

A Social Audit Toolbox for Philippine Civil Society

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This Handbook has been prepared for the
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Chapter 1. INTRODUCTION

Objectives

This handbook is about social audit tools – devices that enable humans to achieve greater results in performing tasks they find worthwhile doing. Tools can be simple extensions of the five senses, to complex mechanisms for extending the total mental and physical limits of humans. The Ringlemann Smoke Chart is the simplest social audit tool known to humans. On the other hand, the Millennium Development Goals are a complex tool for getting humans to agree on what it means to “develop”.

This handbook aims to provide civil society organizations itching to start on social audit and social accountability journeys a quick guide on how to get started and be aware of the challenges and opportunities down the road.

The handbook provides an explanation of what social audit is and why it is important for development and democracy. It also explains why civil society organizations have a special role in carrying out social audit projects, and teaching the people to carry these projects out on their own, repeatedly, and eventually, habitually.

The handbook categorizes the tools according to targets of the audit, the implementors of the audit, the clients, customers, and beneficiaries of the audit, and the subject and scope of the audit.

For each category, the handbook selects a tool that is either tried-and-tested or enticingly promising, for more detailed discussion of how it can be deployed. Key templates are presented to give interested civil society organizations a peek at the “engine” of the social audit tool.

The handbook calls attention to the underutilized “force multipliers” like the National Service Training Program (NSTP) and illustrates how this program can be used to create a core of young people with social audit competencies.

Finally, the handbook identifies individuals and institutions that can be contacted for more detailed and operational learning and guidance on how to use the tools.

Background

This manual is an initiative of the Transparency and Accountability Network to provide civil society organizations the social audit tools to support the development-, democracy-, and capacity-building efforts of their communities and sectors. It is an offshoot of two streams of activities – the actual broad and deep involvement of TAN in social audit and accountability projects, and the TAN roadshows that have shared the

tools and experiences of the TAN member organizations with civil society organizations in Metro Manila and throughout the country since 2007.

This handbook represents an attempt to level up the deployment of social audit throughout the country across governance and development problem and issue areas, by generating sharing, coaching, and mentoring interactions and relationships among civil society organizations.

This intensified interaction and sharing efforts are now much more effective and sustainable because of several factors, among them the increased experience and confidence of civil society organizations in the conduct of social audit and accountability projects, the increased receptiveness of government agencies, private corporations, and even civil society organizations themselves to social audits of their own organizations, as well as the tremendously improved infrastructure for information, communication, training, and education made possible by the internet, social media, and great leaps in information and communication technology in general. Historically, the inauguration of a new administration also provides fresh perspectives and hopes, renewing and reinvigorating communities, sectors, and the public, private, and civil society organizations that respond to their needs and expectations.

Audience

This study has several audiences. The primary audience is the NGO community and target-beneficiary sectors that hopefully will be empowered by the social audit tools profiled in this report.

The secondary audience are the targets of social audit themselves, who need to appreciate the increasing popularity of social audit tools, and welcome their deployment as an essential process towards helping make them more responsive and responsible to their clients, customers, and constituents.

Limitations

While this manual presents the essential mechanism of how social audit tools work, the information provided will not be sufficiently detailed to serve as a single sufficient guide to implementing or deploying these tools. Once the tool is understood in its essential completeness, the organization interested in the tool must look up the organization that has had experience in its use. The Appendix profiles and provides the contact information for these resource persons and institutions.

In many cases, the report simplifies or idealizes the process of using the social audit tool, skipping unnecessary steps that may have been historically experienced in the development of the tool. Apart from the limitations of space, this feature aims to focus on the logic of the tool rather than on less important operational details.

Chapter 2. AN OVERVIEW OF SOCIAL AUDIT TOOLS

Overview

First, let us be clear about why civil society organizations want to do social audit. I do not have a doubt that many civil society organizations have come to a point that they have decided and committed to do social audit and accountability types of projects. They are not looking for reasons to be convinced. They are already convinced. All they are looking for are the means – strategies and approaches, tools and resources to carry it out.

But social audit is now so important because it is the missing link in bringing about real development, real democracy, and real empowerment of the people as individuals and in their communities. It is the operational equivalent of the dictum “Eternal vigilance is the price of liberty.” Habitual social audit by communities and individuals is the essence of eternal vigilance.

Political, economic, social, technological, and environmental governance without social audit is like a basketball or tennis game where nobody cares to keep score. In the end, there is no valid and reliable way of finding out who won, who lost, who benefited, who performed well, and who failed to do his job. It becomes more difficult to understand why a certain (usually undesirable) result has happened -- was it the strategy? Was it the implementation? Was it the lack of resources? Was it lack of training? Was it the lack of leadership? Finally, it is impossible to determine what needs to be done about the problem.

Social audit, in its broadest sense, is a measure of institutional responsiveness to society -- finding out whether functions, obligations, and commitments of societal institutions -- government, private sector, and civil society organizations, church, media, academe – have been fulfilled from the point of view of the needs and expectations of the people, rather than from the point of view of legal, political, administrative, economic, or financial accountability.

What is social audit?

Social audit is a tool by which government agencies, business organizations, and non-governmental organizations determine the extent of the social relevance, social responsiveness, and social accountability of a given organization.

Social audit is an instrument for measuring the social accountability of an organization. Social audit is used to ensure and enhance social accountability through gap measurement.

Social audit is the purposive examination of the operations and workings of any organization to determine its contribution to social well-being. Social audit checks the extent to which the claimed, promised, or advertised contributions or regard for social welfare and relevance by an organization are valid or reasonable.

Social audit looks at both the internal and external social consequences of its operations. It can look at the extent to which an organization takes care of the welfare of its employees as well as its external clients and customers.

Social audit may be undertaken by an organization on itself as well as on others. A government agency may undertake a social audit of other government agencies, business corporations, and non-governmental organizations to determine social accountability. For that matter, it can undertake one on itself by engaging an external organization to conduct the audit. Non-governmental organizations may undertake social audit of government, business corporations, other non-governmental organizations, and on themselves. Usually, business corporations undertake social audits on themselves through consultants.

Social accountability presupposes the existence of a “social contract” relationship between government and citizens, where government is vested with authority to exercise power for the common good, while citizens are vested with the right to exact accountability for the proper use of that power.

In the exercise of its power under a democratic regime, the government shares its authority and accountability with other actors in society – business organizations that are permitted or licensed to operate, non-governmental organizations and people’s organizations that are allowed to share in the delivery of public goods and services, social institutions like churches, schools, communities, professional and civic organizations that share in the task of community-building and contributing to societal well-being.

Governance goes beyond the workings of government in the management of the affairs of a nation. It involves the participation—and accountability—of a host of actors in the various facets of a society’s life—political, economic, social, and technological.

Social audits are an attempt to formalize and systematize the social accountability of governance institutions to the people, to match the more or less formalized and systematized process of exercising political, economic, and social authority in society.

Social audits are a relatively new class of accountability mechanisms, and the design, deployment, and efficacy of the tools are varied.

The eventual role of social audits is to make them habitual, routinized, institutionalized instruments of accountability in governance. At the moment, they are project-oriented attempts to demonstrate the usefulness of the tools and promote their use. Eventually, they should become embedded rather than “tacked on” or retrofitted mechanisms.

Social audits may be the only way social accountability can be assured. The social audit process may be so demanding in terms of motivation and resources that only the target beneficiaries eventually may have the sustained energy for it.

Social audit is distinguished made in contradistinction to a financial audit, which measures the financial or income accountability of an organization to its owners.

Social audits are meant to be independent audits – that is, safeguards should be taken to ensure that the organization subject to social audit does not unduly influence the results. In the case of a social audit that is undertaken by the organization itself, the audit should be undertaken by a unit that is independent of the operating units subject to the audit. This is akin to an internal affairs division or department of the police undertaking an audit of the police department. The audit can also be undertaken by a staff department at headquarters and conducted on a lower unit in the central office or a regional office.

Social audit is a delivery and delivery capacity measurement tool. It is external to the work and structure of the audited organization.

How is social audit differentiated from social accountability?

How different is social audit from social accountability? Social audit is a subset of tools of social accountability that generates information and understanding of the gap between the actual and targeted performance of public service delivery organizations, both public and private. It is a feedback generation and communication system.

The action for reducing those gaps is no longer social audit -- they are in the realm of social accountability. Social accountability is the active process of reducing gaps between actual and targeted delivery of public services through organizational, process, and cultural adjustments on the part of the delivery and receiver systems. It is the process of making the service provider make good on his promises.

It is difficult to distinguish social audit from social accountability. If the concepts must mean some difference, it must be necessary to point out that strictly speaking, there are other tools of social accountability that are not part of the social audit process. These are participatory planning, organization and capacitation of target-beneficiary organizations on the receiver side, and increased responsiveness, effectiveness, and efficiency on the supplier side.

How did the concept social audit develop and how did it emerge in the Philippines?

The concept social audit is close to its original meaning. "Audit" is the Latin term for "to hear". Roman emperors sent auditors to get feedback from the people about the rule of various local rulers within in the empire. The auditors went to public places and sought out the citizen opinions about living and social conditions. [4129]

The concept social audit was first used in 1972 by Charles Medawar, a British specialist on medical policy and drug safety who is currently director of the London-based Social

Audit Ltd. Medawar points out that the concept of social audit is based on the principle that in a democracy, decision-makers should account for the use of their powers. These powers must be exercised with the consent and understanding of the citizens. [4129]

"Social Audit has evolved from the stage where these evaluations had no shared structure or method and no agreed criteria to a stage where it is now accepted as an independent evaluation of the activities and programmes being implemented by an organisation. Early in the history of Social Audit, a number of community organisations began to undertake audits of their community that included physical and social assets, natural resources and stakeholder needs." [4133]

The Philippines, along with India, the two oldest democracies in Asia, are reputed to be leaders in the development and use of social audit in the region, on the basis of recent social accountability stocktaking studies [1932]

What type of social audit does your CSO wish to undertake?

There are many ways of categorizing social audits. The following table presents a comprehensive schema.

\Auditor (Who performs the social audit?)	PO	NGO	PS	GA	Social Institutions (church, media, academe)
Auditee\ (Who is the subject of the social audit					
PO (Cooperative, Barangay, Farmers, Fisherfolk, Women's org)	Senior Citizen Discounts	Use of training, resources, facilities, equipment	Use of donated land and equipment	Cash Transfers Senior Citizen Discounts	Ethics, social values, equity, fairness, public good
NGO (Environmental, Livelihood, Good Governance, Empowerment CSOs)	Results of government contracted services	Code-NGO Council for Corporate Concerns?	Use of grants and donated equipment and facilities	Accreditation Schemes	Ethics, social values, equity, fairness, public good
PS (Public Utility Companies, Extractive Industry Companies, Infrastructure, Health and Medical, Government contractors)	Social Impact/Acceptability Study	Environment Labor policy Employee welfare AES Watch Public Opinion Survey	PBSP Mutual monitoring (truth in advertising)	Price Monitoring Labor, Health, Safety Regulations Truth in advertising	Ethics, social values, equity, fairness, public good
GA (Local governments, education, health, livelihood, labor, trade, public order and safety, business licensing, infrastructure, regulatory)	Ulatbayan Report Card Survey	Social Watch AES Watch Procurement Watch Infrastructure Watch BantayEskwela Appointments Watch Public Opinion Survey	Congress Watch Appointments Watch	OPIF LGPMS IDR IDAP Horizontal Accountability (checks and balance)	Ethics, social values, equity, fairness, public good
Social Institutions (Church, media, academe)	Abuse of authority or influence; conflict of interest	Abuse of authority or influence; conflict of interest	Abuse of authority or influence;	Abuse of authority or influence;	Abuse of authority or influence;

			conflict of interest	conflict of interest	conflict of interest
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Focus of Social Audit Tool

Social audit tools may focus on the following facets of the organization subject to audit:

Mission Focus

Government agencies may not be socially accountable or not responsive to the needs and expectations of the people, not because of low capacity or performance, but because their missions are formulated and stated in a way that does not impel them to be socially accountable.

When I was president of the Concerned Citizens Against Pollution (CoCAP) advocating for clean air prior to the enactment of the Clean Air Act. We learned that the one of the biggest owner of diesel vehicles was the Army. We therefore set a meeting with AFP top brass to convince them to fit their army trucks and tanks with catalytic converters. The top general was taken aback. He said their mission was to hunt down the enemy, not to keep the air clean. They would rather buy more weapons than fit their trucks with clean-air devices.

Social audit measures the gap between what the mission statement of an organization should be, and what it actually is as a guide to the organization's operations.

Stakeholder Relations Focus

Organizations may not be socially accountable because they do not identify and pay attention to their stakeholders. Many government organizations are far removed from their target beneficiaries. Foreign affairs departments who negotiate diplomatic agreements are insulated from the sentiments of ordinary citizens about world affairs.

Social audit measures the gap between how organizations should relate with their stakeholders, and how they actually relate to them.

Resource Use Focus

Organizations may have low social accountability because of the way they generate, dispense, and manage their resources. This is the most common justification for low social accountability – the lack of resources.

Social audit measures the gap between how organizations should generate and distribute their financial resources, and how they actually do so.

Core Process Focus

Organizations may have low social accountability because of the way they conduct their core business, the way they adopt standard operating procedures, or the way they design and deploy methods and tools.

Social audit measures the gap between how organizations should operate, and how they actually operate.

Outcome Focus

Organizations may have low social accountability because their intended outcomes do not match their actual outcomes.

Social audit measures the gap between intended outcomes and actual outcomes.

Capacity building Focus

Organizations may have low social accountability because their organizations have not learned from past lessons, and have not enhanced the capabilities of their staffs.

Social audit measures the gap between the goals and objectives of the organization, and the actual institutional capacity and staff capabilities to deliver on those goals and objectives.

Accountability Focus

Organizations may have low social accountability because individuals and groups in the organization privatize public resources.

Social audit measures the gap between the level of integrity an organization should have and demonstrate, and that which it actually achieves.

From this discussion, it is clear that social audits can focus on any of the balanced scorecard perspectives, depending on which perspective is considered to be the most instrumental in explaining the level of social accountability of the organization.

Implementers and Targets of Social Audit Tool

CSOs auditing GAs (Transparency and Accountability; Good Governance)

Civil society organizations on behalf of some target beneficiary sector or community undertake social audit of a government agency, usually for transparency and accountability and good governance goals. An example would be the Transparency and Accountability Network doing a social audit of the DPWH performance in road construction under BantayLansangan.

GAs auditing GAs (Performance Management; Good Governance)

Oversight government agencies are often tasked to implement projects that would improve the performance of government agencies in general. These performance measures implement a “balanced scorecard” menu of performance areas that often touch on the responsibility of the agencies to their customers and target beneficiaries, virtually serving as social audit tools. Among these social audit tools are the Integrity Development Review (IDR) developed by the Development Academy of the Philippines (DAP) and implemented on initially on pilot agencies and eventually to 20 agencies, the Integrity Development Action Plan (IDAP) implemented by the Presidential Anti-Graft Commission (PAGC) on various agencies in the executive department, the DAP Report Card Survey (RCS) of Metro Manila, and the Local Governance Performance Management System (LGPMS) implemented by the Department of Interior and Local Government (DILG) on local government units.

PS auditing PS (corporate social responsibility)

Private sector organizations seeking to determine (or demonstrate) their corporate social responsibility and accountability often hire other private sector consulting firms to do a social audit on them.

CSOs auditing PS (social impact)

Civil society organizations can also do a social audit of private sector organizations. These can take the form of social impact or social acceptability studies of private sector investment projects.

Some of the other forms of social audit are conceptually valid, but empirically rare. These are:

POs auditing POs: collective action problems (consumers, meat vendors)

People’s organizations such as consumer groups can do social audits of market vendors who are alleged to be selling “hot meat” (meat from diseased animals which did not undergo proper meat inspection by the authorities).

POs auditing CSOs: (performance audits; process audits)

People's organizations which are target beneficiaries of non-governmental organizations receiving government funds for projects on their behalf may undertake social audits to check the extent to which the delivery of services are as expected.

POs auditing PS: (environment; health; public order and safety)

People's organizations can also do social audits of private sector organizations that negatively impact their environment (chemical companies dumping waste water into rivers, or private enterprises in residential zones emitting toxic smoke.)

POs auditing GAs: (performance audits; responsiveness)

People's organizations can also conceivably do social audits of government agencies that are supposed to provide them with public services. The volunteer community monitors of BayanihangEskwelawhich monitor the construction of public school buildings are involved in this type of social audit.

POs auditing Social Institutions: (conflicts of interest)

People's organizations may also undertake social audit of social institutions, such as church organizations, for improper policies regarding improper behaviour of priests adversely affecting the welfare of kids.

Criteria for choosing social audit tools

There are several criteria that must be considered in choosing social audit tools.

Obtrusiveness

Obtrusiveness refers to the extent to which a social audit process intrudes into or disturbs the operations of the audited organization. The more obtrusive a social audit, the more unwelcome it is to the audited organization. It would also require more personal and material resources from the implementing organization to overcome the resistance.

