants or aid) to attain the economic and social goals of the country.

Government budgeting is the process of planning for and allocating revenues, borrowed funds and other receipts (including grants or aid) to attain the economic and social goals of the country.

Citizens can monitor any of the steps of the generic budget cycle:
1. Budget preparation
2. Authoriztion or legistlation
3. Execution or implementation
4. Accountability

Exercise. Mr. Gacusana then asked the participants to look under their chairs, where pieces of paper with the steps of the budget cycle are written. They were then instructed to construct the Mongolian budget cycle by reordering the pieces of paper.

Output: The Budget Cycle of Mongolia

1. Ministry of Finance reports the expenditure for the previous year
2. Ministry of Finance develops final report
3. Submits report to Parliament
4. Parliament approves the report
5. Ministries submit their draft budget
6. Ministry of Finance submits the draft budget to Government
7. Government submits the budget to Parliament
8. Approval

22 A

Mr. Gacusana wrapped up his presentation by enumerating budget types: (a) revenue, which includes tax, loans, and aids; and (b) expenditure.

Exercise. To give the participants a first-hand experience of the budget cycle, they were instructed to draw the map of Mongolia and sketch answers to the following:

1. Where to get money
2. How to spend money
3. What sectors to give priority to
4. What aimag to focus on
5. Who reports to citizens

The participants worked in groups[23].

Session 7: Procurement Monitoring
Facilitator: Mr. Edward Gacusana

Presentation: Policy Coordination and Inspection on Procurement[24]. Mr. Hangai, Chairman of Procurement Policy of the Ministry of Finance, opened the session on Procurement Monitoring by sharing the objectives and responsibilities of the procurement policy department of the Mongolian government.

He begins with an overview of the procurement process: procurement can be done within 63-79 days. However, 109.5 days are spent in procurement of 189 large- scale procurement tenders. He shares that Mongolian procurement law was evaluated as good (with 80 points) by the Economic Development and Cooperation Agency. However, the implementation of the law is always scored a low 40-50 points. In 2008-2009, the Ministry received procurement-related complaints from 16 organizations. .

The Procurement Policy Department is geared towards:
- Improving the procurement related legislation, rules and regulations
- Developing the rules and regulations, tools and templates for procurement

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[23] Annex 9: Workshop Outputs – Budget Monitoring Activity
[24] Attachment 15: Policy Coordination and Inspection on Procurement [Presentation]

Various responsibilities govern procurement processes, though some accountabilities are problematic. For instance, State-specialized inspectors should impose sanctions, but the details are not clearly stated in the legislation. As for vendors, the law states that a blacklist will be developed, but it does not say who is responsible for inserting the names of blacklisted vendors into the list.

On the availability of procurement-related information, Mr. Hangai shares that the budgeted amount for any goods and services should be available, so anyone can access it. Additionally, under Government Resolution No. 3 of 2010, budget expenditure should be reported every quarter by the Ministry of Finance.

Open Forum.

1. *The law says that only vendors with adequate financial and equipment capacity will be selected, but there was a case in Darhan wherein the worst vendor was selected. Who has the responsibility for imposing sanctions for this?*
   The law is being amended. Now the local government will organize the procurement. There are also plans also establish an agency in charge of procurement, and there will be local subsidiaries.
   The blacklist system is currently not being implemented.

2. *There is no mechanism to ensure that vendors provide quality goods or services. When will such a mechanism be in place and who will be responsible for compensating incurred losses?*
   We submitted the draft law on 9 July and expect that this will be discussed during the autumn session.

3. *In the expenditure of budget, cash transactions are made in large amounts. Also, the financial documents lack verifications and slips. What is the policy related to this?*
   The regulation of the State Treasury Fund prohibits the cash transactions.

4. *Only a few vendors are selected at the aimag level. Governors often select companies they own and there is no system to hold them accountable. How can this be stopped? If this practice isn't curtailed, government and private sector are controlled only by a few people.*
   NGOs are entitled representation in evaluation committees. New legislation also allows this provision on NGO participation.

