MONITORING BUDGET IMPLEMENTATION

CIVIL SOCIETY TRAINING WORKSHOP

Facilitator’s Manual
August 2014
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to the IBP Workshop on

MONITORING BUDGET IMPLEMENTATION
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PREFACE

The International Budget Partnership offers a Training Workshop on Monitoring Budget Implementation in order to address the capacity needs of civil society organizations planning to monitor the implementation of government budgets, or those who are already doing so but would like to deepen and sharpen their knowledge and skills. The workshop consists of an intensive ten-day learning experience and helps participants to develop substantial and practical competence in budget advocacy work.

The goal of the IBP Workshop on Monitoring Budget Implementation is to develop and strengthen the skills base, capacities, and strategic visions of civil society groups who are committed to having an impact on budget implementation, so that they are better equipped to:

a) accurately diagnose the budget implementation problems underlying development problems;

b) select appropriate monitoring methods and tools to address these problems; and

c) apply the methods and tools to support their budget advocacy strategies.

The content of this workshop has taken shape through a team-based process of curriculum design, resource development, and testing with target audiences. It draws strongly from the IBP publication, Our Money, Our Responsibility: A Citizen’s Guide to Monitoring Government Expenditures, by Vivek Ramkumar. The initial workshop was conceptualized and developed in 2008 by Vivek Ramkumar, Shaamela Cassiem, Albert van Zyl, Jennifer Sleboda, Thoko Madonko, Sita Sekhar, Gabriel Lara, Joram Massesa, Frances Caerina Sy, Ruel Busque, and Erica Coetzee. Further contributions to content development were made by Sowmya Kidambi, Carole Belisario, and Brett Davidson. In addition, every trainer from the IBP and its partner organizations who has trained on this workshop has added something of value to its evolution. The Polarus Sourcebook, Facilitators’ Manual and Participants’ Workbook were collated and developed by Jennifer Sleboda, Vivek Ramkumar, Erica Coetzee, and Shaamela Cassiem.

The International Budget Partnership acknowledges with gratitude the financial support of the Ford Foundation, Open Society Foundations, and William and Flora Hewlett Foundation for the development and implementation of this workshop.
ABOUT THIS WORKSHOP

The IBP workshop on Monitoring Budget Implementation (MBI) consists of eight modules. Each module is relatively self-contained and can be expanded or condensed to suit the needs of the trainees. Experienced trainers may also choose to rearrange the sequence of the modules, though care should be taken to preserve the cumulative learning that takes place though the Polarus simulation activities as the workshop proceeds.

The workshop features extended simulation activities in the hypothetical country of Polarus. This learning strategy provides the foundational knowledge and skills required to monitor budget implementation in other contexts, while also laying the foundation for IBP technical assistance and mentorship provision, and participation in other IBP courses.

This Trainer’s Manual is designed to be used in combination with:

- The Polarus Sourcebook for Monitoring Budget Implementation;
- The Monitoring Budget Implementation Participants’ Workbook;
- The Monitoring Budget Implementation Training Slides.

The Trainer’s Manual provides guidance and content information to support facilitators of the workshop. It presents an outline of each module, as well as detailed notes about each session, including time allocations, activities, information to support inputs and guidelines for facilitating the learning process. For easy reference, the Trainer’s Manual also contains copies of all the reading material, task sheets and activities contained in the Participants’ Workbook. Together with the Polarus Sourcebook, this should provide a training team with everything they need in order to run a Monitoring Budget Implementation training workshop.
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09h00 - 10h15  Module 6 ■ Using Primary Information – Analyzing Program Expenditure
10h15 - 10h30  Tea/ Coffee
10h45 - 12h45  Module 6 ■ Using Primary Information – Analyzing Program Expenditure
12h45 - 13h45  Lunch
13h45 - 15h45  Module 7 ■ Using Secondary Information – How Do CSOs Use Secondary Information for Monitoring?
15h45 - 16h00  Tea/ Coffee
16h00 - 18h00  Module 7 ■ Using Secondary Information – A Closer Look at Budget Oversight