An employee survey (as part of the corruption vulnerability assessment component of an Integrity Development Review) would be more obtrusive than a report card survey.

Partner-ability

Partner-ability refers to the extent to which the social audit project is amenable to cooperation across stakeholders and across levels. Some social audit projects are more partner-able than others. The Bayanihang Eskwela project has higher partner-ability than a report card survey. The more organizations are involved in the Bayanihang Eskwela, the higher are the chances of success. The more organizations are involved in a report card survey, the greater the threats to the validity and reliability of the results.

Maturity

Maturity refers to the extent to which the social audit tool has been designed, tested, improved, and further adjusted for maximum effectiveness and reliability. Some social audit tools have higher maturity as tools than others. The report card survey, building on standard survey methodology, is more mature than more customized tools such as the Automated Election System Watch (AESWatch).

Routinization

Routinization refers to the extent to which a social audit tool can be made habitual to both the implementor and target of the social audit. Some social audit tools take much more effort to repeat regular intervals than others. The AESWatch is less amenable to routinization than the Integrity Development Review. Both are less amenable to routinization than the citizen report card survey.

Sustainability

Sustainability refers to the extent to which the financial and human resources needed to implement the social audit tool are easy to generate. Some social audit tools are more sustainable than others.

Replicability

Replicability refers to the extent to which the social audit tool can be used in different geographic areas. Some social tools are more replicable than others. Citizen report cards are more replicable than agency watch tools.

Expandability

Expandability refers to the extent to which a social audit tool can expand in scope. Some narrow scope social audit tools like BayanihangEskwela have greater expandability than appointments watch. BayanihangEskwela was in fact a form of expansion of the Textbook Count tool.

Cultural acceptability

Cultural acceptability refers to the extent to which a social audit tool is acceptable to the target beneficiary community, the implementing organization, and the subject organization. Some social audit tools are more acceptable than others. The citizen report card is more culturally acceptable than the key process check component of the Integrity Development Review.

Maturity Evaluation Matrix

In checking the maturity of a social audit tool as a level of readiness for replication, expansion, and routinization, it is important to look into the design, implementation, evaluation, and development of the tool. The following questions help guide the conscious development of a social tool for wide dissemination and application.

Design

- Is there vertical logic in the linkage between goals, objectives, outputs, and activities?
- Is there horizontal logic in the linkage between goals, success indicators, evidence, assumptions and risks?
- Has the tool been piloted?

Implementation

- Is there a validated Gantt chart or work breakdown structure for the tool?
- Is there a validated Project budget for implementing the tool?
- Is there a validated resource assignment matrix for the tool?

Evaluation

- Has the tool undergone cost-benefit analysis?
- Has the tool been positively evaluated by third parties?
- Has the tool been positively evaluated against objectives?

Development

- Have lessons learned been extracted and responded to?
- Has the tool been replicated in other areas?
- Has the tool been expanded in scope?

Capacity-Building

- Are there competency standards for using the tool?
- Are there training programs for using the tool?
- Is there a core pool of resource persons trained in the use of the tool?

Knowledge Management

- Has the tool been documented?
- Has the documentation been publicly available?
- Is public awareness of the social audit tool high?

This chapter should present the conceptual framework for the report, meaning the variables that are identified in the questionnaire/interview schedule.

Concluding Remarks

This part of the handbook provides some conceptual discussion of social audit tools that can be skipped until later by NGOs who want to jump into social audit endeavors. It is recommended that implementing organizations spend some time discussing the type and nature of the social audit projects that they will undertake.

Chapter 3: AGENCY WATCH TOOLS

Overview

Agency watch tools are social audit tools to assess the social responsiveness of an entire government agency (or business enterprise, or CSO). The focus is on the organization in its entirety, and therefore uses a set of dimensions that are combined into an index measure, much like a student's general weighted average grade reflects his overall performance in several subjects.

Since most agencies and businesses have headquarters in Metro Manila, the CSOs can consider doing a social audit of the regional or local offices of agencies, if this is a logically sound alternative. (It is not a logically sound alternative if for instance the local office does not make policy decisions or is only a coordinating office.)

What social audit tools can you use?

There are at four five agency watch social audit tools that have been used in the Philippines. These are:

The primary types of Agency Watch tools in the Philippines are:

1. Integrity Development Review (IDR)
2. Integrity Development Action Plan (IDAP)
1. Organizational Performance Indicator Framework (OPIF)
4. Local Government Performance Management System (LGPMS)

Agency Watch Tools present who, what, where, when, and how key specific agency watch tools have been designed and deployed over the past ten years.

The main focus is how civil society organizations have assisted government agencies in modifying their processes to become more transparent and component offices and officers more accountable.

One key tool to feature is the Integrity Development Review (IDR) and its component corruption resistance review and corruption vulnerability assessment of agencies.

Types and models of agency watch tools

Government agencies as focal points of social audit

Agencies are a proper focus of social audit. There are tools to examine the totality of an organization as a socially accountable unit.

It is understandable that social audit tests usually concentrate on specific functions or operations of government agencies, such as the delivery of public services and the expenditure of public resources rather than the totality of the government agency.

There have been approaches to evaluating the extent to which a government agency meets the needs and expectations of its customers and target beneficiaries.

Is it possible to audit government agencies in the entirety?

The balanced scorecard is one of the well-accepted approaches to examining the total performance of an organization. While the balanced scorecard framework was primarily meant for business organizations, it has equally been applied usefully to government organizations. The major adjustment has been the special focus on "mission" in relation to the other dimensions -- stakeholder perspective, financial perspective, core business process perspective, and learning and growth perspective.

Can the balanced scorecard approach be used for social audit of government agencies? Apparently yes. There have been several multi-dimensional ("balanced") scorecards applied to government agencies.

The Integrity Development Review is a package of tools for assessing the extent to which a government agency is vulnerable to corruption. The IDR was implemented in five (?) pilot agencies and subsequently implemented in 20 government agencies in the period 2005-2007 (?).

The Integrity Development Action Plan is the operationalization of 22 anti-corruption "doables" that a multi-agency workshop had determined to be applicable to most government agencies. Each agency is required to present systematic plans for activating and operationalizing the doables in their own organization. The Presidential Anti-Graft Commission (PAGC) served as the oversight agency that monitored and evaluated government agencies in terms of their compliance in applying a checklist of actions meant to activate each doable in their agency.

The Organizational Performance Indicator System (OPIF) is a government-wide effort led by the Department of Budget and Management (DBM) in coordination with the National Economic and Development Authority (NEDA) and the Commission on Audit (COA).

"The OPIF is a generic road map—for the government as a whole, and for the department and its agencies. It defines and establishes where the government and its instrumentalities should direct their development efforts and what priorities should resources focus on. A consequence of the OPIF process is the reconfiguration of the

reporting process to more understandable and concrete terms, thereby enhancing transparency.” [http://www.dbm.gov.ph/OPIF_2007/OPIF.pdf]

“The Local Governance Performance Management System is an online national information system on local governments. It is a self-assessment, management, and development tool that enable local governments – provinces, cities, and municipalities – to determine their capabilities and limitations in the delivery of essential public services. It is a web-based system that has the ability to produce information on the state of local governance performance, and the state of local development, using governance and development indicators.”

<http://www.blgs.gov.ph/lgpmsv2/cms/home/index.php?pageID=1>

Perception-based Agency Watch Tools

Report Card Surveys and Public Opinion Surveys may also be considered Agency Watch Tools, but are perceptual in nature. They measure the level of satisfaction by users of government services (in the case of the report card surveys) or by the general public (in the case of the public opinion survey, regardless of whether they have accessed or used a particular government service).

Perception-based Agency Watch Tools are not as in-depth in their treatment of government agencies as the objective-based Agency Watch Tools.

Report card surveys and public opinion surveys are discussed in the next chapter.

Agency Watch Tools applied to private sector organizations

Agency watch tools such as the IDR and IDAP can conceivably be applied to private business organizations and civil society organizations as well. The tools can be applied especially in light of the need for social audit in relation to corporate social responsibility and the need for transparency and accountability in matters of public trust that involve private sector and civil society organizations.

ISO 90002 Quality Management Systems

Ranging farther afield, it is possible to argue that various ISO and Quality Management Certification processes partake of the nature of social audit. While the intention of these processes is not directed particularly at social, ethical, and environmental accountability of firms characteristic of social audit, the processes that require transparency and accountability in business enterprises are robust in ensuring that the firms meets its societal goals as well.

In the Philippines, over the past decade, there has been a flurry of preparation and certification processes among both private sector and public sector organizations.

There have also been peculiarly Philippine organizational venues for quality management audit such as the Philippine Quality Awards (PQA) that has both private sector and public sector streams.

The maturity of quality management certification processes and quality management award processes that have been produced by the international productivity movement supported by United Nations agencies such as the International Labor Organization (ILO) and regional productivity organizations such as the Asian Productivity Organization (APO) offers to the social audit movement in developing countries (India and the Philippines being cited as among the leaders) a set of rigorous tools and processes for measuring various aspects of organizational conditions and performance.

It would not be surprising to see increasingly sophisticated social audit tools in the near future that will exhibit the rigor, precision, validity, and wide acceptance of social audit tools enhanced by productivity tools and quality management certification routines.

Exemplar 1: The Integrity Development Review

The Integrity Development Review (IDR) is arguably the most sophisticated and robust agency watch social audit tool deployed in the Philippines.

What is the IDR?

The Integrity Development Review was designed by the Development Academy of the Philippines (DAP) as an institutional consultant for the anti-corruption agencies in the government, namely the Office of the Ombudsman, the Commission on Audit, the Civil Service Commission, the Department of Budget and the Presidential Anti-Graft Commission.

The IDR idea is simple. To enable government offices and officers to do something about the perennial complaint that “government is so corrupt”, it was necessary to shift the level of analysis to government agencies. By measuring the corruption vulnerability of various government agencies, it would be possible to distinguish agencies that were

more prone to corruption than others, or agencies that had higher levels of integrity than others.

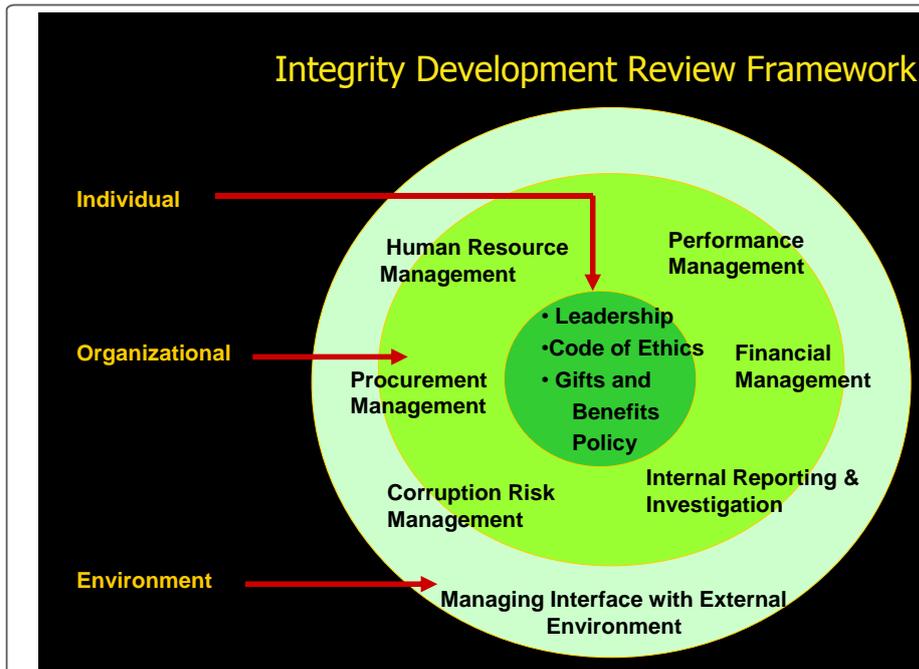
If the measurement tool also identified which aspects of a government agency were more prone to corruption than others, it becomes possible to understand the causes of corruption, and recommend initiatives for reducing corruption vulnerability.

The task of measuring the corruption vulnerabilities of government agencies is so sensitive a task that it is important to emphasize that the objective of the IDR is not to identify officers for prosecution, but to identify conditions and processes that must be reformed. The IDR goes by the dictum popularized by internationally renowned Robert Klitgaard that “corruption is a problem of systems, not people”.

To neutralize the tremendous sensitivity to IDR, the tool enlists top management, key process owners, and employee representatives in a “consensus”-based self-assessment process of applying the measurement tool under the guidance of a multi-sector team of trained assessors.

In an attempt to enable cross-validation, IDR also involves a survey of employees, a process mapping, and an examination of relevant critical documents.

What are the ten dimensions of the organization evaluated by IDR in its Integrity Development Assessment phase? These are depicted in the following diagram:



As the diagram illustrates, there are ten assessment dimensions:

Individual Level

1. Leadership
2. Code of ethics
3. Gifts and benefits

Organizational Level

4. Recruitment & promotion
5. Performance management
6. Procurement management
7. Financial management
8. Internal reporting and investigation
9. Corruption risk management

Environmental Level

10. Managing the interface with the external environment

In each of the ten dimensions, a set of five ordinal levels of achievement are established, following a standard checklist, as follows:

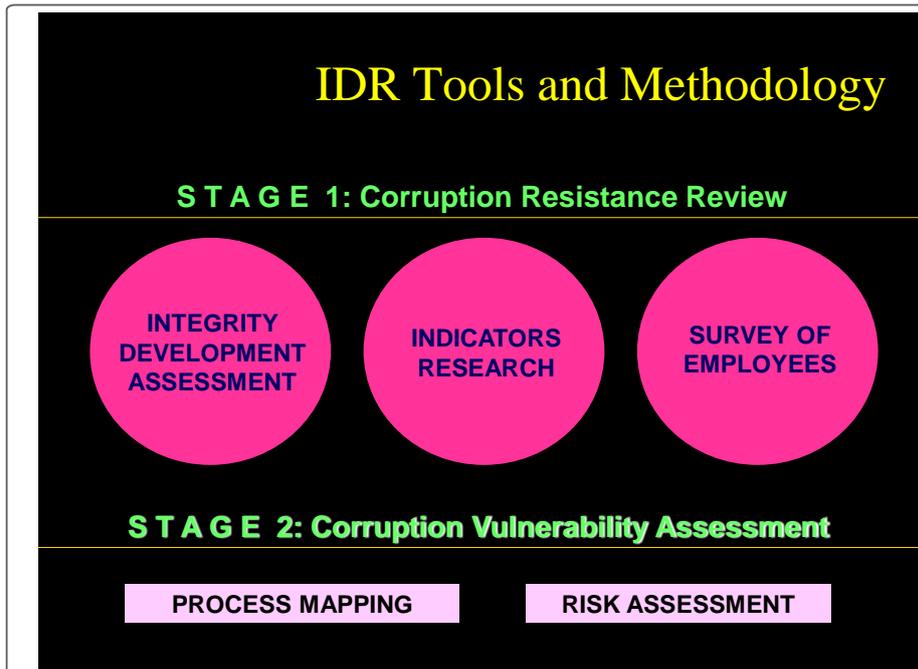
- 0 Anecdotal evidence of achievement [in the dimension]; no systematic approach

- 1 Observance of minimum standards [of accomplishment in the dimension]
- 2 Adaptation/ deployment [of initiatives in the dimension]
- 3 Enforcement [of standards]

The briefing and presentation materials of the Development Academy of the Philippines on the IDR explain the progeny of the tool:

“The IDR framework builds on the Corruption Resistance Review approach developed by the Independent Commission Against Corruption (ICAC) of the New South Wales and the Corruption Vulnerability Assessment (CVA) tool adapted by the US Office of Management and Budget. Though each uses different approaches, one compliments the other in terms of putting a stop to any wrongdoing or misdemeanor in an organization. On the one hand, the CRR helps agencies assess their level of corruption resistance and implement preventive measures towards achieving certain levels of organizational integrity. On the other hand, the CVA determines the susceptibility of an agency’s systems to corruption while examining the adequacy of its safeguards to forestall wrongdoings. “

The IDR goes through two stages. Stage 1 called the Corruption Resistance Review consists of three processes – integrity Development Assessment, Indicators Research, and Survey of Employees. Stage 2 involves a mapping of the key processes in the agency that are vulnerable to corruption, and assessment of the risks of corruption in the various steps of the processes.



Objectives

Mechanics

What are the essential steps in undertaking an IDR?

Preparation

- Identify potential target agencies for the IDR.
- Present the IDR tool and its benefits and costs to the management of the target agency.
- Sign the agreement for the application of the IDR tool in the agency.