5. *Comment:* Ministry of Finance cannot regulate society. In cases where there is conflict of interest, government officers should refuse participation in the selection committee.

Presentation: Why is Procurement Important?[25] Ms. Otgonjargal, in an effort to drive home the importance of citizen monitoring of procurement, presented the roles that NGOs can play in government procurement processes.

Government transactions are the biggest market for the private sector. In government procurement, is it correct to select vendors only on the basis of price? The legislation says the bid with the highest score (given several categories, including price of goods or services) will be selected.

Monitoring government procurement is important:
- Because no one has the right to spend public money inefficiently.
- For savings and efficiency. Procurement will be more cost-effective when competitive.

Several reasons for failure in procurement include:
- Inefficient planning
- Bureaucracy
- Mistakes in management and organization
- Government pressure
- Corruption

To help counter these issues, the new procurement regulation has a provision allowing NGOs as observers in the procurement process. Specifically, civil society can undertake social accountability approaches to monitoring procurement, and investigate as a group.

Monitoring government procurement is important because no one has the right to spend public money inefficiently.

Because imposing procurement-related sanctions in Mongolia is weak, contract performance is also weak. Unlike some countries where criminal sanctions are imposed, in Mongolia, the vendor blacklist is still empty. The Ministry of Finance should step up on imposing sanctions based on the information and evidence provided by the public and buyers.

Input: Procurement Monitoring as a Social Accountability Tool[26]. Mr. Gacusana then briefly shared with the participants some Philippine experiences of procurement monitoring, as well as the guiding principles of public procurement.

There are some good practices from the Philippines in terms of citizens observing procurement processess across sectors. Some groups assess the quality of services and delivery of goods, and submit their evaluation to appropriate ministries. Also, the Philippine Center for Investigative Journalism provides training to journalists.

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PRINCIPLES OF PUBLIC PROCUREMENT

1. Competition
2. Accountability
3. Transparency
4. Fairness
5. Efficiency
6. Effectiveness

Exercise: Red Flags.
After hearing about the principles of procurement, the participants were asked to break into four groups. They were given cases and tasked to use them for the following exercise:
1. Using the procurement principles, find the articles in Mongolian procurement law that reflect these principles
2. Read the case and identify at least three red flags.
3. Explain how the Mongolian procurement law and the red flags relate to each other.

Group Reports.

Group 1
Articles and Provisions of the Mongolian procurement law related to the procurement principles
1. Competition 8.6.,27.2.3.,30.1.2
2. Accountability 50.1.1 50.1.4.,47.3.1 47.3.4.,47.4
3. Effectiveness 8.7.4., 28.7.2.,28.7.4.,34.1.4
4. Transparency and fairness 21.1.,21.2., 21.3.,21.4., 52.1.12., 47.4., 47.6., 26.,
5. Time 36.4., 48.2., 32.5., 54.1

Red flags: Philippine case
- No regulation on gifts so they can be used as "hidden bribes" (1.3).
- Government officers do not adhere with the law. They might have pre-negotiated the winning bidder.
- Weak citizens' participation on PETS.
- Though government officers are in the know, there is generally a weak flow of information. There is also no system in place to protect the informant.
- Citizens' monitoring and oversight is important in procurement, so stakeholders should participate.

Group 4
Red flags: Cambodian case
- Buyers may not organize pre-tender meeting. Though they want to provide information on the procurement process, they have problems regarding the existing infrastructure.
- There are a lot of opportunities for making money (through rigged biddings).