DAY 5

****** DAY OFF ******

DAY 6

08h30 - 09h00  World Tour: Presentation of Participants’ Organizations
09h00 - 10h30  Module 7 ■ Using Secondary Information – Investigating Departmental Performance
10h30 - 10h45  Tea/ Coffee
10h45 - 12h45  Module 7 ■ Using Secondary Information – Investigating Departmental Performance
12h45 - 13h45  Lunch
13h45 - 15h45  Module 8 ■ Matching Development Problems to Tools
15h45 - 16h00  Tea/ Coffee
16h00 - 17h30  Module 4 ■ Budget Advocacy – Media & Communications

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08h30 – 10h30  Module 4 ■ Budget Advocacy – Media & Communications
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10h45 - 12h45  Module 4 ■ Budget Advocacy – Group Work: Preparing Presentations
12h45 - 13h45  Lunch
13h45 - 15h00  Module 4 ■ Budget Advocacy – Group Work Presentations & Feedback
15h00 - 15h15  Tea/Coffee
15h15 - 16h30  Module 4 ■ Budget Advocacy – Group Work Presentations & Feedback
16h30 – 17h30  Evaluation, Certification, and Closure
GENERAL FACILITATION NOTES

EDUCATIONAL APPROACH
The IBP Workshop on Monitoring Budget Implementation uses participative learning principles and techniques. The learning experience is treated as a process, in which participants draw on their own prior knowledge and experience, are introduced to new knowledge and skills, have ample opportunities to try out and apply their learning, reflect on what they have learned by doing, and to adjust and consolidate their learning.

In facilitating the workshop, the following practices should be observed:

- Encourage active and equal participation.
- Allow participants to share and draw from their prior knowledge and experiences, and link it to the learning taking place.
- Give practical examples of new concepts and information wherever possible.
- Provide ample time for participants to complete exercises and activities. This is where learning is being internalized and owned. Don’t be tempted to skip tasks or applications. You may be leaving out a vital link in the learning process.
- Recognize that learning is consolidated through reflection, revising and re-capping. Don’t leave out these parts of the sessions.
- Fun games and ice-breakers allow participants to stay energized and engaged. Even when the educational content is not ‘serious’, the aim is for participants still to be learning something indirectly about the main themes of the workshop.
- Resist the temptation to rush. The timings provided for the various inputs and exercises have been tested with groups around the world. It is possible to complete some of these faster, but this is not necessarily educationally effective. Participants need time to internalize and consolidate what they learn.
- Be aware of saturation points. Participants are exposed to a great deal of new information and skills during the workshop. Use regular evaluations (see below) to gauge how the learning process is working – and be willing to adjust and revise if necessary.

POLARUS SIMULATION ACTIVITIES
The workshop is designed around an extended simulation in which all participants adopt citizenship of the hypothetical country, Polarus, for the duration of the training. Tasks and activities using scenarios and data from Polarus are scattered throughout the modules. The focus on a hypothetical context
allows participants to learn certain generic concepts, methods and skills without concentrating on their own country contexts. This means that participants from different countries can share in the learning process together. However, it is of course essential for participants to be able to apply what they have learnt ‘in Polarus’ back to their own country contexts. At various intervals during the course of the workshop, participants will therefore have opportunities to step aside from the simulation and reflect on their real budget work projects and the challenges of their own specific contexts.

THE FACILITATION TEAM & HOST FACILITATOR

The workshop on Monitoring Budget Implementation is best facilitated by a team of trainers. Due to the length and intensity of the workshop, it makes sense to divide the Modules up amongst the members of the facilitation team and to provide back-up and support to one another as required.