Organization

- Organize the IDR Team
- Train the IDR Team
- Formulate the proposed IDR work program
- Agree with agency management on the activities, schedules, and resources for implementing the work program

Corruption Vulnerability Assessment

- Orient agency and sub-unit managers on the IDR process

- Conduct the Management Review (management self-assessment and random survey of employees)
- Conduct Team discussion and analysis sessions
- Prepare the report of the management review

Corruption Resistance Review

- Prepare and finalize the flow chart of the key agency organizational process to review
- Set the review process with appropriate agency representatives
- Conduct the Corruption Resistance Review (review of documents and conduct interviews on the key process)
- Conduct Team discussion and analysis sessions
- Prepare the report of the management review

Preparation and Presentation of IDR Report

- Document and share all data gathered by the Assessor Team with all its members
- Validate and customize the outline of the IDR report
- Conduct Team discussion and analysis sessions
- Identify and agree on the key findings of the report
- Assign sections of the report for writing by Team members
- Consolidate the report and edit for coherence, comprehensiveness, and flow
- Prepare the presentation version of the report
- Present the final and presentation versions of the report as appropriate to stakeholders

Preparation and Presentation of Government Agency IDAP

- Conduct an agency-wide integrity development action planning workshop based on the IDR report
- Formulate and finalize the IDAP
- Prepare the presentation version of the report
- Present the final and presentation versions of the report as appropriate to stakeholders

Monitoring and Evaluation

- Set quarterly (or other regular interval) for monitoring and evaluating the implementation of the IDAP
- Set the repeat conduct of the IDR to measure changes against the baseline

Tool Deployment Insights and Tips

In deploying the IDR, civil society organizations should work with appropriate anti-corruption agencies of government, especially the Office of the Ombudsman. The allocation of adequate government budgetary resources and/or the assistance of a donor agency is also critical, in view of the activities involved in the IDR that require venues, surveys, group interviews, travel and transport, and use of professionally trained assessors.

The IDR, even when mandated by anti-corruption agencies, still requires the cooperation of the top leaders of the target government agency concerned. It is important for the civil society organization to take the time to give proper briefings, to be transparent about the whole process, and gain the confidence and trust of the agency head. It is important to emphasize that the objective of the IDR is not to pinpoint personal, individual responsibility, but to identify areas for improvement in the transparency and accountability in the way the agency does its work.

The implementers of IDR should familiarize themselves with the organizational climate of the agency subject to IDR. There are many pitfalls relating to internal political dynamics that IDR assessors should anticipate and avoid being embroiled in.

The results of the IDR are embargoed for one whole year, to give the target agency a chance to formulate an IDAP and show some initial results before the IDR report is publicly released. This mechanism is important in convincing agency heads to cooperate in conducting the IDR.

Civil society organizations seeking to partner with government agencies in conducting IDRs should identify and refresh the training of existing certified IDR assessors (available from the Center for Governance, Development Academy of the Philippines) or conduct new additional training to expand the available pool of assessors.

Exemplar 2: The Integrity Development Action Plan (IDAP)

What is the IDAP?

The Integrity Development Action Plan concept was formulated in the Presidential Anti-Corruption Workshop (PAW) of former President Gloria Arroyo in December 2004. The workshop was facilitated by Mr Tony Kwok, former Deputy Commissioner of the Independent Commission against Corruption (ICAC) of Hong Kong. Mr. Kwok was enlisted in the government's anti-corruption drive as a consultant in an effort to inject

lessons learned in Hong Kong's successful anti-corruption campaign into the Philippine campaign.

The IDAP is an effort to make government agencies responsible for whatever level of corruption and the absence of transparency, accountability, and integrity in their agency and ranks. Too often, government agencies have taken the attitude that fighting corruption is the task of the anti-corruption agencies of government (such as the Ombudsman, the Commission on Audit, and the Civil Service Commission) or of anti-corruption civil society organizations. The IDAP aims to instill in government agencies the idea that they are primarily responsible for corruption in their agencies, and that they should take proactive and effective means to curb corrupt practices peculiar to their agencies.

From a social audit point of view, the IDAP is a critical opportunity for civil society and private sector organizations to partner with government agencies in fighting corruption.

The IDAP serves to implement the provisions of the Medium-Term Philippine Development Plan (MTPDP) to curb corruption. The Plan (as of 2004) included the provision that anti-corruption efforts will focus on three areas of reform: (1) punitive measures that include effective enforcement of anti-corruption laws; (2) preventive measures that include the strengthening of anti-corruption laws, improvement of integrity systems, conduct of integrity development review; and (3) promotion of "zero-tolerance for corruption". Government is enjoined in the plan to improve the quality and efficiency of public service through the adoption of institutional improvements in the bureaucracy.

Objectives

The objectives of the IDAP may be presented as follows:

1. To reverse the unsavoury image of the government as graft and corruption ridden
2. To enable government agencies to proactively undertake anti-corruption initiatives in their own agencies.
3. To enable anti-corruption agencies to effectively supervise government agencies in the conduct of their anti-corruption initiatives.
4. To make agency leaders responsible for the level of corruption in their respective agencies.

Framework

The seven doables are classified into four categories:

Prevention doables (7)

5. Institutionalization of Internal Audit Unit
6. Conduct of Integrity Development Review
7. Fast-track e-NGAS and e-bidding
8. Incorporate integrity check in recruitment and promotion of government personnel
9. Institutionalize multi-stakeholder personnel and organizational performance evaluation system
10. Protect the meager income of government employees
11. Adopt single ID system for government officials & employees

Education doables (4)

8. Disseminate compendium of anticorruption laws, rules & regulations
9. Prepare agency-specific code of ethical standards/ agency guidelines for adoption
10. Provide ethics training, spiritual formation, moral recovery program for agencies & stakeholders
11. Mandate integration of anticorruption in elementary/secondary education modules

Investigation and Enforcement doables (7)

12. Develop agency internal complaint unit (including protection of internal whistleblowers)
13. Set up/strengthen agency internal affairs unit (Cooperate with PAGC & OMB in the proactive conduct of lifestyle checks)
14. Publish blacklisted offenders & maintain on-line central database for public access
15. Hold superiors accountable for corrupt activities of subordinates
16. Advocate for the submission of ITR as attachment to the SALN
17. Use effectively existing agency administrative disciplinary machinery and publish results
18. PAGC to carry out independent survey to check anti-graft and corruption program effectiveness [7216]

Partnership doables (4)

19. Link existing databases for sharing information
20. Enlist/enhance participation of private and civil societies
21. Tap international agencies for support
22. Institutionalize participation of stakeholders in government activities

Mechanics

The steps outlined below are the essential sequenced tasks needed to implement an IDAP.

Preparation

- Formulate or validate the list of doables for government agencies with their representatives
- Formulate or validate the implementation and evaluation templates
- Obtain the participation and cooperation of the heads of government agencies through memoranda of agreement
- Formulate and agree on the schedule and mechanics of implementation of the IDAP

Organization

- Organize the project management secretariat or secretariat in support of the lead supervisory or oversight government anti-corruption agency
- Organize the Integrity Development Action Committees of each of the participating government agencies
- Orient the project management secretariat and IDACs

Implementation

- Formulate IDAPs, to include consultation with internal and external stakeholders, formulation of project logframes, gantt charts, resource assignment matrices, monitoring and evaluation milestones

Monitoring and Evaluation

- Submit monitoring reports to supervising lead anti-corruption agency
- Evaluate the level of compliance of Plans with substantive and process requirements
- Report individual and comparative performance ratings of IDAPs
- Apply IDAP program sanctions, incentives and rewards to agencies
- Formulate and present recommendations to improve IDAPs individually and collectively.

Lessons Learned

IDRs are highly obtrusive. You need the intercession of a champion to gain access to a government agency and do an IDR. Even with a champion and a mandate, you need tremendous confidence-building efforts to ensure cooperation from the government agency to be audited.

It will help if you have on board your team a team leader or senior team member someone that is acceptable to the government agency and your organization. Many highly regarded retired officials will fit this requirement.

Everyone in your team should be properly trained. Everyone should know what information can and cannot be shared. All data is confidential and should remain so.

An agency watch project would take from six months to one year. It will require a core staff of about two people with five to ten assessors.

With regard to IDAPs, the tendency of government agencies will be to focus on compliance on the reporting process rather than on the substantive improvements in accountability and transparency.

The supervising lead agency does not have the resources to validate the IDAP reports of government agencies. It should enhance its capabilities through “force multipliers” such as volunteer civic society and private sector organizations that can provide human and financial resources to the effort.

The IDAP should be preceded and disciplined by an IDR in order to pinpoint the critical areas for intervention within the agency to enhance transparency, accountability, and integrity.

From a social audit point of view, the IDAP can be applied to private sector organizations, as well as social institutions (church, media, and schools).

Chapter 4: GOVERNMENT REPORT CARD TOOLS

Overview

A government report card is essentially a survey of target beneficiaries. It is similar to a customer satisfaction survey. It is looking at the social accountability relationship from the demand side. It is different from an agency watch tool in that the agency watch tool looks at the supplier side – checking whether from the supplier point of view they have arranged their organizational, functional, structural, and operational elements to meet their obligations and commitments to their stakeholders and beneficiaries.

A government report card as a social audit tool is more definitive than an agency watch social audit tool. No matter that an agency watch social audit gives high marks for an agency as far as its social accountability is concerned, it folds eventually if a corresponding governance report card reports that the target beneficiaries are nevertheless dissatisfied with the agency's performance in, say, anti-corruption, protecting the environment, delivery of public services.

So, if your civil society organization does not have the luxury of a lot of resources and want to make an impact, go for a report card survey.

If the results of the report card survey are credible and sufficiently disturbing, the concerned agencies will be more open to agency watch social audit. It could also trigger interest in the national government or donor agencies, which can translate into championship and resources for a follow-through agency watch social audit.

Types and models of governance report card survey social audit tools

There are several models of governance report card surveys. These are:

- The DAP Pilot Report Card Survey of 2001
- The World Bank Report Card Surveys
- The Governance Report Card Survey
- The Community Survey

Exemplar 1. The DAP Report Card Survey

The Development Academy of the Philippines (DAP) looked at best practices in other countries and found a mechanism for solidifying the “citizen’s voice” on public services.

The mechanism, as developed and used in Bangalore, India is called the “Report Card.” This is an application of the formal, periodic, and targeted evaluation system that every elementary pupil is familiar with.

Citizen Feedback Mechanism

The Report Card System enables the people who use specific public services to give “grades” on distinct “subjects” or performance categories.

This enables the public service provider to learn his areas of weaknesses and strengths, and his areas for improvement.

The people get to know what their consolidated and collective evaluation is, and know what changes to expect from each public service provider.

The DAP Report Card Survey

The DAP implemented a pilot Report Card Survey on Specific Services in nine cities in Metro Manila from June to August last year. These cities, from most to least populous, are: Quezon City, Manila, Pasig, Makati, Paranaque, Marikina, Pasay, Muntinlupa, and Mandaluyong

Five services were evaluated: Garbage Management, Public Markets, Permits and Licensing, Public Safety Management, and Traffic Management.
The Report Card Survey was funded by the Asian Development Bank.

General Objective

To improve transparency and accountability in the delivery of public services at the local level.

Specific objectives

To extract the “average” experience of citizens in a locality
To measure direct experience, exposure, and levels of satisfaction with current local services

To document complaints regarding services and levels of graft and corruption
To solicit suggestions in improving service delivery and willingness to pay for better or additional services

Method

The Survey team interviewed 300 household heads (or co-decision-makers) from each city to speak for households that were selected by stratified random sampling techniques.

A total of 2700 household heads were interviewed.

With this sample size, the results of the survey if presented per city have error margins of plus or minus 5.8 percent.

If presented for these nine Metro Manila cities altogether, the results have error margins of plus or minus 1.8 percent.

The survey questions or items were scales that presented the respondents with two to seven graduated response choices. These choices were converted into a scale where the most positive rating was “100” and the lowest was “10” for a 7-point scale, “25” for six, four, and three-point scales, and “50” for a two-point scale.

With these equivalents, it was possible to get “average” or summary ratings for each aspect of a service, each service, each respondent, each barangay, each city, each socio-economic, age, educational attainment category, and combinations of these.

Sampling Design

1. The survey gathered data which can be analyzed for each city. The sampling unit was the household.
2. The respondent was the household head or a co-decision-maker.

Sampling scheme

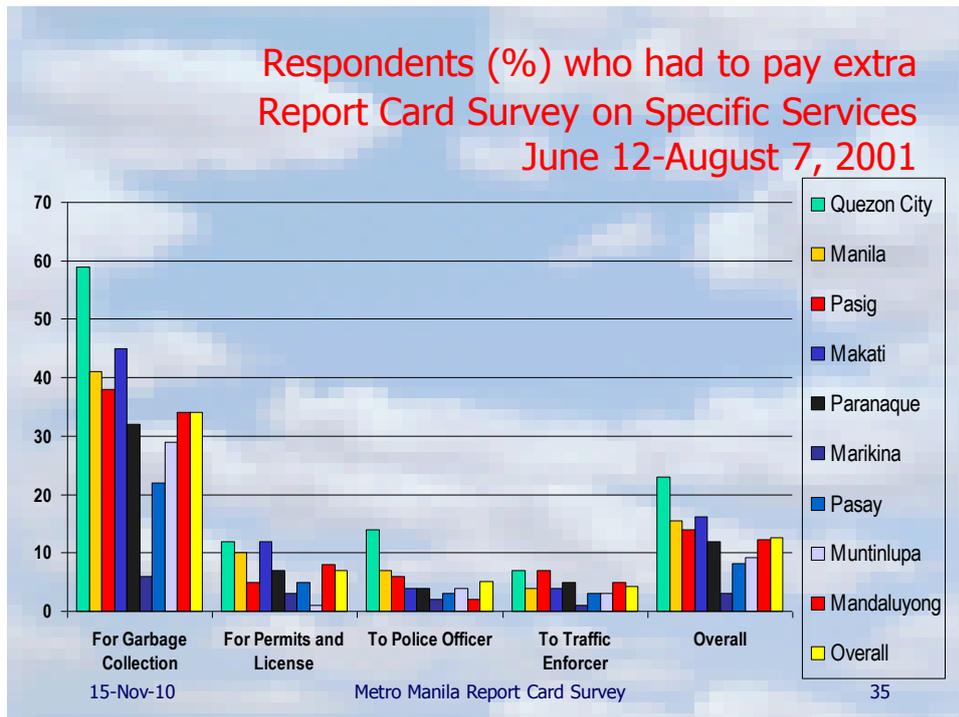
- Sixty (60) sample spots were distributed among the districts of each city with probabilities roughly proportional to the household population size.
- Within each district, the allocated sample spots were distributed among its barangays with probabilities proportional to the household population size.
- For each barangay, a street map was secured. A systematically selected street corner was designated. A random start ranging from one to six dwelling units was applied to determine the first household to be interviewed from the randomly assigned street corner.
- In determining the succeeding households for interview, a sampling interval of six dwelling units was applied.

Grading System

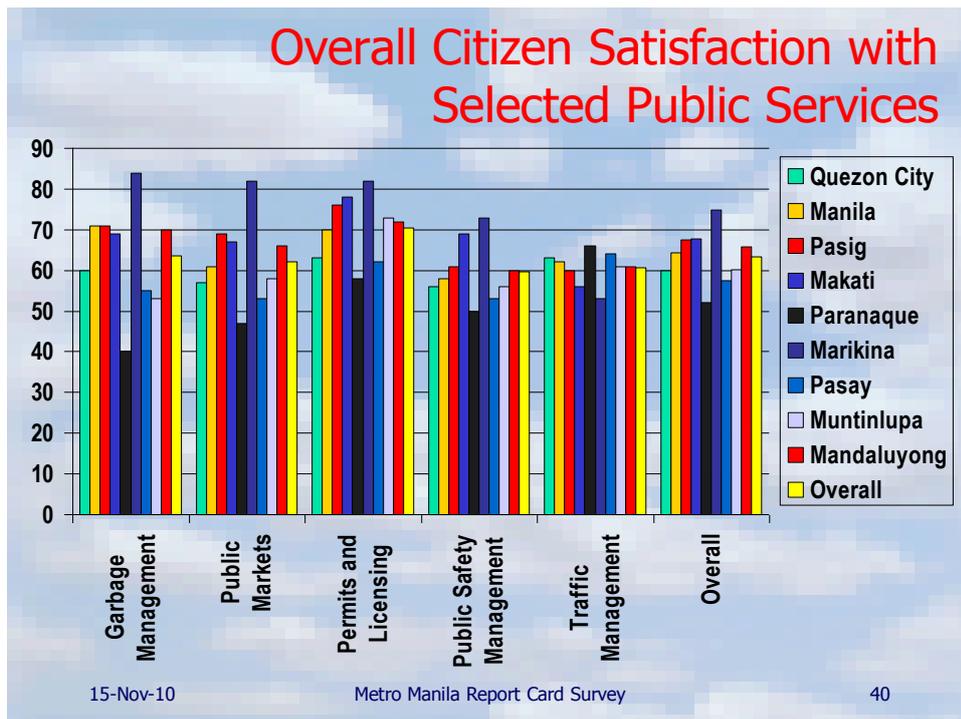
The “Grading System” that was applied gave the following interpretations to the scores: 85-100 meant “Very Good”; 70-84 meant “Good”; 62-69 meant “Above Average”; 50-61 meant “Average”; 40-49 meant “Below Average”; 25-39 meant “Poor”; and 10-24 meant “Very Poor”.