Group 3
Articles and Provisions of the Mongolian procurement law related to the procurement principles
1. Competition 6.1.,
2. Accountability 50.1.1 50.1.4.,47.3.1 47.3.4.,47.4

3. Effectiveness 8.7.4., 28.7.2.,28.7.4.,34.1.4
4. Transparency and fairness 21.1.,21.2., 21.3.,21.4., 52.1.12., 47.4., 47.6., 26.
5. Time 36.4., 48.2., 32.5., 54.1

Red flags: Philippine case
- The policy board ensures the enforcement of law and the law coordinates only the government procurement. Each organization has a procurement committee.
- Planning is the key to successful implementation. There is a need for assessment. No mechanism for ensuring the enforcement of the law. Does not say what services or products can be purchased without competitive tender.
- Tenders for materials are not kept confidential. If the tender proposal is opened as soon as it is submitted, the confidentiality will be lost.
- Criteria do not have strict conditions; price is the only criteria.
- Internet is the key medium for information dissemination.
- CSOs have lots of opportunities to participate.

Group 2

Articles and Provisions of the Mongolian procurement law related to the procurement principles
1. Competition 6.1., 9.1., 50.1.1.,
2. Accountability 6.1., 47.5., 57
3. Transparency 6.1., 47.4., 36.4.,
4. Fairness 47.3., 50.1.2., 50.1.4.,
5. Effectiveness 6.1.,
6. Efficiency 6.1., 49.8.,

Red flags: Cambodian case
- No procurement law.
- During the procurement, they appoint a committee and run the procurement.
- Rigged pre-tender meeting and evaluation. Even during the procurement announcement, the winner is already clear.

Day 5, 19 November 2010

As a way of reviewing the key lessons of the past days, Mr. Cabrera opened the day by asking the participants to identify the one thing they remember the most from days one to four of the workshop.

Some of the answers that came up were:

- Open space exercise (particularly, because of collective decision-making)
- Constructive engagement session exercise

- Good governance and social accountability (because the participants found it useful and worth sharing with to others)
- Learning-by-doing approach

Mr. B. Ulambayar of the Partnership for Social Accountability Network shared a video[27] highlighting the key activities of the past days.

Session 8: Public Expenditure Tracking Surveys
Facilitator: Mr. Redempto Parafina

Jumpstarting the session was a Mongolian counting song led by Ms. Gombodorj of the Partnership for Social Accountability Network.

Input: Public Expenditure Tracking Surveys[28]. Mr. Parafina linked the counting song to the objectives of the session, prefacing it with the assertion that PETS is essentially a tracking tool, though it tends to get technical.

The session objectives were:
  o To understand OETS and its appropriate use as a SAc tool: identify uniqueness of tool; how ordinary citizens can make use of PETS
  o To introduce practical applications of PETS in selected sectors

Video: *Ihatid ang Aklat[29].* The video showcased *Textbook Walk* experience, a PETS initiative from the Philippines.

After watching, the participants shared key images or ideas evoked by the video.

> "
> - The song describes a big issue in very simple way—there are so many books in the warehouse, but the children are sharing just one book.
> - Demonstrated how harmful it is when a minority controls the wealth.
> - The child's attitude (he started out alone and lonely and became "happy and confident" when joined by the other children) seemed to mirror the positive results of participation.
> - As a Mongolian proverb states, "a single person is not a family; a single piece of wood will not make a fire".
> - I asked, why were the books not distributed?
> "

Mr. Parafina picked up on the last point and emphasized—*why were the children using only one book? Why were the books not getting to the beneficiaries?* PETS is about addressing a specific concern or the needs of specific sectors or

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[27] Attachment 18: Recap – Day 5 [Video]
[28] Attachment 19: Public Expenditure Tracking Surveys [Video]
[29] Attachment 20: Ihatid ang Aklat [Video]

beneficiaries, just like the ones identified in the video. In PETS, the outcome is clear—whether it's collective work as essential to successful reforms, or finding the connection between shared opportunities and shared responsibilities.

A similar public education situation also existed in **Uganda**, where the first PETS was conducted in 1995. Soon after that, the survey findings were used by many institutions working in the field of social accountability.

PETS essentially involves tracking where public funds are spent. It also involves checking how budget expenditure meets development outcomes.

In Uganda, the school attendance rate increased by 60% and the government budget increased three times. The survey questionnaire checked if the variable cost per children provided by the government was sufficient.