It is recommended that one of the team is identified as the Host Facilitator for the duration of the workshop. It is the role of the Host Facilitator to hold the overall flow of the workshop together. The Host Facilitator is typically responsible to:

- Facilitate Module 1, which includes the welcome and introductions.
- Make announcements and act as the general on-site contact person for the workshop participants.
- Coordinate and introduce the participants when they present their organizations and the budget work they do.
- Lead the reflection sessions scheduled for the end of several days, when participants are asked to apply their learning to their own budget advocacy projects and country contexts.
- Facilitate the final presentations, as well as the certification, evaluation and closure.

The host facilitator may or may not be responsible for leading any of the other Modules as well.

REGULAR EVALUATIONS

The formal evaluation of the workshop is discussed with participants in Module 1, at which time they also receive evaluation forms and logistics forms to complete as the workshop progresses. (See Module 1 for more information).

In addition to the evaluation form, regular informal evaluation sessions should take place on some evenings. For example, evening evaluation sessions could be planned for the second, fifth, and seventh days. In preparation for an evening evaluation session, ask a few participants to volunteer to solicit feedback and suggestions and to pass these on to the facilitators at their evening meeting.

Such feedback may be about the content of the modules, the facilitation, level of participation, resource materials, logistics and/or administration. In this way, problems are quickly identified and possible
solutions can be examined by the facilitators. One option is for the feedback team to wear badges on the day that they will be gathering participants’ comments.

On the days when no evening evaluations are scheduled, other tools can be used to keep an open flow of communication about the learning experience between participants and facilitators. For example, create a Mood Meter by posting up a three flip chart sheets in a public space, close to the exit of the workshop room. The charts should have drawings or symbols that represent different emotional states, for example 😊😊😊 in three different colors - green, yellow and red. Then provide participants with green, yellow and red stickers and request that they paste their stickers onto the appropriate flipchart.

**ENERGIZERS**

The Monitoring Budget Implementation workshop is an intensive learning process. Participants are expected to take in a great deal of information and interact extensively with others. As a facilitator, you will be tuned into the energy levels of the group and be able to assess when participants are struggling to learn because they are too tired, distracted or saturated.

Be aware of training overload and use breaks and energizers wherever appropriate to create pockets of rest or to stimulate energy in the group. Some suggestions are listed below.

**Energizers for tired groups who need some rest:**

- After lunch or if they are tired, let participants sleep on their arms for 2 minutes.
- Get participants to close their eyes and maintain a minute’s silence. This is very useful during the calculations session – some people can get very agitated while trying to perform these calculations.
- Ask them to close their eyes and to keep their bodies absolutely still for 1 minute.

**Energizers for groups sitting still for too long:**

- Talk the group through a light stretch. Be careful of injuries! Ask the group to stretch up towards the roof as far as they can. Then ask them to bend forward as far as they can. If people find this hard, let them hold on to the chair/desk in front of them.
- Ask the group to go for a short, silent walk – no talking allowed.
- Let the group stand in a row and put their hands on the shoulders of the person in front of them. Then ask them to massage the shoulders in front of them. Next ask them to turn around and massage the shoulders of the person that has just massaged theirs.
Energizers for groups who need a spark of mental energy:

- If you are near a library/bookstore/office, ask the group to each grab a book/magazine and to read quietly for 5 minutes. Afterwards they should each share one interesting thing that they read.
- Find something short and inspirational to read. Read it to them and/or give them copies to read and reflect on silently. Some examples below:

**Martin Luther King:** “The hope of a secure and livable world lies with disciplined non-conformists who are dedicated to justice, peace and brotherhood.”

**Nelson Mandela:** “For to be free is not merely to cast off one's chains, but to live in a way that respects and enhances the freedom of others.”

**Gandhi:** “Live as if you were to die tomorrow. Learn as if you were to live forever.”

**Margaret Mead:** “Never doubt that a small group of thoughtful committed citizens can change the world; indeed, it's the only thing that ever has.”