Output

Below are samples of the tables produced by the DAP Report Card Survey.



This table shows that contrary to the common impression that it is to police officers and traffic enforcers that people pay bribes to, it is actually in garbage collection that people feel compelled to give “extra” for services. This public service appears to be the least adequately provided. Interestingly, since garbage collection is not a traditional “bribe” area, the language still is largely euphemistic; people call the extra payment “gift” or “voluntary donation”.



This table shows that it is possible to determine the comparative performance of local governments in the provision of public services. The tallest blue middle bar, represented by Marikina City, consistently shows high performance while the lowest black bar to its left represented by Paranaque, shows low performance across the five public services.

Deployment Insights and Tips

The DAP survey showed that the Report Card Survey could be used to measure satisfaction with government services, identify areas of dissatisfaction, and areas of vulnerability to corruption.

The DAP survey asked respondents if they had to “pay extra” to obtain public services. Included in this category are fines, contributions, routine fees like toll fees, payment “to solve a problem”, bribes, “kusang loob,” and pamasko/gift.

The pilot project also demonstrated that it is feasible to generate “report cards” on specific public services that are provided by local governments.

There is a need to improve the survey instrument and mechanics. It is important to make the distinction that in a report card survey, the respondents are users of a service and give feedback on the public services they have received. This is different from a public opinion survey where respondents may give an opinion regardless of whether it is from the point of view of a user or an observer.

The report card survey is a powerful all around tool for social audit and should be developed for application to routinely to local governments as well as national government agencies.

Exemplar 2: The Governance Report Card Survey

Overview

The Governance Report Card Survey is an adaptation of the Report Card Survey (RCS) that was developed by the Bangalore Public Affairs Centre and piloted by the Development Academy of the Philippines in the country. At the time of People Power II in January 2001, a representative of the PAC was in the Development Academy of the Philippines orienting top officers on how to conduct the Report Card Survey. (As an interesting sidelight, the DAP sought to learn new anti-corruption tools because then President Joseph Estrada ordered the DAP to develop an anti-corruption framework for the government.) In that same year, the DAP implemented its pilot RCS.

Objectives

Framework

Mechanics

How does one carry out an RCS?

Since the RCS is essentially a survey, the basic requirements are as follows:

1. Obtain necessary consent and acceptance for the survey
2. Gain access to the communities to be surveyed
3. Formulate and statement of the objectives of the survey
4. Develop a suitable questionnaire

5. Select a representative sample of the adult population (either 15 and above to include more of the youth or 18 and above to focus only on the voting population)
6. Carry out the survey field work with appropriate safeguards to ensure reliability and validity of the results
7. Process and analyse the data
8. Write the report
9. Present and disseminate the report card to the LGU heads.

Obtain necessary consent and acceptance for the survey

It is possible to carry out a Governance Report Card Survey without getting the consent and acceptance of the government agencies subject to the report card, but this is starting the project on an adversarial footing that will not be productive in the end. It is best to consult the head of the government agency or the local government unit early in the development of the tool so they do not feel conspired upon or disadvantaged by a design process that allowed them no inputs.

Gain access to the communities to be surveyed

Even with the consent and sponsorship of a government agency or local government unit, you still need to obtain the endorsement and cooperation of the barangays where you will be doing field work. Barangay officials frown upon initiatives supposedly to monitor and improve government operations that they are not properly apprised about.

Formulate and statement of the objectives of the survey

There are many types of surveys, and there are many ways of implementing them. To make sure that the report card survey attains its objectives, these objectives must be formally stated. As in any project, the project design must be guided by an adequate logical objectives framework. (See Appendix --- for How to Formulate a Logical Objectives Framework). In the case of a Governance Report Card for social audit purposes, consult widely as to the proper scope of the project.

Develop a suitable questionnaire

The questionnaire is the critical interface between you the persons in need of answers, and the respondents who supply them. The questionnaire should include all the relevant questions and none of the irrelevant ones. This requires the help of persons who know the substance of the social audit, and persons who know how to formulate survey questions. If you do not have competencies in these areas, seek assistance. The best available might be in universities and colleges in your area. It is also important to avoid reinventing the wheel. Look at suitable questionnaire models for social audit in the internet. The questionnaire used for the Governance Report Card is provided in Appendix --.

Select a representative sample of the adult population (either 15 and above to include more of the youth or 18 and above to focus only on the voting population)

Selecting a representative sample is crucial to the generalizability of your survey beyond your specific sample. A random sample of about 300 per local government jurisdiction has been determined to be necessary for a margin of error of + or minus 3 or 4 percent. Reporting the results of a report card for only one local government unit with 300 respondents is different from reporting on several local government units each with 300 respondents. The latter allows for greater generalization power because of the increased sample size. Consult your friendly neighbourhood statistician to understand these concerns.

Usually, the latest Comelec voters' list is the document you need to use as a basis for selecting your sample.

Carry out the survey field work with appropriate safeguards to ensure reliability and validity of the results

Survey field work involves field interviewers and supervisors working together according to a set schedule and area of work. There are many seemingly unimportant habits of professional interviewers that amateurs disregard at great peril to the validity and reliability of your survey. Again, you need to obtain assistance.

If you or your organization have not conducted a survey that has been widely regarded as successful and valid, it might be better to outsource the survey field work. Professional survey groups, or alternatively, research professors and specialists in local universities and colleges are the resources you need to tap.

Process and analyse the data

Data processing is now very convenient because of the presence of computers and statistical software. However, it is still important to bring in competent help in processing and analysing the data. Since analysis is not a mechanical process, you still need to provide specific queries to guide the generation of tables and graphs for the report. A statistician cannot be left alone to determine these tasks, unless these hierarchy of queries have been formulated and documented beforehand as part of the design stage.

Write the report

Writing the report must take into consideration the objectives of the survey, and the needs of the target audience. Does the report answer the questions posed in the survey design? Does the report meet the objectives of the survey? Is the report presented in a manner understandable to the target audience? Is there a need for different reports of the same data and analysis for different audiences?

Present and disseminate the report card to the LGU heads and the community.

It is usually necessary to write a narrative report, complete with tables and graphs, as well as prepare an accompanying PowerPoint presentation. The report can be printed in hardcopy form and distributed, put up on a website, presented in conferences, etc.

Tool Deployment Insights and Tips

The report card survey should be a basic competency among social audit organizations. It is the all around standard social audit tool. On the basis of its findings, recommendations to enhance social accountability relationships can be formulated and implemented.

Being a survey, the usual methodological guidelines apply. Without estimates of how valid and credible the survey is, revolving especially on how the sample is determined and selected.

Chapter 5: APPOINTMENTS WATCH TOOLS

Overview

Harry Eckstein tells us that the most important decisions political regimes can make are appointment and appropriation decisions.

The performance of an office function depends to a large extent on the person who is appointed to that position. The combination of both requirements of integrity and competence is seldom met in thousands of government appointments, and this is one reason for poor governance. It stands to reason that if only we took the time to ensure that government appointments are carefully and properly filled out the way we select our doctors, lawyers, and barbers and beauticians, we can avoid many of the governance problems that vex our daily lives.

So, appointments watch is one of the most critical social audit tools that can be deployed, at the local, regional, and national levels.

Types and models of appointments watch tools

There are several types and models of appointments watch. One type is the formal legal process that allows citizen inputs, and the other is the citizen-driven appointments watch process.

The most well-known model of the first type is the work of the Commission on Appointments, which is one of the checks and balances embedded in a presidential democracy to ensure the separation of powers among the legislative, executive, and judicial branches of government. This type, however, is post-audit – the appointment would have already been made by the President before the Commission on Appointments takes it up and approves or disapproves it.

An illustrative model of the second type is the Appointments Watch that civil society organizations have organized to ensure that appointments to constitutional

commissions and the judiciary are proper as to process, and meritorious as to qualifications in terms of integrity, competence, and experience.

Various public, private, and CSO organizations also carry out their own appointments watch, some with greater formality than others. Among the well-developed are the processes developed in the academe for the selection of deans, directors, and presidents. The reason for this is that the academe gives premium to the presentation and discussion of visions, programs, qualifications, and relevant issues relating to appointments.

In the next section, the essential features of the Appointments Watch as it has been developed for the selection of Justices of the Supreme Court is presented for possible use for judiciary appointments in general.

Exemplar 1: A Judiciary Appointments Watch

Overview

In general, appointments watch are undertaken for critical positions in the government. The character and performance of government offices is determined by the personal qualifications and characteristics of the office-holder.

Appointments are particularly critical in top level government positions in the executive branch, particularly cabinet and cabinet-level appointments. They are also critical in constitutional commissions, of which there are several; The Commission on Elections, the Civil Service Commission, the Commission on Audit, the Office of the Ombudsman, the Sandiganbayan, and the Human Rights Commission. Appointments are also critical in the judiciary -- the Supreme Court and the Court of Appeals. This importance may also be extended to regional and metropolitan trial court judges.

The idea of an appointments watch is to provide the appointing authority timely additional relevant information to enable him to make appointments that are based on the appropriate mix of merit, competence, qualifications, integrity, experience, and managerial or leadership qualities. This mix is usually but often not adequately stated in the stated qualifications for the job. These qualifications usually identify an age range, years of experience, profession, and absence of derogatory records or convictions for crimes and administrative offenses.

The President of the Philippines is invariably the appointing authority for all of these critical appointments. The appointing power of the President of the Philippines in relation to the Philippine bureaucracy is peculiarly extensive.

In the case of the judiciary, there is a Judicial and Bar Council that is mandated by law to provide three nominees for any judicial position.

Objectives

The objectives of an appointment watch social audit tool is:

1. To assist the competent authority to select the best candidate for a public position
2. To widen the nomination process and systematize the selection process around criteria that are keyed to rendering the position responsive and accountable to the people
3. To increase the awareness and participation of citizens and other stakeholders in the recruitment and appointment of public officials.
4. To develop and share procedures for enlisting the participation of citizens, stakeholders, and their organizations in the process of appointments to public office.

Framework

The key framework to use in key appointments watch is a Nominee Evaluation Matrix. A simplified sample matrix is given below:

Note: “1” is lowest rating you can imagine, “10” is lowest rating you can imagine.

Criteria and Value	Key Impact Area in Position	Nominee 1	Nominee 2	Nominee N
Relevance of previous professional experience (20%)	1— Human Relations 2— Resource Generation 3— Facilities Management	1— 2— 3—	1— 2— 3—	1— 2— 3—
Technical Competencies (20%)	1— Information Systems 2— Finance 3— Facilities Management	1— 2— 3—	1— 2— 3—	1— 2— 3—

Managerial Competencies (20%)	1— Strategic Planning 2— Performance Management 3— Mission	1— 2— 3—	1— 2— 3—	1— 2— 3—
Integrity (30%)	1— Gifts and Benefits Policy 2— Internal Audit 3— Nepotism	1— 2— 3—	1— 2— 3—	1— 2— 3—
Total 100%				

On the basis of this matrix, a ranked shortlist is presented by the Appointments Watch project team to the formally mandated search committee or council.

Mechanics

Overall, the appointments watch project team's value-added contributions in the appointment process are:

- a. Clarification and elaboration of the evaluation criteria beyond the usually short and terse statements of these qualifications
- b. Wider search and more comprehensive list of nominees
- c. More comprehensive and balanced information about the nominees
- d. More systematic, balanced, and deeper analysis and evaluation process through open, disinterested, multi-stakeholder participatory process.
- e. Provides venue for public participation and support for appointments process and results.

The main tasks of an appointments watch project are:

1. Anticipate well in advance the upcoming vacancies in the bureaucracy, for which appointments will have to be made.
2. Arrange for the formal appointments search committees and councils mandated to make the recommendations for the specific involvement and participation of the appointments watch project team in the process. These arrangements will include the scope of the participation of the team -- defining what they can do and cannot do, as well as outlining the whole search process and the role of the team in each of the steps.
3. Characterize or elaborate on the competency and integrity requirements of the impending office to be vacated, identifying the problems, concerns, and issues that have been experienced by and with previous incumbents. These

could relate to conflicts of interest, competency requirements that are not formally stated for the position (such as managerial ability to manage a staff; or professional skills of a financial, legal, technical nature not specified in descriptions of the position).

4. Formulate an appointment evaluation template that identifies the qualifications criteria, success indicators, and how nominees will be evaluated, preferably through numeric ratings, against them.
5. Draw up a long list of nominees for the position. This requires several tasks. One is drawing up the normal list of nominees from the agency, sector, or profession relevant to the position, at the appropriate levels (middle manager, career executive service, etc.). Second is drawing the equivalent list of nominees outside of government (private and civil society sectors) that have appropriate qualifications and characteristics. One way of generating these lists is to actively inquire from active personnel in the relevant agencies as well as from retired officials. A second way is to advertise the search for nominees in all appropriate media venues -- traditional or industrial media, social media, and inquiries from relevant professional associations.
6. Obtain personal data and contact information and first level qualifications information about the nominees. First level qualifications information relate to whether the nominees meet the qualification requirements -- citizenship, age, educational and professional education, years of experience, absence of criminal records, etc.
7. Obtain performance, decision-making, professional and business affiliation, and similar data that can be input into the nominee evaluation matrix. (Start with public search over newspapers and the internet. Open a web facility for receiving information from the public. Be open to, but verify, reports of relevant "critical incidents" relating to the nominees)
8. Conduct public consultation meetings with representatives of appropriate sectors. Input data into the nominee evaluation matrix.
9. Evaluate the nominees using the nominee evaluation matrix to come up with a ranked list. Do this as appropriate to the structure of the appointments watch stakeholders (single CSO or multi-sectoral, multi-organizational coalition)
10. Transmit the ranked list to the search committee or council with all supporting data.

11. Participate as observers in the interviews of the nominees conducted by the search committee or council. (Advocate for interviews that are open to the public.)

This process can be adapted to appointments watch projects for local appointees, such as the municipal or city chief of police, the municipal or city administrator, the state college or university president.

Tool Deployment Insights and Tips

In using the appointment watch tool, civil society organizations should focus on ensuring that they maintain smooth relationships with the formal selection and recommendatory committee (e.g., the Judicial and Bar Council for judicial appointments).

The civil society panel that assists in the appointment watch should also be composed of persons with integrity, with no hint of conflict of interest or bias. This requires a wide, multi-sector representation.

The focus of the appointments watch process should be in increasing transparency and accountability in the process rather than ensuring that “acceptable” or “popular” candidates win the position.

Chapter 6: PUBLIC RESOURCE WATCH TOOLS

Overview

Harry Eckstein says that decisional efficacy is one of the four dimensions of political performance. Decisional efficacy defined as the promptness and relevance of decisions in fact contributes to the other dimensions. The higher the decisional efficacy, the higher is the legitimacy of the regime, which is defined as the sense that the regime is worthy of acceptance and support. The higher the legitimacy, the higher is civil order which is defined as the absence of unregulated resorts to violence in society. . And the higher the civil order, the higher is durability, or the persistence through time.

The two most important decisions that can be made in a polity or regime are appointments to public office, and appropriations of public funds.

It is in this context that budget watch is among the most strategic forms of social audit tools.

Types and models of public resource watch tools

There are many forms of public resources budget watch. One can examine the way the budget is initially formulated by the various departments and agencies of government, which are then submitted to the Department of Budget and Management. The Department of Budget and Management, after conducting its own hearings, in turn submits the consolidated budget to the House of Representatives, which conducts hearings on the budget and eventually passes the General Appropriations Act. The budget as appropriated is then managed by the DBM as to the allocation and release of the funds. The funds, as released, are expended by the various departments and agencies of government in accordance with the approved budget, under the watch of internal auditors and a post-audit process managed by the Commission on Audit.

In recent years, the following have been undertaken in the Philippines:

- Procurement Watch

- Pork Barrel Watch
- Social Watch Philippines (Alternative Budget Initiative focuses on Millennium Development Goal-related expenditures)
- National Center for Budget Legislation (provides consultancy services for legislators)
- Budget Watch

In this multistage process that involves multiple actors, there are risks of corruption that remain even after various safeguards have been embedded in the mandated procedures. The various scandals that have rocked the Philippine government – the NBN deal, the liquid fertilizer scam, the cash gift payments in Malacanang -- triggering Congressional investigations, impeachment proceedings, charges of plunder, eventually causing loss of power for whole administrations, abrupt ends to promising civil service careers, criminal convictions, and an overall sense of violation on the part of the public that evinces distrust for government and its personnel.

The highest level of social audit on the budget is illustrated by the work of the Budget Network which was headed by former Sec. Emilia T. Boncodin, the much-admired former Secretary of Budget and Management who passed away last year.