Before PETS was carried out in Uganda, only 13% of the government funding reached the children, which means 87% just disappeared. The service quality was poor. The survey was repeated in five years and showed that the leakage of funds decreased by 15%.

In summary, the first PETS in Uganda:
- Covered larger schools
- Used scientifically proven sampling method
- Used the government baseline data and used realistic quantitative data
- Showed concrete benefits to the community
- Had benefits to both government and citizens: government accepted results and citizens started using the results

Mr. Parafina also shared PETS experiences of India, Philippines, South Africa and Malawi.

Mazdoor Kisan Shakti Sangathan, India
The initiative started because rural workers were not receiving their wages from the rural employment generation project of the government, which was focused on local infrastructure. MKSS and the laborers requested the government to provide them with information on budget spending but the government refused. Thus, they launched a sit-in campaign at the local government office and at some point, the public caught wind of the issue.

The initiative eventually led to the passage of the right of information law and the tradition of social audit.

The social audit approach included face-to-face confrontations between the LGU officials, service providers and the community members participating in the rural employment project. The payment list of the government was verified in front of the public gathering and the false entries and discrepancies were revealed and laid bare. Thus the corrupt practices thus became known to the public.

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Concerned Citizens of Abra for Good Governance, Philippines
CCAGG started out as an electoral watchdog volunteer mobilization movement. After the election, the volunteers decided to take advantage of the new administration, which was more open to reform. They saw a newspaper report from the National Economic Development Agency and the Department of Public Works and Highways about projects in their own province, where 27 public works projects were reported as competed and duly paid by the government. Knowing that this information is incorrect, CCAGG mobilized community volunteers –housewives, students, youth, accountants, etc.—to document and report on the real conditions of the 27 projects. They sent the report to the DPWH, which verified the reports. They found the report of the CCAGG accurate and thus asked the district engineers to rectify the discrepancies and repair the projects.

PETS essentially involves tracking where public funds are spent and checking how budget expenditure meets development outcomes.

DPWH then instructed that all projects need to be certified by CCAGG before they are declared complete.

Public Service Accountability Monitor, South Africa:
Alarmed by corruption reports, PSAM compiled the Auditor General's report. They were able to verify that only 10% of cases in the report are given corrective action.

The government sent a team to follow up on the audit reports and this led to a significant improvement in performance. However, when PSAM disbanded, the increase in audit reports findings rose again to 86%.

Like the MKSS initiate, information dissemination also played a key role in this project.

Civil Society Coalition for Quality Basic Education, Malawi:
Over 60 CSOs participated in the surveys on the implementation of the MDG on education conducted by the CSCQBE. The surveys were conducted three times (time series analysis)—in 2002, 2005, and 2007. CSCQBE also launched an awareness campaign for their findings, lobbying for higher and timely pay for teachers and for allocation of budget for students with special needs.

Mr. Parafina wrapped up his presentation by surfacing some of the lessons from civil society experiences with PETS:

- Discovery of irregularity or missing funds inspired tracking efforts
- Hard data was used as evidence
- Government's cooperation ensured response to CSOs' findings
- Community-based efforts were successful
- Public awareness boosted impact

Presentation: PETS in the Mongolian Education Sector[30]. Ms. Gerelmaa of the Open Society Forum presented their PETS experience, implemented in 2004 in cooperation with World Bank. The purpose of the project was to track the flow of money in the education sector.

The project aimed to:
- Identify the obstacles in the flow of budget expenditure flow
- Identify if the expenditure is correct or not
- Assess of the power to manage the budget is used inappropriately
- Identify how the budget is planned
- Analyze school level expenditure.