**Alice Walker:** “The most common way people give up their power is by thinking they don’t have any.”
MODULE 1

* * * * *

INTRODUCTION TO
MONITORING BUDGET IMPLEMENTATION
MODULE 1 ❖ INTRODUCTION TO MONITORING BUDGET IMPLEMENTATION

LEARNING OUTCOMES FOR THIS MODULE

By the end of this module, participants will have:

- remembered each others’ names and gotten to know a little about one another;
- described the general ethos and participatory spirit of the training workshop;
- reviewed the basic outline of what to expect from the workshop;
- identified when and how to help evaluate and assess the workshop;
- prepared flipchart paper summaries of their organizations and budget work; and
- explained how other CSOs have monitored the budget implementation process.

STRUCTURE OF THE MODULE

Session 1: Introductions, Goals, and CSO Case Studies

1. Welcome 10 minutes
2. Introductions 20 minutes
3. Overview & goals 10 minutes
4. Getting to know each other game 15 minutes
5. Gallery walk of case studies 20 minutes
6. Discussion of case studies 15 minutes
7. Your case study: Writing organizational profiles on flipchart paper 15 minutes

RESOURCES NEEDED FOR MODULE 1

- Flipchart paper and colored pens
- Name tags or stickers
- Participant’s Workbook for each participant
- Laminated display sheets: 10 Case Studies on Monitoring Budget Implementation
- Several pads of Post-It notes or cards and adhesive
- Evaluation forms and logistics forms for all participants.
FACILITATION NOTES

Before the beginning of the module, make sure the laminated display posters are up against the walls around the training room, showing the case studies of budget monitoring work by civil society organizations in various countries.

SESSION 1: INTRODUCTIONS & GOALS OF WORKSHOP

1. WELCOME 10 MINUTES

• Welcome all the participants to the training workshop. Ask everyone to display their names on name tags for at least the first few days.

• Explain that the aim of this first session is purely to get to know one another better, and to introduce some important aspects of the course.

• If necessary, clarify any practical arrangements that may be worrying or distracting participants, so that everyone is relaxed and at ease.

• Distribute copies of the EVALUATION FORM and LOGISTICS FORM and briefly explain how the evaluation process will work. Participants are encouraged to use the Evaluation Form to assess the learning process throughout the workshop.

• Advise participants that they may be asked for informal feedback on a few occasions during the course. Evaluations will be collected in the final session.

2. INTRODUCTIONS: A SYMBOL OF YOU 20 MINUTES

• Ask the participants to each choose an object or symbol that represents who they are and/or the work that they do. Invite them to turn to a partner and to share their symbol with him or her, explaining what it means.

• After a few minutes, draw participants’ attention back to the larger plenary gathering. Invite each participant to introduce his or her symbol to the group. If necessary to get the ball rolling, begin with yourself.

• Alternatively, as you go around the group, the instruction could be for participants to introduce their partners, not themselves, and to explain the meaning of their partner’s symbols. In the latter case, you might illustrate by introducing one of the other facilitators and vice versa.

3. OVERVIEW & GOALS OF THE COURSE 10 MINUTES

• Distribute copies of the Participants’ Workbooks to everyone in the group. Explain that it contains important information and worksheets that participants will need during the course of the training.
MONITORING BUDGET IMPLEMENTATION
Facilitator’s Manual

• Ask participants to look at the Goals of the Workshop on Monitoring Budget Implementation, which are set out at the beginning of their Workbooks and for your reference, on the following page.

The goal of this workshop is to develop and strengthen the skills base, capacities and strategic visions of civil society groups who are committed to impacting on budget implementation, so that they are better equipped to:

a) accurately diagnose the budget implementation problems underlying development problems;

b) select appropriate monitoring methods and tools to address these problems; and

c) apply the methods and tools to support their budget advocacy strategies.

Discuss why it is so important to strengthen and develop your skills, capacities and strategic vision when you want to build the impact of your applied budget work.

• Briefly present the Workshop Agenda, which appears on the next two pages of the Participants’ Workbooks. Field any questions of clarification.