Exemplar: The Budget Network¹

The Budget Network is a network of civil society organizations, including non-government organizations, academe, business, professional and media groups dedicated to promoting national budget literacy and understanding among citizens. Its members include 15 CSOs, including 3 of the biggest universities in the Philippines and 5 of the biggest CSOs.

Objectives

The Network was formed in 2008 to perform:

- advocacy role on national budget issues relevant to the general public
- research and analytical services on the national budget

¹ This section draws heavily from Emilia T. Boncodin 2009. Citizen Engagement in Anti-Corruption Programs in the Philippines: The Budget Network Case. World Civic Forum, May 5-8, 2009, Seoul, Korea. Accessed 16 November 2010 from www.wcf2009.org/program/down/S5-P04-2_Emilia_Boncodin.ppt

- training of interested groups on budget advocacy

The Budget Network calls its work an Anti-Corruption Program through Applied National Budget Work – the monitoring and evaluation of national or central government budget and budgeting system.

Core beliefs of the Network include the following:

- There is tremendous value to National Budget Monitoring and Evaluation.
- The National Budget is the core of everything that government does.
- The National Budget matters to all citizens.

Strategy

The strategy of the Network consists of the following:

- Make the national budget public-friendly by simplifying technical information
- Establish close coordination with national authorities to gain cooperation and respect through factual interpretation of budget data
- Provide “value-added” services to the Network
- Provide an open website for members and the public (www.philbudgetmonitoring.com)

Why focus on the national budget? The Network feels that this area while strategic is relatively neglected. National programs and activities have an all encompassing reach into the following areas -- elections, government appointments, enforcement, judicial system, use of government funds, collection of government resources, etc. They also have many consequences -- inadequate, if not lack of, public services (bad roads, dilapidated facilities, etc.), informal settlers, malnourished children, etc., unemployment, opportunities for livelihood.

Yet, the national budget is not the usual area of citizen engagement. Many CSOs undertake monitoring work do not focus on the national budget. This is understandable, according to Boncodin, considering that:

- CSOs have no in-depth budget knowledge
- The national budget process is highly complex and requires technical training to work on it

- The government does not provide adequate and regular data on the budget apart from the annual budget documents
- National budget work is done at the macro level that does not link directly to “food on the table” issues that interest the public
- There is a psychological barrier to working on the budget that might be called “the national budget mystique”.

The emergence of the National Budget Work has been inspired by the effective strides in anti-corruption through CSO budget work undertaken in other countries, especially the India, South Africa, and the United States.

Critical Factors for Success

The Budget Network shares the following elements of successful national budget work:

- Knowledge of key economic issues
- Knowledge of the budget process and the elements of a good budget
- Media and dissemination
- Accurate, accessible and timely products
- Working with policymakers
- Open and transparent government financial information system

Main Areas of National Budget Work

Overview of the National Budget Process



Budget Literacy Enhancement

1. Budget Guides
2. Budget Training

Assessment of the Budget Process and Budget Systems

3. Budget process and system studies
4. Transparency and participation reports
5. Participatory budgeting

Analysis of Budget Policies

6. Government Budget Proposals
7. Sector Analysis
8. Effects on Population Groups
9. Effects on Economic and Social Rights
10. Revenue and Debt Analysis
11. General Economic Analysis

Some Opportunities for Corruption in the Budget Process

The reason the budget process is so crucial to monitor, analyze, and evaluate is that there are a lot of opportunities for corruption in the budget process. The Budget Network identifies the opportunities for corruption during the various phases of the budget cycle.

Preparation	Inclusion of projects that do not have desired impact or value; projects are poorly planned or designed; patronage projects; lack of cost standards
Legislation	Political horse-trading; patronage projects
Execution	Delays in funds availability; unpredictable payments scheme; tedious documentation delaying paper flow; procurement issues
Control/ Accountability	No results orientation; poor internal control and reporting systems; inadequate oversight; too complex accounting system; non-independence of auditors

CSO involvement in national budget work

There are a lot of opportunities for CSO involvement in national budget work. The following table identifies the potential tasks CSOs can perform, and the actual involvement of Philippine CSOs at the present time.

Phase	Potential Involvement	Actual Philippine Experience
Budget Preparation	<ul style="list-style-type: none"> • Analysis of pre-budget statement (i.e., Budget Call) • Sector analysis for priority setting • Project analysis • Consultations with agencies <ul style="list-style-type: none"> - Project analysis (Analysis of budget proposal, fiscal policy, macro assumptions, new initiatives) • Budget brief notes 	<ul style="list-style-type: none"> • Basic sectors representatives sitting in government agencies (NAPC, PARC, etc.) get to participate in budget making • Regional Development Councils consultation • Agency consultations
Budget Authorization	<ul style="list-style-type: none"> • General analysis of budget proposal • Sector budget analysis • Department budget analysis • Project analysis • Budget performance analysis using the OPIF targets and indicators • Review of previous year's audit reports • Preparation of a citizen's budget • Analysis of approved budget 	<ul style="list-style-type: none"> • Alternative budget initiative by the social watch coalition to advocate for higher social services budget • Agency program review for the benefit of individual legislators • Ad-hoc budget papers
Budget Execution/Control	<ul style="list-style-type: none"> • Analysis of control policies • Tracking of mandated activities (e.g., issuance of guidelines or IRRs) • Expenditure/budget tracking • Impact analysis • Analysis of reports (or reporting of NO reports) <p>Extensive use of complaints desk (COA, agencies, etc)</p>	<ul style="list-style-type: none"> • Social watch • Pork barrel watch • Procurement watch • Road watch • ODA watch • Expenditure tracking <p>Participation in public consultations</p>
Budget Accountability	<ul style="list-style-type: none"> • Analysis of agency annual reports • Analysis of agency audit reports • Budget performance analysis – overall, sector, agency, program, project • Budget performance analysis vs. targets • Compilation and analysis of external reports (ODAs, etc) • Public reporting of non-government representatives in government agencies 	<ul style="list-style-type: none"> • Special investigative reports • Ad-hoc budget papers • Citizen's audit

Major activities of the Network

What are the major activities of the Budget Network? Each of these are projects for which a systematic project plan would normally be required and assumed.

Needs assessment of Philippine CSOs on national budget monitoring – This is a strategic starting point, which is determining what kinds of capacities and competencies interested or involved CSOs need for budget work.

Conduct of training program for Network members – On the basis of the needs assessment, a set of training programs targeted to provide the required competencies are designed and conducted. These training programs are Basic Budgeting which introduces the basic concepts and principles in the budgeting process.

The basic course is followed by advanced training courses that provide specialized instruction in the monitoring of specific areas of the budget -- Advanced Training on the Infrastructure Budget, Advanced Training on the Security Sector Budget, and Advanced Training on the Budget of Judicial Administration.

In view of the actual involvement of the media in reporting on budgeting work, a Special Training for the Media is also conducted.

The Network conducts regular meetings and for a for its members and the public. These are:

1. Monthly Network meetings on current issues
2. Budget Bulletins on Specific Budget Areas
3. Quarterly Network Forum

Key accomplishments

The Network conducted a National Forum on the Proposed FY 2009 National Budget. This forum was well-attended (over 100 network members) and included participants from Congress.

The Network has initiated an “Advocacy for Budget Transparency” which has gained ground with the government’s publication of a Citizen’s Budget (Budget-in-Brief).

The Network has also undertaken analyses of previous year’s budget performance yielded key findings, such as the over-release of funds to government agencies.

The regular network meetings of the Network have incrementally developed the capacity of CSOs in applied budget work. Currently CSOs rate themselves 7 in the latest survey on a scale of 1 (lowest) to 10 (highest) is 7, up from 1.

The Network is currently involved in advocacy for reforming the budget law.

On the networking side, the Network has supported various anti-corruption CSOs and their efforts, including the Multi-Sectoral Anti-Corruption Council (MSACC) of the Office of the Ombudsman; the Appointments Watch, the Pork Barrel Watch, the Procurement Watch, the Bantay Lansangan (Road Watch), and the election watch initiatives.

Finally, the Network has advocated for Reforming the Accounting and Audit Systems to Conform with International Standards.

Future Initiatives

The future activities of the Network (2010 and beyond) include the following:

1. Training Course on National Budgeting offered annually
2. Expenditure tracking of key accounts (“pork barrel” of legislators and other lump sum accounts)
3. Budget performance reports on various areas, particularly agriculture, public works, environment, security sector, and justice administration.
4. A series of forums, dialogues, bulletins
5. Serving as a resource institution on budget and budgeting issues

Lessons Learned

Lessons learned in CSO budget work as shared by the Budget Network:

1. Knowledge and accuracy gains credibility (DO YOUR HOMEWORK)
2. Take a constructive, rather than destructive, approach to budget work (REPORT GOOD + BAD FINDINGS)
3. Ensure timeliness of Reports (SEIZE THE MOMENT)
4. Use non-academic, but generally understandable language (SIMPLIFY)

5. Ensure regular distribution of reports to audience, including public presentations (WIDE REACH)
6. Connect with things that matter (“WHAT IS IN IT FOR ME”)

References

Emilia T. Boncodin 2009. Citizen Engagement in Anti-Corruption Programs in the Philippines: The Budget Network Case. World Civic Forum, May 5-8, 2009, Seoul, Korea. Accessed 16 November 2010 from www.wcf2009.org/program/down/S5-P04-2_Emilia_Boncodin.ppt

Center on Budget and Policy Priorities (CBPP) (United States). Non-partisan research and *policy* institute working on federal and state fiscal policies and public programs that affect low- and moderate-income Americans.
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Development Initiative for Social and Human Action (DISHA) (India). Membership-based organisation fighting for the improvement of the marginalised classes in and near Gujarat. www.disha-india.org/

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www.idasa.org.za/ Budget Information Service of IDASA established in 1994 after the first democratic elections.

Chapter 7: PUBLIC INFRASTRUCTURE WATCH TOOLS

Overview

Public infrastructure projects have always been considered the major source of corruption in the Philippines. These include the construction of roads and bridges, and public buildings such as schools and offices. Yet, CSOs interested in curbing corruption have usually been stymied by the massive wall of conspiracies and collusion among government and private contractors and suppliers. Everyone knows corruption happens, usually eloquently evidenced by infrastructure that requires repairs a few months after they are inaugurated.

That was before the Concerned Citizens of Abra for Good Governance said enough was enough and took on the DPWH and contractors who built a critical bridge in their province that led to nowhere, as it did not connect with the other side. This was too blatant an ineptitude or too gross a corruption for decent citizens to allow unchallenged.

A decade after, the CCAGG has become a worldwide sensation of ordinary citizens conducting social audit and enforcing social accountability.

While Filipinos are known to be creative contributors to the arsenal of grand and petty corruption, the CCAGG powerfully demonstrated that Filipinos could also develop innovative tools for curbing corruption.

Types and models of infrastructure watch tools

Following in the spectacular success of CCAGG, other CSOs initiated their own infrastructure watch projects. Two of the most important models are the BantayLansangan and the BayanihangEskwela.

Exemplar 1: The BantayLansangan

Overview

BantayLansangan is a partnership that seeks to mobilize a multi-sectoral group composed of non-government, private stakeholders, and official development partners to work with the DPWH and other government stakeholder agencies in enhancing the delivery of quality national road services responsive to user's needs, through more efficient and transparent use of public resources, thereby providing value for money and integrity.

Objectives

The primary objective of BantayLansangan is to increase transparency and accountability in the road construction and maintenance operations of the Department of Public Works and Highways. It aims to develop a government-civil society partnership among various stakeholders in the road sector. The main processes in the project are (1) road monitoring and analysis, (2) training and education, (3) communications and advocacy.

Framework

The evaluation framework of BantayLansangan involves three major criteria – effectiveness, efficiency, and impact, which are further operationalized in terms of impact areas. These criteria and impact areas are assigned weights which total 100 percent. The following table illustrates the evaluation framework.

Criteria	Weight in Percent
Effectiveness	40
<i>1.1 Road Network Condition</i>	75
<i>1.3 Environment and Road Safety</i>	25
Efficiency	45
<i>2.1 Planning and Budgeting</i>	20
<i>2.2 Procurement</i>	15
<i>2.3 Road Network Development</i>	30
<i>2.4 Preventive Maintenance</i>	20
<i>2.5 DPWH Agency Performance</i>	15
Impact	15
Total	100

Organizational Structure

The organizational framework should adequately provide for vertical as well as horizontal structures.

At the target agency side, the primary and highest management structure involved in the project is the agency management committee. On the social audit implementor side, for a nation-wide project with a coalition of organizational partners, the project management council is the highest structure, which deals with the agency management committee.

The project management council, the topmost policy-making body composed of representatives of the coalition members, is supported by a secretariat headed by an executive director.

The volunteers are organized into local groups and further into regional networks. The volunteers are coordinated by the secretariat, which fields project coordinators with specific regional assignments.

Mechanics

What are the essential steps in undertaking a roadwatch project like BantayLansangan across the nation, across years?

Preparatory Stage

- Negotiate the terms of reference for the social audit-oriented roadwatch project, stating clearly the roles of the client or funder, the target agency, and the implementing organization.
- Sign the necessary project charters and memorandum of agreement.
- Organize the project management team at the national level.

Detailed Planning Stage

- Design the detailed implementation plans for the project.
- Identify the regional and local areas for monitoring.

Tool Design Stage

- Formulate the evaluation frameworks, procedures, templates, tools, guidelines, forms
- Pilot test the tools
- Subject the test results to discussion
- Finalize the tools

Organizational Stage

- Organize the project management team at the regional and local levels.
- Train and educate the road volunteer monitors at the regional and local levels.
- Formulate and implement a volunteer management system (recruitment, deployment, supervision, assessment, and capacitation)

Implementation Stage

- Engage the regional and local offices of the target agency.
- Engage resource persons and institutions such as engineering schools and professional associations.
- Plan and schedule the local monitoring subprojects.
- Undertake the monitoring work.
- Supervise and analyze the monitoring progress.
- Conduct road-users satisfaction surveys

Reporting Stage

- Prepare and submit regional and local reports
- Prepare regional and local road status reports.

- Conduct multifunctional roadshows (reporting, experience sharing, lessons learned identification, best practices identification, stakeholder engagement, advocacy)
- Prepare the national road status report

Evaluation and Re-Planning Stage

- Conduct project evaluation at the national level
- Conduct re-planning for the next round of implementation
- Repeat the applicable cycle of tasks.

Critical success factors

- Strengthen partnership and cooperation between implementing organization and agency subject to social audit
- Ensure that regional and local volunteers are direct stakeholders
- Engage relevant regional and local civil society organizations
- Strengthen partnership of regional and local volunteers with their counterparts in the government agency subject to social audit
- Expand community stakeholder participation in the project
- Educate stakeholders about their positive and negative roles and impacts on the road system
- Enhance the sustainability of volunteer resources through appropriate financial support
- Support the overall efforts of the target agency to increase transparency, accountability, and responsiveness in its operations

Exemplar 2: The Bayanihang Eskwela

Overview

Bayanihang Eskwela is a project billed “The Citizen’s Monitoring of DPWH-implemented School Building Projects. It is being undertaken by G-Watch of the Ateneo School of Government.

BayanihangEskwela is a continuing demonstration of civil society partnership with the government in fighting corruption. The government agencies involved in the project are the DPWH, the DepEd, and the Office of the Ombudsman.

The civil society organizations are the Boy Scouts of the Philippines and Parent-Teacher-Community Associations.

The project received funding support from the Rule of Law Effectiveness (ROLE) Project of the United States Development Agency for International Development (USAID).

Objectives

Bayanihang Eskwela sought the following objectives:

1. to establish government and civil society partnership;
2. to capacitate and mobilizing stakeholders in the communities; and
3. to process and share the community's experiences in the monitoring.

Framework

Collaborative framework

Mechanics

What are the project management tasks in carrying out a Bayanihang Eskwela project?

The key activities are the following:

1. Prepare project design and management plan
2. Negotiate with stakeholders and potential partners
3. Sign MOA among stakeholders
4. Identify pilot schools and community members in those schools
5. Design monitoring tools and operations plans

6. Conduct briefing-orientation for stakeholders
7. Mobilize the communities
8. Perform monitoring work
9. Evaluate the project

Who are the project role-players and how are they organized?

G-Watch serves as overall national project coordinator

Community Volunteer Monitors

Organizational Structure

What is the Flow of Activities in the Monitoring Process?

Monitoring Coordination Plan (Monitoring Flowchart)

Monitoring Profile

What are the Monitoring Checklists Used by Citizen Volunteers?

Monitoring Checklist for Pre-Construction Stage

Activity 1: Site Identification

Activity 2: Project Meeting

Activity 3: Pre-Engineering Survey

Activity 4: Preparation of the Program of Work

Activity 5: Site Inspection

Activity 6: Bidding

Activity 7: Post-Qualification

Activity 8: Notice of Award and Notice to Proceed

Monitoring Checklist of Construction Stage

Activity 1: Earthworks

Activity 2: Excavation

Activity 3: Concrete Works

Activity 4: Masonry

Activity 5: Carpentry

Activity 6: Painting

Monitoring Checklist for Post-Construction Stage Inspection of Completed Building

Process

Structure

Critical Success Factors

The school principal in the pilot schools as “effective propeller and mobilizing figure in the community initiative”.