The survey spanned qualitative and quantitative data from 118 schools, and was prepared through the following steps:
- Baseline survey – legal environment and budget allocation norms
- Meeting with stakeholders
- Developing questionnaire
- Training the enumerators
- Piloting in 6 schools

The findings of the survey included:

- There is a good balance between planned and expended education budget
- The Ministries of Finance and Education had centralized control over spending
- There was a 10% discrepancy between annual budget and school expenditure, but no conclusions on where this 10% goes. A training for stakeholders was needed in order to eliminate discrepancy
- School budget was decided based on the number of students. Total expenditure is lower than budget. Capitation grant is not a good system for smaller or schools that are far from city centers because they cannot afford teachers' salaries, materials, etc.
- Rural teachers are usually inexperienced; experienced teachers tend to stay in the capital city. Rural schools have to spend more to attract experienced teachers. In some instances, bonuses extra cost are used to pacify teachers' complaints.
- There is a need to change salary systems. Extra-curriculars should be taken into account in computing base salary.

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[30] Attachment 21: PETS in the Mongolian Education Sector [Presentation]

- Some people refused to disclose data which they considered to be "government property".
- The Standards Committee of the Ministry of Education was a partner and helped facilitate data-gatherin easier. However, only data from the Western areas were available. Results were non-conclusive because of the lack of data.

Summing up her presentation, Ms. Gerelmaa emphasized that PETS is not a tool to pinpoint corruption. It can however, identify discrepancies for publicization and follow-up action.

Open Forum

1. *How long did it take to conduct the survey? Is OSF going to provide training to NGOs and continue providing grants on budget monitoring? How is PETS connected to PFM?*
   The surveys were conducted for more than 1.5 years, from April 2004 to March 2005.
   OSF offers training to civil society in budget and procurement monitoring. Network members of OSF can submit grant proposals. OSF also publishes and distributes brochures on budget monitoring.
   The connection between PETS and PFM depends on how you cut PFM. It is possible to monitor any stage. The key is to identify focus sector/area to monitor, and then identify which stage in the Public Finance Management cycle.

2. *Our NGO implemented a monitoring project in 2006 and 2007. The project focused on the budget of an aimag, and how schools used the payment they are able to collect. We found out that the school uniform procurement is up to the director. Also the school spends a lot for salaries and electricity, and thus, they have very small amount left for other services. Did your survey cover these issues?*
   Our project had the same findings but the study didn't really look into who were corrupt. Discrepancy also doesn't automatically mean corruption; there can be a myriad of reasons—lack of skill, inefficient reporting systems—other than outright corrupt practices.

3. *You were supported by the ministry, but why did you fail to get information? Do you have any plans to do the survey on the State Treasury Fund? How about universities? Does the new draft law have provisions on budget monitoring?*
   We approached the government agencies for information several times.

Discrepancy doesn't automatically mean corruption…there can be a myriad of reasons—lack of skill, inefficient reporting systems—other than outright corrupt practices.

The Capital City Treasury Fund told us to get permission from the Ministry of Finance, but the ministry did not give its permission. Aimag-based treasury funds were the ones who provided us with the information.

We have no plans to do the survey on the State Treasury Fund.

Our team of experts is working on the budget law reform.

We tried to replicate the monitoring initiative in the health sector. However, budget monitoring is takes a lot of preparation and requires a lot of funding.

No plans to monitor the budget of universities, because they are funded by student tuition fees and are thus governed by a different budgeting system.

4. *Is it possible to publicize the findings to all citizens in simple ways?*
   We printed results on newspapers.
   An economist from the World Bank also had a report, but these inputs were not publicized.

Video: *Bantay Eskwela*-Davao[31]. The *Bantay Eskwela-Davao* initiative capitalizes on the volunteerism of public school stakeholders in monitoring school furniture deliveries in the Philippines. The video featured interviews with parents, teacher and other proponents, as well as showed students and ordinary citizens using a simple monitoring tool to check the deliveries.

Input: G-Watch as a PETS Initiative.

Before giving the participants the instructions to the roleplay, Mr. Parafina introduced Government Watch, a Philippine-based initiative that developed a simplified tracking or PETS tool especially designed for ordinary citizens' use.