The citizen volunteer monitor’s diligence and hard work.

Effective multi-sector coordination among community stakeholders, DPWH personnel, contractors.

Simple monitoring guide in a familiar language that enabled citizens to ask monitoring queries and make clear judgements.

Lessons Learned

There are several lessons learned from BayanihangEskwela:

1. Identify a credible and competent project coordinator

The multistakeholder coordination required for a multi-site and multi-round implementation of a social audit project like BayanihangEskwela requires a credible and competent project coordinator. The few number of nationally recognized institutions or organizations with the resources and prestige of the Ateneo School of Government means that if more multistakeholder projects must be undertaken throughout the country, it is necessary to capacitate, certify, and advertise the existence of institutions that can serve as national project coordinators and system integrators of large and dispersed social audit initiatives.

2. Build on experience gained from predecessor projects

3. Use simple language in instructions and templates

4. Use natural or embedded leaders and managers such as school principals and community leaders

5. Motivate the target beneficiary community to offer volunteer services

6. Provide feedback to the government organizations concerned

7. Provide feedback to the target beneficiary community separately

To ensure that the findings of the project are acted upon, the findings should be forwarded not only to the leadership and top management and relevant internal audit offices of the agency concerned, and to the government anti-corruption agencies such as the Office of the Ombudsman, but directly to the target beneficiary communities on whose behalf the social audit project was implemented. This action increases the chance that the agencies concerned will act on the findings. It also increases the chance that the target beneficiary community will also be able to use other accountability mechanisms, including elections, to exact social accountability.

8. In the course of project implementation, check that the problem statement remains valid, and that there are no other ramifications of the problem that have been missed.

In the BayanihangEskwela, the project coordination team discovered that while ensuring that the school-buildings are properly constructed, the poor allocation of the school-buildings was a far worse problem. School-buildings were being constructed in areas that did not need them, while areas desperate for school-buildings were not receiving any. In the context of the project, this was not part of the problem. In the context of the larger problem of maximizing access to school-buildings, it was a glaring

problem. The misallocation of school-buildings had to do with politics --congressional decision-making and action.

Chapter 8: PUBLIC SERVICES WATCH TOOLS

Overview

Public services watch social audit tools are tools that measure the gap between what the people of a particular locality, community, or sector are entitled to, by definition of law, by previous commitment, by tradition or practice, and by and large as a matter of social need and expectation.

Public services watch social audit tools also measure the gap between what the service providers think they are accountable for, and what the target beneficiaries think they are entitled to. This is what may be called the policy gap – there is disagreement on what the service provider ought to provide the beneficiaries. Often, government does not agree that it is responsible for delivering public services at a quantity, quality, and timeliness demanded or expected by the target beneficiaries. Target beneficiaries do not receive what they need or expect.

Public services watch social audit tools also measure the gap between what the service providers think they are accountable for, and what they actually provide to target beneficiaries. This is what may be called the implementation gap – there is a shortfall in delivery or performance of the service provider. Often, while government agrees it should deliver public services at a certain quantity, quality, and timeliness, it fails to do so. Target beneficiaries do not receive what they need or expect.

Public service watch social audit tools also measure the gap between what the service providers think they have delivered and what the target beneficiaries think they have actually received. This is what may be called an evaluation (or satisfaction) gap. Often, government insists that it has delivered what it is expected to deliver (amount and quality of output delivered on time) but this is discrepant with what has actually been received (amount and quality of output received at a particular time) or actually enjoyed (outcome). Target beneficiaries do not receive what they need or expect.

Policy gaps issue from a lack of agreement between government and citizens on what the latter are entitled to.

Implementation gaps issue from a lack of responsiveness, effectiveness, efficiency, transparency, and accountability in the delivery of public services to the target beneficiaries.

Evaluation (or satisfaction) gaps issue from a lack of logical or instrumental link between the public services delivered (output) and the desired results (outcome).

Types and models of public service watch tools

Public service watch tools are the most prevalent social audit tools in use in the Philippines today. This chapter can only provide illustrative models for each of the major types – policy gap watch, implementation gap watch, and evaluation (satisfaction, outcome) gap watch.

Policy Gap Watch: Advocacy NGOs: Concerned Citizens Against Pollution

Many advocacy NGOs are involved in the policy gap watch. They are measuring actual conditions in their advocacy area (e.g., clean air), what the government is actually doing (actual policy and implementation), and what the government ought to be doing (new policy or policy reform). These concerns are translated into a policy advocacy campaign usually for a legislative proposal – a Clean Air Act (already passed); a New Government Procurement Law (already passed); a Citizens Charter (already passed); a Freedom of Information Act (almost passed); and a Reproductive Health Act (not yet passed).

Policy gap watch requires policy research, policy analysis, and policy advocacy skills, orientations, and resources.

Policy research is often understood as determining how a particular policy came about. It is an attempt to identify the various actors, factors, and conditions that interacted in a way that determined the policy outcome – a policy enactment by a legislative body or an executive enactment (e.g., presidential decree, executive order, letter of instruction).

Policy analysis is often understood as the provision of policy advice to a given client (person, institution, coalition) who has sought the advice of the policy analyst on how to

deal with a policy problem. The policy analysis process defines the policy problem, generates data and information to understand and frame the problem in its overall context, generates goal-based criteria for evaluating policy options, formulates and evaluates those options, and recommends the option identified with a set of future consequences that best approximates the preferred future of the client.

Policy advocacy is often understood as the campaign to convert a policy proposal into a law or enactment, in competition with other alternative proposals for the support of the public, the media, and eventually the legislature or enacting authority.

In campaigning for the enactment of the Clean Air Act, the Concerned Citizens Against Pollution, as most other policy advocacy groups, go through a process that is defined in an application software called PolicyMaker. The following box contains the description of the software by its developer. An evaluation copy of the software is available on the website cited below.

PolicyMaker is the political analysis and policy advocacy tool for Windows.

This easy-to-use tool can help you analyze, understand, and create effective strategies to promote your point of view on any policy question or political issue.

PolicyMaker provides step-by-step guidance to help you conduct a stakeholder analysis and design political strategies to support your policy.

Managing the policymaking process is a difficult task. How do you get others to accept your policy or implement a decision?

PolicyMaker helps you comprehend the political dynamics of policymaking, and plot a path to victory by helping you analyze systematically who your supporters are, why your policy may face opposition, and what strategies might help you be more effective. In short, policymakers who confront complex political problems need PolicyMaker 4 software.

Use PolicyMaker as a repository for your thoughts on the political circumstances faced by your policy, and use it to help you design successful strategies to win acceptance for your policy in any arena, be it local, state, national, or international, or within your organization.

PolicyMaker can be used in a group as a tool for strategic planning among key advisors, or as an instrument for seeking consensus or agreement among different players or as a policy advocacy or lobbying tool. PolicyMaker has been used around the world by government officials, advocacy groups, private companies, international agencies, and the faculty members of major universities.

PolicyMaker 4 is a new improved version of the software with a number of enhanced features. The software supports the creation of coalition diagrams, quantitative modeling of position and power, graphs that summarize political feasibility, and the creation of strategies with an easy-to-use, strategy design system, as well as many other features. A tutorial is included in the full product.

Pasted from <http://polimap.books.officelive.com/default.aspx>

Exemplar 1: Citizens Charter of Naga City

Overview

Objectives

Framework

Mechanics

Critical Success Factors

Lessons Learned

Chapter 9: ELECTION WATCH TOOLS

Overview

Elections are at the core of the democratic process. It is the ultimate exercise of social and political accountability, where the people choose who will hold public office and exercise the powers of government. Where the electoral process is flawed and the will of the people is not accurately reflected in the results of the vote.

Elections, the performance of the election commission, and the participation of the various stakeholders including voters and citizens are a valid target of social audit.

Social audit is particularly crucial when there are innovations or modifications in the electoral system. This becomes more acute when the innovations are of a highly technical nature that is often beyond the knowledge and understanding of the average voter or citizen.

The introduction into electoral systems of automation through the use of computers is an increasingly common occurrence. How can citizens safeguard their rights and interests in these circumstances?

Types and models of election watch tools

There are various levels and approaches to monitoring the introduction of new technology in elections in the Philippines. These focus on the following:

1. The formulation and passage of the law mandating and authorizing the use of computers for the elections
2. The adoption of operational or implementing rules and procedures for the law
3. The work plan and guidelines, organization and deployment of the electoral commission (Comelec) and deputized and associated government agencies (e.g., Department of Education, Department of Interior and Local Government, Department of Justice) for the elections
4. The procurement of the computers and other information and communication technology equipment, software, services, and related supplies and materials to be used in the elections, in accordance with the new government procurement law
5. The effectiveness and fitness for use of the entire automated electoral system in achieving the intended outcome -- the validity and credibility of the results of the elections as a basis for organizing the new government.
6. The participation of civil society organizations and citizens groups as citizen arms of the electoral commission
7. The role, rights, and obligations of political parties, candidates, and their representatives, in the conduct of the electoral campaign and elections
8. The role, rights, and obligations of foreign, international, and external observer groups in the elections.
9. The role, rights, and obligations of voters and ordinary citizens during the electoral campaign and elections
10. The role, rights, and obligations of the media during the electoral campaign and elections

11. The role, responsibilities of the administration and the civil service during the electoral campaign and elections.

The social tool that will be presented below focuses on the fifth area identified above.

Exemplar 1: The AES Watch

Overview

Objectives

Frameworks

Features

The features of this tool are the following:

1. Multi-stakeholder
2. Multi-disciplinal
3. Multi-stage
4. Policy-oriented
5. Non-partisan
6. Transparent
7. Flexible
8. Technology-enabled

9. Systematic

10. Credible

Template

The primary framework for identification of the areas of work, measurement of work performance, points for engagement with the Comelec, and agenda for policy advocacy with Congress and the public at large is the STAR, which stands for the System Transparency, Accountability, and Readiness (STAR) Card for the AES 2010.

There are four evaluation categories for the STAR Card:

1. System Set-up
2. Internal Security
3. Training and Voters' Education
4. Contingencies

For each of these categories, there are a set of indicators. The following rating scale is applied to the indicators:

- Done
- Warning
- Danger
- Fail

The indicators and their ratings as of mid-April less than a month before the elections are as follows:

System Set-Up	Rating	Highlights
1. Timely Delivery of PCOS	Done	<ul style="list-style-type: none"> • Inadequate Technical Certification • Flawed Certification for the Hash Codes • Security Breach: Antipolo Incident • Defective CF Cards • Transmission Delays & Failures
2. Quality of Machines	Danger	
3. Technology Certifications	Fail	
4. Availability of Transmission Facilities	Danger	
5. Deployment of Machines	Warning	
6. Physical Security of Machines	Danger	
7. Precinct Specific Ballots	Danger/Warning	
8. Resource Inventory in Voting Centers	Danger	
9. Adequate General Instructions	Done	

Internal Security & Trustworthiness	Rating	Highlights
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10. Source Code	Fail	<ul style="list-style-type: none"> • Absence of a genuine source code review • Source code review vs walkthrough • Absence of voter verification: Transparency implications • Disabling of the digital signature function • Importance of the RMA
11. Verifiability of Voting Results	Fail/ Danger	
12. Secured Transmission Results	Fail	
13. Initialization of PCOS	Warning	
14. Random Manual Audit	Danger	

Personnel Training and Voters' Education	Rating	Highlights
15. Training of Technical Personnel	Danger	<ul style="list-style-type: none"> • Structural implications for the Comelec • Commendable efforts but still lacking in intensity and substance • Handling of special cases: PWDs and Senior citizens
16. Stakeholders Education and Training	Danger	
17. Precinct Assignment of Voters	Danger	

Contingencies	Rating	Highlights
18. Continuity Plan	Danger	<ul style="list-style-type: none"> • Need for an updated continuity Plan • Stakeholder consultation on the contents of the continuity plan
19. Electoral Protest Mechanism	Done	
20. Alternative Election System	Danger	

Mechanics

Preparation

Write-up preliminary concept paper of the project

Distribute to likely partners and co-operators

Obtain additional information on other likely partners

Organization

Conduct organizational meeting

Explore interests, resources, expertise, ideas

Organize committees to work on major work packages and milestones

Designate convenors, coordinators, and organization to serve as secretariat

Organize Executive Committee

Implementation

STAR Card Design

Identify key issues, concerns, and problems

Design STAR Card Dimensions and Indicators

Identify information and data needs

Report on design issues, design process, and results

Formulate periodic ratings on STAR Card and validate with Executive Committee

Congress Engagement

Organize speakers' panel

Prepare statements

Prepare response to anticipated questions

Schedule appearances in Congress

Report on results of engagement with Congress

Comelec Engagement

Organize technical panel

Prepare agenda of discussions with Comelec

Prepare issues, problems, concerns, and questions

Identify information and data needs

Prepare statements on AES positions and interests

Prepare response to anticipated questions

Schedule meetings with Comelec

Report on results of engagement with Comelec

Media and Public Engagement

Organize speakers' panel

Prepare position papers and press releases

Prepare response to anticipated questions

Schedule meetings with the media

Report on results of engagement with the media

Organization

Deployment

Partnership and Stakeholder Engagement

Draw up list and contact details of institutional and individual partners, co-operators, resource persons

Create email groups

Feedforward information and updates

Share feedback and information

Hold general assemblies

Document and disseminate decision points and key proceedings

Election Day Monitoring and Evaluation

Design Election Day monitoring system consisting of program tasks, peopleware, and facilities

Generate required logistical, organizational, and staff resources

Organize monitoring team and assign tasks

Conduct election day monitoring

Evaluate monitoring data

Prepare report on election day monitoring process and results

Post-Election Assessment

Submit committee reports on election conditions, events, and processes

Prepare final STAR Scorecard Report

Prepare full AESWatch Report

Convene a general stakeholder Post-election Assessment

Formulate follow-up action plan to obtain information and closure on issues and concerns

Formulate a policy analysis and advocacy plan

Post-Election Policy Analysis and Advocacy

Conduct in-depth study of performance and transparency data from the 2010 elections based on data to be accessed

Formulate an Action Plan for the 3013 Elections

Formulate proposals for the amendment of RA ----, implementing rules, and administrative arrangements

Tool Deployment Insights and Tips

AES-Watch type of social audit projects are comprehensive, complicated, and long-term engagements. They require certain features for success.

AES-Watch type of social audits should be undertaken as much as possible by organizations with track record and credibility for large-scale endeavors. Failure or failure to follow through will make AES-Watch type of social audits more difficult to mount in the future.

In working with a host of other organizations coming from various sectors, it is important that one of two organizations play a lead role. In a multi-stakeholder situation, playing a lead role means making a significantly greater contribution to the effort than the others. This means the contribution of leadership, administrative staff, and time and resources for contacting, coordinating, mediating, and attending to related concerns of the other stakeholders.

In undertaking these types of social audit endeavors, principles of volunteer management apply – individuals and organizations have other commitments and have limited time and material resources. It is important to always try to find a common available time for meetings, find somebody who is in the best position to perform a task and willing to do so, find substitutes for resources who are suddenly unavailable, without recrimination and ill-will. The focus should be both on the task at hand and at maintaining smooth interpersonal relations within the coalition. Conflicts of ideology and principles should as far as possible be set aside by mutual agreement in the work process; conflicts of egos should be avoided through diplomacy and tact, patience and tolerance.

In doing the work of large scale social audit projects, there are a lot of concerns that members of the coalition seek to put on the table early and every time. As much as possible, introduce early some principles of brainstorming and decision-making that will provide a filtering and sequencing system for dealing with multi-varied concerns. The Six Thinking Hats method proposed by Edward de Bono in his book with the same title is a good default method to use. The book is short and easily understood. The method is intuitive and easy to grasp. Basically, the participants should process their concerns together moving from one hat to another, generating all the relevant data prior to decision-making as follows:

- White Hat thinking – generating data about what we know -- facts and Information
- Red Hat thinking – generating data about what we feel – anger, admiration
- Black Hat thinking – generating data about our fears – threats, lack of fit
- Yellow Hat thinking – generating data about our hopes – preferred futures, opportunities, reasons for optimism

- Green Hat thinking – generating data about our new ideas – thinking out of the box, best practices, lessons learned, new tools
- Blue Hat thinking – generating data about how we process our data and arrive at a decision -- sequencing, participation, exclusion, voting, regulating

AES-watch type social audit endeavors rely for success on getting on board the necessary expertise, in this case, on (1) the electoral process, (2) information and communication technology, and (3) policy analysis and advocacy. Try to get the best, and try to get enough experts for broad and balanced representation of types and sectors and paradigms.

AES-watch type social audit endeavors also depend for their success on the sharing and use of the political capital of the organizations involved, including contacts with the Comelec, the media, and with representatives and senators in Congress.

Finally, AES-watch type social audit endeavors require system integration of people, institutions, connections, and technology, making them interoperable and working towards a final goal. This means a long term vision that must be created and generated and sustained, even as some partners look at the effort only from the short-term point of view, e.g. all ends with the election results.

Resources

CENPEG

Sherwin Ona

Chapter 10: TEACHING SOCIAL AUDIT TOOLS: THE NSTP PLATFORM

Overview

This social audit handbook calls attention to the underutilized “force multipliers” like the National Service Training Program (NSTP) and illustrates how this program can be used to create a core of young people with social audit competencies.

This chapter presents an operational guide for teaching social audit tools in a typical National Service Training Program (NSTP) or Practicum Class at the undergraduate level as a platform. It includes the syllabus, course requirements, course references and resources, class schedule, workshop designs and templates, and suggestions and tips for the instructor and/or facilitator.

Many CSOs are mobilizing for social audits. A broader view of existing opportunities shows that there are other relatively untapped platforms for social audit. These are school-based and community-based courses and institutions that are dedicated to citizenship, civic welfare, civic literacy, and military preparedness. Among these are the National Service Training Program, practicum courses for social science majors, on the job training courses for college seniors, citizenship and governance courses for freshmen and sophomores, Reserved Officers Training Courses (ROTC) both basic and advanced, high school, college, and university student councils, and boy scouts and girl scouts.

There are also community institutions such as the Sangguniang Kabataan (SK) that can be retrofitted with a social audit function and program.

Two NSTP Social Audit Models

Taking only the NSTP as a possible platform for social audit training, there are two models that can be advanced. The first one is using the NSTP to teach the contents of this handbook. A second model is to use NSTP to implement a citizen feedback system, a social audit tool that has not satisfactorily been designed and implemented in the Philippines.

The course syllabi for these models are given below.

Model 1: Social Audit Appreciation Course

Course Title: Fundamentals of Social Audit Competency for Civic Literacy

Course Description:

This course aims to expand the concept of civic literacy to include crucial competencies needed for good citizenship in today's modern world. One class of skills relates to the ability of the citizen to make government accountable for its actions and the consequences of its action through social audit. Rather than viewing the use of social audit from an adversarial perspective, the course treats the use of social accountability and audit tools as necessary positive contributions of citizens to democracy and development. The failure of citizens to provide the government with systematic feedback on the responsiveness of government to citizen and community needs and expectations is a significant contributor to the inability of government to identify, commit to, and carry out needed reforms and capacity-building initiatives. Citizen feedback through social audit and habitual interest articulation and aggregation are the oxygen of democracies.

Course Objectives

At the end of this course, the students shall have;

1. Understood the significance of social accountability and audit as critical citizen competencies
2. Appreciated the design and management of social audit projects
3. Learned to integrate theory and practice through participation in social accountability and social audit projects in cooperation with a government, private sector, or civil society institution

Course Methodology

The course begins with an appreciation of the governmental problems experienced by each of the members of the class. This individual and collective problem inventory leads to the use of tools for problem analysis. Problems are defined and analysed as gaps between what the citizens need and expect and what the government promises and actual provides the citizenry. These problems are classified into policy gaps, implementation gaps, and evaluation gaps.

The students will then be introduced to tools for measuring and assessing the significance of these gaps using selected social accountability and social audit tools.

These selected tools are: (1) governance report card tools; (2) public infrastructure watch tools; and (3) citizens charter-based community scorecard tools

Course Outline

Session 1: Overview of the course and organization of the class

Session 2: Inventory of personal and community experiences of governmental problems

Session 3: Classification and analysis of governmental problems

Session 4: Competency standards for Filipino citizenship

Session 5: Social accountability and social audit

Session 6: Introduction to governance report cards

Session 7: Inventory of opportunities and challenges for implementing governance scorecards in the student's localities

Session 8: Introduction to public infrastructure watch tools

Session 9: Appreciative inquiry into an existing public infrastructure watch projects

Session 10: Introduction to citizen charters

Session 11: Social audit of the citizen charter system of a selected local government

Session 12: Inventory and discussion of lessons learned

Session 13: Formulation of individual citizen social audit competency engagement plans

Session 14: Course summary and integration

Readings and References

Model 2: Citizen Feedback System

Overview

Social audits are formalized processes undertaken through projects that are necessary because the vertical accountability of government to the people is not effectively ensured by existing modes and levels of political communication.

Citizen feedback is crucial to keeping government aligned to the needs and expectations of the people. Government agencies and personnel, however, often choose to ignore citizen feedback because they do not have the capacity to respond adequately to citizen needs and expectations. The chasm between government actions actually undertaken and government actions required for responding to citizen needs and expectations increases to the point where public trust in government is eroded, and government legitimacy is questioned. Without healthy and habitual citizen feedback, government will lose its rudder.

There are several citizen feedback systems formally in place but operationally defunct. These are in the form of mechanisms by which citizens are given the opportunity and facility to provide information, reflect satisfaction or dissatisfaction with specified government services, register complaints, offer suggestions and recommendations, and rate the effectiveness, efficiency, honesty, courtesy, and other qualities of government personnel and agencies. Among these are the “MamamayanMuna, Hindi Mamaya Na” campaigns of the Civil Service Commission. The Office of the President also has a website for receiving citizen messages for the President. Various other offices have schemes for receiving text and email feedback from their customers and target beneficiaries.

Radio, television, and print media also have regular sections and portions for reporting citizen feedback on governmental concerns.

Overall, there is no systematic and adequate scheme for processing, understanding, and responding to all the feedback, which appear to government to be overwhelming and daunting. The lack of systematic action on the citizen feedback stream, and on specific citizen feedback, serves to discourage the feedback. The existing level of citizen feedback to government is perhaps a small fraction of the potential feedback if the citizen feedback system produced satisfactory results.

Course Objectives

At the end of this course, the students shall have:

1. Understood the significance of social accountability and audit as critical citizen competencies
2. Appreciated the design and use of the www.seeclickfix.com citizen non-emergency issue report and response system
3. Used the selected tool to monitor citizen issues in four areas – traffic and transport, environment, public infrastructure, and public order and safety in a selected metropolitan community.
4. Analyzed and interpreted the monitoring data generated
5. Reported the findings to concerned government agencies and civil society organizations
6. Identified lessons learned from the course.

Course Methodology

Course Outline

Session 1: Overview of the course and organization of the class

Session 2: Inventory of personal and community experiences of governmental problems

Session 3: Classification and analysis of governmental problems

Session 4: Competency standards for Filipino citizenship

Session 5: Social accountability and social audit

Session 6: Introduction to citizen feedback systems

Session 7: Introduction to the www.seeclickfix.com citizen non-emergency issue reporting system

Session 8: Monitoring and reporting of traffic and transport issues in selected city or community

Session 9: Monitoring and reporting of environmental and cleanliness issues in selected city or community

Session 10: Monitoring and reporting of public infrastructure issues in selected city or community

Session 11: Monitoring and reporting of public order and safety issues in selected city or community

Session 12: Preparation of citizen feedback reports learned

Session 13: Presentation of citizen feedback reports to representatives of government agencies, local governments, and CSOs concerned with the issues monitored

Session 14: Course summary and integration

Readings and References

Guidelines

Chapter 11: SUMMARY AND CONCLUSIONS

Learning to use the tools

This handbook has presented several social audit tools and their essential features. From this handbook, CSOs should be able to determine which specific tool is most appropriate to their problems and their capacities.

The handbook is not sufficient to answer all the questions the CSOs might have about the social audit tools presented, but it provides the names and contact information of resource persons and institutions who can help them learn how to use these tools and wield them effectively in their areas of engagement.

One good way to fast track learning is for a CSO to do an appreciative inquiry visit to another CSO that has implemented or is implementing the tool. There is nothing like learning from the actual observation of the use of the tool by an experienced user.

Learning to outsource

Making social audit happen is the key objective. In this case, the CSO should consider letting another CSO or service provider (e.g., college and university students and faculty) do the work that requires expertise and competencies that may at the moment be absent from the CSO.

In addition to outsourcing, another strategy is to partner with other organizations that have the requisite expertise and competencies.

Management and Coordination Issues

There are several issues raised in the development and deployment of social audit tools in the Philippines. Among these are:

- f. To what extent should CSOs that provide coordination of CSO efforts need to continue providing such management services?

- g. Can CSOs be effective without leadership and central coordination being provided by some of them?
- h. To what extent should the public sector, the private sector, and the civil society sector absorb and internalize some of the social audit tasks that are demonstrated by pioneering or pilot projects to be critical?

Who is responsible for capacity-building and capability-building among NGOs?

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APPENDICES

Appendix -- : IDAP Guidelines

IDAP Circular No. 01-2005	
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Office of the President of the Philippines
PRESIDENTIAL ANTI-GRAFT COMMISSION
(PAGC)

IDAP CIRCULAR NO. 01 – 2005

TO : **ALL CONCERNED HEADS OF DEPARTMENTS, BUREAUS,
AND AGENCIES**

SUBJECT : **GUIDELINES ON THE IMPLEMENTATION OF THE INTEGRITY
DEVELOPMENT ACTION PLAN (IDAP)**

1.0 Background

The Presidential Anti-Graft Commission (PAGC) initiated the conduct of the unprecedented Presidential Anti-Corruption Workshop (PAW) last 15-17 December 2004 in Malacañan and at the Eugenio Lopez Center in Antipolo City. The workshop was attended by top-level officials in the Executive Department and was facilitated by a group of experts led by Mr. Tony Kwok of the Independent Commission Against Corruption (ICAC) of Hongkong.

The workshop's main output, the Integrity Development Action Plan (IDAP), was adopted as the National Anti-Corruption Strategy Framework of the Executive Branch, having 22 specific and doable anti-corruption measures and as such shall serve as Agency Heads' guide in crafting their own agency-specific anti-corruption plan. The cabinet secretaries, thru DFA Sec. Alberto Romulo, committed to implement the said action plan in their respective agencies.

During the same workshop, PAGC was tasked by Her Excellency President Gloria Macapagal-Arroyo to exercise oversight function over all agencies under the Executive Branch as regards IDAP implementation and sustainability of selected anti-corruption measures based on the IDAP.

To assist the agencies in the implementation of their respective IDAPs, PAGC conducted bimonthly follow-up meetings held last 18 February, 18 April, and 17 June 2005. In addition, an IDAP Performance Indicators Workshop was also organized in three batches (8, 9, 10 June 2005) which clarified PAGC's oversight function and resulted to a set of indicators that was agreed upon by the participating agencies. And to further equip the agencies with the knowledge and skills needed to properly carry out the IDAP, the IDAP Enhancement Seminar Workshop was conducted in three batches (28-29 July, 2-3 and 4-5 August 2005). Decisions based on the feedbacks and recommendations of the resource speakers and the participants of the workshops conducted led to specific guidelines for IDAP implementation.

2.0 Purpose

This circular is being issued to provide agencies with guidelines for the implementation of their respective Integrity Development Action Plans (IDAPs) that will serve as basis for PAGC in assessing the level of implementation of the IDAP by the same agencies.

3.0 Coverage

This circular shall apply to all departments, bureaus, and agencies under the executive branch with their own respective IDAPs.

4.0 Policy Guidelines

4.1. General Application

4.1.1. Agencies may add other measures, which they believe, are applicable to them. For these additional measures, the agencies shall formulate their own rating scales and submit the same to PAGC. On the other hand, it is acknowledged that some measures may not be applicable to certain agencies. If this is the case, the agencies shall inform PAGC to enable it to do the necessary verification.

4.1.2. Agencies shall follow a 5-year timeline for their IDAPs: ensuring that everything is in place by Year 3 and sustainability to be worked on for the remaining two years.

4.1.3. Lower-level indicators shall be pre-requisites to higher-level indicators.

4.1.4. An agency should meet all the requirements of a particular level before being given the rating of that level.

4.1.5. Agencies shall submit monthly reports on the status of their IDAP implementation to enable PAGC to do the necessary verification and more importantly, to act on the agencies' concerns faster.

4.1.6. The various IDAP measures shall have equal weights.

4.2. On Measures Under Prevention

4.2.1. Internal Audit Unit (IAU)

§ Internal auditing shall be an independent and objective assurance and consulting activity designed to add value and improve an organization's operations. It shall help an organization accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance process.

§ IA shall be multi-disciplined. The required qualification shall be dependent on the kind of internal audit needed by the agency.

§ Agencies may create ad hoc units / positions/ designations for the setting up of the Internal Audit Unit, pending implementation of E.O. 366. However, it is a must for the agencies to incorporate in their proposal under EO 366 its IAU—the latest OP issuance on this is MC 89. (Annex A)

§ The scope of the IAU shall be comprehensive to include systems audit, operations audit and performance audit. Moreover, the IAU shall be an independent unit within the agency and independent of those performing the function.

§ IA report shall be substantial, concise and direct to the point— the same shall do away with transaction level items, focus on systems and on big-ticket items.

§ While PAGC will undertake training of internal auditors as part of the World Bank grant, the agencies shall also undertake their own investments in the training of internal auditors. The Office of the President has granted PAGC's request for exemption from Section 1. a(5) of Administrative Order No. 103, series of 2004, for IDAP related needs on trainings, seminars and workshops. (Annex B)

4.2.2. Integrity Development Review (IDR)

§ Agencies without IDR budget shall (1) have compensatory assessment instruments such as CPRP or their own agency-specific assessment tool and shall inform and apprise PAGC of that tool so that it can make appropriate recommendations; or (2) use the "PRIDE (Pursuing Reforms Through Integrity Development) Do-It-Yourself Integrity Development Review Handbook" (copies of which were given during the Presidential Anti-Corruption Workshop and the IDAP Enhancement Seminar-Workshop) to address the corruption vulnerabilities in their respective agencies.

§ Agencies that have undergone IDR shall replicate the same in their regional and provincial offices considering that IDR has a technology transfer component.

4.2.3. Integrity Check

§ The components of integrity check shall include lifestyle check and background check.

4.2.4. Multi-Stakeholder Performance Evaluation System

§ Agency-specific performance evaluation system shall be in accordance with CSC Memorandum Circular no. 13, s. 1999 and duly approved by the Civil Service Commission.

4.3. On Measures Under Education

4.3.1. Agency-Specific Code of Ethical Standards

§ The agency-specific code of ethical standards that will be developed shall be in accordance with RA 6713 and the template presented by the Office of the Ombudsman (Annex C) shall be adopted as model.

4.4. On Measures Under Deterrence

4.4.1. Internal Complaint Unit/ Internal Affairs Unit

§ The Internal Complaint Unit shall be accountable for ensuring a documented receipt of the complaints and the initial screening that is needed to determine prima facie and to determine whether it is a legal or system concern. This information shall be provided to the head of the agency. Then based on the given information, the head of the agency shall refer complaints that are legal in nature to the Internal Affairs Unit; and those, which are systems in nature to the Internal Audit Unit.

4.4.2. Publication of Blacklisted Offenders

§ The following shall be considered blacklisted:

- i. A supplier who violated the Procurement Law
- ii. Employees who are found guilty of violations and whose sanction involves dismissal with perpetual disqualification from public office

§ This measure shall only apply to cases whose decisions are final and executory.

5.0 Effectivity

This circular shall take effect immediately.
01 September 2005, Quezon City, Philippines

(signed)
DR. CONSTANCIA P. DE GUZMAN, MNSA
Chairman

Pasted from <http://www.pagc.gov.ph/IDAP_Circular_01-2005.htm>

Appendix --- Seven Anti-Corruption Strategies*

Policy	<ul style="list-style-type: none"> • The more sound the anti-corruption policy environment, the less is corruption.
Prosecution	<ul style="list-style-type: none"> • The more effectively the corrupt are detected and sanctioned, the less is corruption.
Prevention	<ul style="list-style-type: none"> • The more transactions are re-engineered to increase transparency and accountability, the less is corruption.
Promotion	<ul style="list-style-type: none"> • The more integrity there is in institutions, systems and individuals, the less is corruption.
Partnerships	<ul style="list-style-type: none"> • The more anti-corruption coalitions, alliances, and cooperative mechanisms, the less is corruption.
Performance	<ul style="list-style-type: none"> • The more systematic valid and reliable is public service performance measurement, the less is corruption.
Perceptions	<ul style="list-style-type: none"> • The more confidence citizens have in the integrity of their public institutions and leaders, the less is corruption.