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[31] Attachment 22: Bantay Eskwela-Davao [Video]

Simplified (G-Watch) Tracking Tool

Project	Plan/Standard	Actual	Variance	Cause of Variance	CSO Assessment	Gov't Assessment
Time						
Cost						
Quantity						
Quality						
Policy						

G-Watch volunteers used the tool to track the delivery of medicines, roads, bridges, and textbooks.

Through the various experiences of G-Watch, the value of PETS as a diagnostic and baseline tool was reinforced. However, PETS is only a stimulus, and more concrete reforms should follow after the results of the survey have been generated.

Exercise: Roleplay. To get a first-hand experience of how PETS work, the participants were asked to pick among three sectors—education, health, and public works—for their roleplay case[32].

Roles were assigned to five participants, while the rest observed the roleplay.

     Roles:

- Minister of Health
- Local health officer
- Frontline provider
- End-user
- Tracker/Monitoring officer

The video documentation of the roleplay is available.[33]

Summary. To close the session on PETS, Mr. Parafina highlighted the following key lessons:

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[32] Annex 10: PETS Roleplay Case
[33] Attachment 23: PETS Roleplay Exercise [Video]

- PETS is useful because it allows us to assess change over time. Thus, it's not something that's done only once. PETS results are useful baseline reference of service delivery programs.
- Citizens' use of PETS show promising results when undertaken conscientiously. Thus, adequate preparation is needed.
- Certain competencies are required when gathering and processing data. Take care in extracting judgment from gathered information.
- As exhibited by the case of MKSS in India, access to information is a key ingredient of PETS. Awareness raising reinforces PETS as a SAc tool. Findings must be shared with the public; let the public know. Empower them with information that we, civil society groups, have; this makes SAc authentic and blossom organically.
- PETS is most useful with government's cooperation.

Wrapup

Wrapping up the sessions on social accountability tools, Mr. Cabrera reviewed the learning framework of the entire five-day workshop:
- Citizens should claim their stake in governance. While it is yet unclear, soon we'd have a clear understanding and term for social accountability in Mongolia—one that is born out of your experiences.
- Governance reforms should be animated by constructive engagement.
- Venue to monitor government is in the arena of PFM—where resources are raised, planned for, and spent by government, and where these translate into services and goods for citizens.
- Social accountability tools across the PFM include:
  - Budget monitoring
  - Procurement Monitoring
  - PETS
  - Citizen report card
- We can and must be inspired to undertake collective action toward SAc.

After hearing Mr. Cabrera's wrapup and recap of the learning framework, a participant commented: *We were together for five days, and now we have a common understanding of social accountability. I was reflecting on my learning and how this can be applied to my work. I think we need to focus more on the grassroots level next. We want to train ordinary citizens. This is our contribution to the SAc agenda. Thanks ANSA-EAP and World Bank.*

Mr. Cabrera then turned to the other participants and asked, **how far have we been able to achieve in terms of reaching the objective of aiming to build understanding of competencies of CGS and other stakeholders in adapting and undertaking SAc approaches towards good governance?**

Rating (1-10, 10 being the highest)	Comments
10	[To come up with this rating] we compared our level of knowledge from before with what we know now.
8	Personal objectives were met. First, to know *what is SAc and whre do I stand in the bigger scheme of things?* Second objective was to learn new SAc methodologies. Third, by participating in this training, we should be able to implement some small projects in the future, to realize and concretize what we learned. However, there is still the challenge of implementing SAc initiatives in an integrated way.
10	The training goal was fully met. The tools were previously used in Mongolia. We also realized that NGOs need to focus on actions and do permanent monitoring. We suggest having an integrated database of monitoring activities, so government can easily access monitoring results.
9	Gained knowledge on how to ensure the citizens' participation and how to engage with the government, and with other NGOs.
10	In the past, NGOs and government had many efforts. Now, we will have shared and coordinated efforts. It was good that the training was not just for NGOs.
10	We learned that we can now work together and what methodologies we can use.
10	As a government officer, I found learning about SAc and good governance relevant to my daily work.