*As formulated by Segundo E Romero

Appendix --- The Integrity Development Review

The IDR is a Key, Long-Term Corruption Prevention Tool of the Philippine Government

- It will be institutionalized
- It will be expanded
- It will be deepened
- It will link with other tools, such as the Integrity Development Action Plan
- It will measure and compare anti-corruption performance across agencies over time

The IDR is Four-Tools-in-One

- Integrity Development Assessment (Guided Self-Assessment)
- Indicators Research (Desk- and Field-based Means of Verification)
- Survey of Employees (Face-to-face random sample survey)
- Corruption Vulnerability Assessment (Transaction process analysis)

EC-OMB Corruption

Prevention Project

10 Aug 2004- 15 Feb 2007

Objectives

- Support cooperative efforts of the OMB in preventing corruption, specifically to:
- Strengthen cooperation with civil society organizations
- Strengthen cooperation with the wider public
- Strengthen cooperation with government agencies
- Strengthen OMB's management capacities

IDR Implementing Structure

IDR Pilot Agencies

Corruption Vulnerability Assessment of DBM & DAP supported by the World Bank (2002)

PRIDE in the Office of the Ombudsman & Department of Education - Central Office, Regions I, VIII & NCR supported by USAID-EGTA (2004)

Survey of Employees in the Civil Service Commission (2004)

EC-OMB Corruption Prevention Project

First set of agencies that went through the IDR: EC-OMB Corruption Prevention Project

- DAR
- DBM-PS
- DENR
- DILG-BFP
- DOH
- DOJ-BUCOR
- DND-AFP-PN
- DND-PVAO
- LRA
- LRTA
- NIA

Second set of agencies undergoing the IDR

Part Three: Overview of the IDR Tool and Process

Overview of the IDR Tool

As developed by the Development Academy of the Philippines

And implemented for Batch 3 Agencies from January - June 2007

What is IDR?

Objectives of the IDR

- Assist the management and leadership of the agency to:
- Assess the level of integrity development within the agency
- Identify the agency's vulnerability to corruption
- Assess the adequacy of agency's controls to detect and prevent corruption
- Prepare a more focused Corruption Prevention and Integrity Development Plan
- Establish benchmarks by which performance and results of anti-corruption programs can be monitored

The IDR is ...

... not intended to embarrass or put Top Management on the Spot: The Report is confidential and is embargoed for a whole year to enable Top Management to jumpstart its anti-corruption initiatives in response to the findings of the IDR Team

The Report addresses systems and procedures and does not mention any specific person or office for prosecution

The Report is based on the inputs of the Agency's officers and personnel

Premise

Concept of Integrity Review

IDR Methodology and Tools

Integrity Development Framework

IDA Levels of Achievement

Level 5: Evaluation of Effectiveness

Level 4: Integration with other reforms

Level 3: Enforcement

Level 2: Adaptation and deployment

Level 1: Observance of minimum standards

Level 0: Anecdotal evidence, no systematic deployment

IDA Levels/Steps of Achievement

IDA Levels/Steps of Achievement

IDA Levels of Achievement

How the IDA scale works

Five-point scale

Leveling takes into consideration the approach and deployment of the system/process

Level one represents the minimum requirement

Level five suggests maturity of approach, cycles of improvement

Scaling is cumulative i.e. to achieve a level three ranking, the agency should meet the standards set for levels one and two

Integrity Development: Mode of Assessment

Self-assessment done by management, key process owners and employee representatives

Consensus review guided by assessors

Indicators Research

Specified documents and other means of verification for claimed levels achieved in the self-assessment process are gathered by the assessment team from the agency, to serve as basis for the validation of the ratings.

Survey of Employees

Checks deployment of approaches, perceptions of corruption

Uses sealed envelope technique to ensure confidentiality

Uses Likert scale (5 levels of agreement) in order to derive net satisfaction rating

Random sample = 100/site

Survey of Employees

- Some possible corrupt practices in the Agency covered by the Survey of Employees
- Abuse of discretion/power
- Accepting bribes
- Collusion with Bids and Awards Committee (BAC) members
- Collusion with suppliers
- Corruption of Filipino values e.g. pakikisama, hiya, etc
- Disclosure of confidential information
- Falsification of documents
- Forgery or fraud
- Illegal use of public funds or property
- Negligence of duty
- Nepotism/Favoritism
- Overpricing of bids
- Theft of public resources
- Tolerance of fixers
- Unauthorized collection of funds
- Others (specified by interviewee)

Corruption Vulnerability Assessment

- Examines high risk functions, programs and activities
- Assesses probability that corruption could occur

- Assesses adequacy of existing controls and if controls are operating
- Identifies measures to minimize or eliminate risks

Survey Interpretation Guide

Part Four: Findings of the Corruption Resistance Review (CRR)

Part Five: Findings of the Corruption Vulnerability Assessment (CVA)

Appendix --- Evaluation Template for the Integrity Development Review

Rating CODE OF CONDUCT -- Levels of Achievement

- 1 The agency has a general code of conduct (RA 6713)
The agency monitors annual submission of SALN and as well as disclosures of business interest and financial connection
- 2 The agency has a customized Code of Conduct which has concrete examples of ethically acceptable/non-acceptable practices and situations of conflicts of interest that are relevant to the different types of work carried out by the agency

There is a program for promotion (e.g. orientation) of the agency Code of Conduct
- 3 The agency Code of Conduct is consistently enforced, with managers having clear tasks of promoting and monitoring compliance

Violations of the agency Code of Conduct are sanctioned. Rewards are given to employees who consistently exhibit behaviors that are consistent with the agency Code of Conduct
- 4 The agency Code of Conduct has been integrated in key systems and mission critical functions (e.g. applicable provisions of the Code of Conduct are included in contracts with external parties)

Employees' record of adherence to or violation of the Code of Conduct is used as basis for promotion.

Disclosures of employees from SALN are analyzed and appropriate actions are taken.
- 5 The agency Code of Conduct is regularly reviewed for effectiveness in preventing corruption and in specifying and promoting the desired behavior of employees.

Results of the review are used to strengthen the agency's Code of Conduct

Rating PERFORMANCE MANAGEMENT: Levels of Achievement

- 1 The agency has set organizational goals, annual targets and performance indicators
- Performance targets and work plans at the unit and individual levels are based on the agency goals
- 2 The agency has a performance evaluation and management system in place
- Managers and supervisors are trained on performance evaluation and management
- The basis of performance evaluation is made known to all employees
- 3 The agency regularly prepares reports (e.g. annual report) to assess accomplishment of its goals and targets
- The agency regularly evaluates individual performance. Individuals are made to report on their accomplishments vis-à-vis goals and targets.
- The agency consistently rewards good performance and sanctions poor performance and negligence of duty.
- Agency annual reports are made available to the public to account for what the agency has accomplished vis-a-vis its targets.
- 4 The agency links staff performance ratings with the attainment of unit's targets and level of performance
- Levels of agency and individual performances are analyzed in relation to corruption incidence in the agency
- 5 The agency regularly reviews the effectiveness of its performance management system in preventing corruption and enhancing integrity
- Results of the review are used to improve the agency's performance evaluation and management system

Rating FINANCIAL MANAGEMENT: Levels of Achievement

- 1 The agency adopts the prescribed government budgeting and accounting guidelines such as the New Government Accounting System (NGAS), DBM budget guidelines

The agency has established control systems to ensure that its financial resources are protected

Financial accountabilities of officials and employees are defined

- 2 Budgeting and accounting guidelines and processes are defined, approved and disseminated to all concerned units

The agency takes proactive steps to make all officials and employees aware of their obligations not to use agency's financial resources (e.g. cash advances, collections) for private purposes

Management and relevant personnel are trained on budgeting, accounting, and financial management

- 3 The agency strictly enforces budgeting and accounting policies and guidelines (e.g regular conduct of reconciliation, immediate liquidation of cash advances, immediate remittance of collections)

The agency regularly prepares financial reports containing actual expenditures vs budget and explanation for variance, statement of income vs target collection and explanation for variance, etc

The agency provides full audit trail for major financial transactions. Random audits are carried out, with reports and recommendations for action provided to management. Appropriate follow up action are taken on any findings

- 4 The agency's computerized systems have been integrated and provided with security (e.g. access codes) to ensure that fraud and other financial risks are minimized if not totally eliminated

The agency's financial performance is analyzed vis-à-vis accomplishment of its physical targets to assess the organization's cost-effectiveness

COA audit findings are immediately acted upon and resolved by management

The agency's financial reports (including COA Annual Audit Reports) are published/made available for public inspection.

- 5 The agency's financial controls/systems are regularly reviewed to ensure effectiveness in preventing corruption and enhancing integrity.

Results of the review are used to strengthen the agency's financial management system

Rating RECRUITMENT AND PROMOTION: Levels of Achievement

- 1 The agency has a written guideline for recruitment and promotion of personnel (e.g. Merit Selection/Promotion Plan) following CSC guidelines
- The agency has a Selection Board and Promotions Board with rank and file representative/s
- The agency has a complete set of job descriptions and qualification standards for all positions
- 2 The agency guidelines for recruitment and promotion are proactively disseminated
- Members of the Boards and relevant personnel undergo orientation on the agency's recruitment and promotion policies and processes
- 3 The policies/guidelines on recruitment and promotion are consistently enforced (e.g. Personnel appointments are issued based on the provisions of the agency Merit Selection and Promotions Plan; policy on outside employment; blacklisting of erring personnel).
- The agency employs measures to prevent entry to corrupt employees (e.g. potential conflicts of interest are considered, background investigation conducted).
- The agency keeps records of meetings and decisions of the Boards.
- The agency has a mechanism to shield recruitment, placement and promotion of personnel from political intervention.
- 4 Results of performance evaluations and complaints involving moral turpitude are considered in the placement and promotion of employees
- Basis of decisions on promotions and movements of personnel that deviate from the recommendations of the Board are documented
- The agency conducts random checks of the decisions of the Boards
- The agency has a post employment policy for resigning/retiring personnel
- 5 The outcomes of personnel recruitment, selection and promotion are regularly reviewed
- The agency's Merit Selection/Promotion Plan is regularly reviewed for effectiveness in enhancing integrity and preventing corruption
- Results of the review are used to enhance the integrity of the personnel recruitment, selection and promotion processes

Rating PROCUREMENT: Levels of Achievement

1 The agency has adopted the new procurement management system (RA 9184)

The agency has an Annual Procurement Plan

Third party observers are invited to witness the procurement process (e.g. eligibility screening, pre-bid conference, opening of bids and bidding evaluation)

2 The agency has written procedures on the different modes of procurement, specifying checkpoints for receiving and inspection of goods and services procured

Members of BAC and other relevant personnel are trained on the new procurement law, and the different modes and processes of procurement

BAC members are made to disclose potential conflict of interest in all transactions

The agency has a centralized database of prices and suppliers of frequently procured items

3 The agency keeps records of BAC decisions and minutes of meetings

The agency strictly monitors performance of suppliers and contractors against obligations (e.g. adherence to budget, price, time factors and quality standards)

The agency consistently applies sanctions and penalties to non-performing suppliers

4 Blacklisting of suppliers contractors is practiced and shared to other government agencies

Agency estimates are reviewed to reflect current/best market prices from Government e-Procurement Service. Controls are instituted to ensure that specifications are not skewed or tailor-fitted to favor specific bidders

The agency Code of Conduct is integrated in the bidding document

BAC decisions and other procurement decisions are audited

5 The agency plans its procurement based on its pattern of purchasing and consumption

The agency regularly evaluates the effectiveness of its procurement management system in preventing corruption and enhancing integrity

Results are used to strengthen the agency's procurement management system

Rating LEADERSHIP: Levels of Achievement

- 1 Senior leaders set organizational values, short and long-term directions and performance expectations.
- Senior leaders articulate the importance for everyone in the organization to be ethical in their behavior and in dealing with all stakeholders.
- Senior leaders have clearly defined authorities and accountabilities.
- 2 Senior leaders deploy organizational values, short and longer-term directions and performance expectations.
- Senior leaders take proactive steps to discourage staff from engaging in corrupt practices.
- 3 Senior leaders have specific responsibilities for prevention and detection of corruption.
- Senior leaders are trained on corruption prevention and detection.
- 4 Practices and performance of senior leaders in preventing and detecting corruption are regularly reviewed/evaluated.
- Decisions/actions of senior leaders are randomly checked for possible abuse of authority/discretion, conflict of interest.
- Integrity enhancement/ corruption prevention are integrated in management functions.
- 5 The agency reviews the effectiveness of its leadership organization in enhancing the integrity in the organization.
- Results of the review are used to strengthen the agency's leadership organization and system.

Rating	GIFTS AND BENEFITS POLICY: Levels of Achievement
1	The agency has a written policy on solicitation and acceptance of gifts with relevant examples that are consistent with RA 6713 and RA 3019
	The agency has written guidelines for donations
	The agency has a written policy on offers of bribe
2	The agency has a program on the promotion of the policy on solicitation and acceptance of gifts, for both internal and external stakeholders
	The agency has a registry for gifts, donations and institutional tokens
3	The policy on solicitation and acceptance of gifts is consistently enforced, with managers having clear tasks of promotion and monitoring compliance
	The gifts and benefits received and documented are disposed of according to procedures defined in the agency policy
	Rewards are given to those who report offers of bribes
	Sanctions are applied to officials and staff who fail to comply with the policy
4	The registry of gifts is available for examination by internal and external stakeholders
	The gifts in register and reported bribes are regularly reviewed and examined vis-à-vis decisions and treatment of agency's stakeholders
5	The agency's policy on solicitation and acceptance of gifts is regularly reviewed for effectiveness
	Results of the review are used to tighten agency's policy on solicitation and acceptance of the gifts and benefits

Rating	CORRUPTION RISK MANAGEMENT: Levels of Achievement
1	<p>The agency recognizes the role of internal audit in the prevention and detection of fraud and corruption</p> <p>The agency has identified its high-risk operations and functions.</p>
2	<p>The agency proactively undertakes assessment of corruption risk areas</p> <p>Relevant agency personnel are trained on corruption risk assessment and corruption prevention planning</p> <p>Results of corruption risk assessment are reported to management. Corruption and fraud risks identified are made known to employees</p>
3	<p>The agency develops and implements a corruption risk management/corruption prevention plan to address identified risks</p> <p>Time and resources are allocated, and managers are given clear tasks of implementing and monitoring the corruption risk management plan</p> <p>Employees are encouraged and rewarded for identifying responses to corruption risks</p>
4	<p>The agency's corruption prevention plan is supported/integrated in the corporate plan and other management plans</p> <p>Corruption prevention focus is incorporated in management functions, policies, systems and procedures of the agency</p>
5	<p>The agency's approach to corruption risk management is regularly reviewed for effectiveness in detecting and preventing corruption</p> <p>Results of evaluation are used to enhance integrity measures and corruption prevention strategies</p>

Rating	INTERNAL REPORTING AND INVESTIGATION: Levels of Achievement
1	<p>The agency has a written policy/guideline on internal reporting and investigation of information and reports of corruption and unethical behavior. The policy/guideline has provisions on protection of those who report corruption.</p> <p>The policy/guideline specifies what constitutes corrupt and unethical behaviors, the procedures and responsibilities for reporting.</p> <p>Roles and responsibilities of staff involved in investigation are clearly defined</p>
2	<p>The agency proactively disseminates the policy on internal reporting and investigation to all employees</p> <p>Employees are trained on how to report corruption</p> <p>Relevant personnel receive training in the handling and investigation of reports of corruption</p>
3	<p>The agency initiates investigations of reported corruption and tracks complaints/cases until final action is taken</p> <p>The agency keeps full and complete records of all reports</p> <p>The agency protects employees who report corrupt behavior/suspicious of corruption</p> <p>The agency protects the rights of suspected individuals when investigating reports of corruption</p>
4	<p>The agency regularly monitors progress and outcomes of every investigation</p> <p>The agency imposes appropriate sanctions to erring employees and officials (including those who submit malicious reports)</p> <p>The agency reviews and analyzes reports and statistics on incidence of corruption to identify patterns which could indicate weaknesses of the agency's systems</p>
5	<p>The agency regularly assesses the effectiveness of internal reporting and investigation system in preventing corruption and enhancing integrity.</p> <p>Results of the review are used to strengthen the system of internal reporting and investigation.</p>

Rating	Interface with External Environment -- Levels of Achievement
1	The agency has established an information system to inform the public of its services, policies, rules and procedures
2	<p>The agency has a policy on disclosure of information to the public</p> <p>The agency proactively disseminates information on its services, policies, systems and procedures to the transacting public. Procedures for frontline transactions (that includes standard processing time, fees, persons responsible, specification of the transacting area, etc) are posted in public areas.</p>
3	<p>The agency employs systems to avoid long queues and prevent “facilitators” of transactions</p> <p>The agency has mechanism to check that the published rules, procedures, and standards are being met (e.g. client complaints/feedback mechanism, service charter)</p>
4	<p>Relevant personnel are given training on how to handle and resolve complaints</p> <p>Managers monitor compliance with service standards and ensures transactions are isolated from undue interference (i.e. patronage, bribery)</p> <p>The agency has a full and complete record of complaints and feedback from clients. Complaints and feedback from clients are analyzed to identify possible incidence of corruption.</p> <p>Records of releases of information are examined. Results of analysis are correlated with incidence of corruption.</p>
5	<p>The agency has a mechanism to provide redress for failure to comply with its service guarantees</p> <p>The agency regularly reviews its system of managing interface with external environment for effectiveness in preventing corruption and enhancing integrity</p> <p>Results of the review are used to strengthen the policies/systems on disclosure of information, service delivery and in dealing with external parties</p>