Speaking for the training group, Dr. Gregorio-Medel said that she is heartened by the feedback although there is still some room for improvement. She posed a challenge to the participants—to make SAc and learning about SAc Mongolian because "foreigners can only go so far... the challenge is in your hands."

The challenge [to make social accountability Mongolian] is in the participants' hands.

Presentations: World Bank-funded Programs.

Representatives from two projects funded by the World Bank presented the objectives and outcomes of their projects. According to Ms. Jamba of World Bank-Mongolia, it is their dream that their projects be more inclusive of SAc elements.

1. **Project: Improving Public Services in UB.**
   - Funding sources: World Bank loan; Japan-funded grant

- Objectives: improve environment and enhance quality of living in ger area.
- 40 community groups were mobilized to help provide necessary information, establish groups, and convey message to community that partnership and capacity building were needed by the community people.

2. **Project: Sustainable Livelihood**
   - A three-phase project currently in the second phase of implementation.
   - Goal: Local development with citizen participation.
   - 33 program implementation units as well as 2000 volunteer facilitators.
   - Activities:
   o Community initiative
   o Rangeland
   o Micro-finance
   - Uses a small-scale model of social accountability.
   - Funding: World Bank loan (US$ 35 million); Government of Japan grant (US$ 2 million); 5% contribution from community; Mongolian government provides the incentives and discounts on tax.
   - Local community participates in budget planning, monitors, oversees procurement, checks the implementation and performance and reports back. Generally, implements all steps of financial management. It is big nationwide project; if we cooperate with CSO, the overall result will improve.

Open Forum

Can we do monitoring on Sustainable Livelihoods project? Or can this entire team do monitoring as a field practice?
There was some monitoring on our project and think it is quite possible. There is a big demand for this because we do not have the capacity to monitor, given the big scope of our project.

Presentation of the SAcLAP Project Proposals Guidelines

A component of the entire Mongolia SAcLAP is the development of social accountability project proposals and the provision of grants (by the World Bank) to the proposals that will be chosen for implementation.

To frame the context of the proposals, Ms. Jamba outlines the World Bank-Mongolia's involvement in SAcLAP.

SAcLAP is implemented by the Governance Partnership Facility of World Bank Mongolia Office. Because Mongolia has a mining-based economy, the Bank aim at supporting civil society at this critical time by:

1. Raising public awareness on the important precautions of citizens of a country with mining based economy
2. Building capacity of independent research teams
3. Creating public awareness and skills to take social accountability action
4. Building the capacity of law makers
5. Improving capacity of media and journalists.

Ms. Jamba said that SAcLAP approach is particularly appealing because:

- South to South approach enables the information and exchange sharing in between developing countries with similar conditions.
- Learning by doing (learning in action)
- Based on cooperative engagement

She then shared the guidelines for proposal development:

1. The proposals will be selected through a competitive process.
2. Proposal development will be until 10 December 2010
3. The selection committee will be composed of ANSA EAP, PfSAN and WB representatives
4. Criteria for proposal selection are:
   a. Relevance
   b. Scale
   c. Innovation
   d. Startup
   e. Creative focus
   f. Clarity and congruence
   g. Evidence and examples
   h. Comprehensiveness
5. Project timeframe of proposals is 6-7 months

In response to a participant's question on two or more participants collaborating on a project, Ms. Jamba said that his is highly encouraged.

Dr. Gregorio-Medel gave further instructions for developing project proposals:

- Proposals should be submitted to DEMO, the coordinating organization of PfSAN, by 10 December 2011
- There is room for both continuing projects and new ideas.
- Proposals can either be written in Mongolian or English.

Activity. As the final activity, participants were asked to submit their preliminary ideas for projects. The following information were requested, written on idea cards[34]:

- Project name
- Issues to address
- Project goal
- Scope, sector and elvel
- Social accountability tools to be used

Closing Ceremony and Awarding of Certificates.

The five-day workshop concluded with the participants receiving their certificates of participation.

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[34] Annex 11: Participants' Proposal Ideas