• Explain that the workshop makes use of experiential learning activities, together with inputs to present new information. The approach to training that will be used throughout the course emphasizes active and equal participation, open discussion and debate, mutual respect and learning by asking and doing.

4. GETTING TO KNOW YOU BETTER 15 MINUTES

Choose one of the following activities to give participants another chance to learn more about each other. (Of course if you have more time available than the allocation above, feel free to include more activities as you see fit):

• True or False? Let people tell the group three personal things about themselves, one of which should be false. The group should guess which is false. You can do the same exercise with the facilitators – it helps bring them a little closer to the group.

• The power of collective experience. Ask participants to reflect on the number of years’ experience they have with budget work/civil society work/advocacy work. Once each participant has a number in mind, arrange them in a row according to peoples’ years of experience. Then add up the total experience of the group. Be sure to define ‘experience’ broadly enough to get to a high number of years, so that the exercise helps to build confidence.

• Picturing your budget work. Invite participants to think about their previous experiences of
engaging in budget advocacy work. Provide them with sheets of paper and colored pens and ask them to illustrate/draw a picture to represent their organization and their budget work. Individuals from the same organization may work together. Then display all the pictures in a gallery walk – or invite participants to present their pictures to the whole group.

- **Experiences and expectations.** Draw a large tree on a sheet of flipchart paper, or prepare an even bigger tree on paper in advance. Ask participants to reflect on which modules or themes in the workshop outline they find interesting or are especially looking forward to. Hand out several pads of Post-It notes and ask them to write down – each idea on a separate note:
  
  ➢ **What they bring with them:** What do they already know that is relevant to this training course, which they can share with others and contribute to the group? Paste these on the roots of the tree.
  
  ➢ **What they hope to learn:** What do they really see as essential skills and knowledge they hope to sprout and grow during this course? Paste these on the trunk and branches of the tree.

On the last day of the course, the group will revisit the tree and add the fruits of their learning. Paste these at the end of the branches.

5. **GALLERY WALK OF CASE STUDIES** 20 MINUTES

- Draw attention to the 10 laminated display posters illustrating the various case studies of organizations’ budget monitoring work, that are displayed around the room.
- Explain that the case studies are drawn from the IBP Publication *Our Money, Our Responsibility*.
- Invite participants to circulate and read the information on the display posters.
- Encourage people to visit all 10 posters. If necessary, clarify that the aim for now is to gain a broad sense of the **scope** and **variety** of budget monitoring work. It is not necessary for participants to take account of every detail in the case studies.

6. **DISCUSSION OF THE CASE STUDIES** 15 MINUTES

- Ensure that every participant has a copy of the IBP publication, *Our Money, Our Responsibility: A Citizen’s Guide to Monitoring Government Expenditures*. This publication includes additional ‘best practice’ case studies of methods used by CSOs around the world to monitor government budget implementation, and more detailed information about some of the case studies displayed in the room.
- Explain that the MBI training workshop is not structured to explore and discuss every methodology individually. There are a few good reasons for this. In the first instance, it would take too much time. Secondly, some of the methodologies are already being taught in dedicated training courses offered by the groups that first developed them.
So instead of considering each CSO method in turn, this training workshop is designed to impart a generic set of skills that can be used and combined in different ways by different groups in order to monitor government budget implementation.

However, it is still useful to be aware of the various methodologies that provide the inspiration and background to the workshop.

Against this background, briefly introduce and discuss the methods used in the 10 case studies to monitor budget implementation (taking no more than 2-3 minutes for each case study).

Questions to spark discussion…

7. YOUR CASE STUDY: WRITING ORGANIZATIONAL PROFILES ON FLIPCHART PAPER 15 MINUTES

Ask participants to work with the colleague from their own organizations. (In most cases, organizations are encouraged to send two persons to attend the workshop, and not just one).

Draw participants’ attention to TASK SHEET 1.1 in their Workbooks. Each group should record the following information on a sheet of flip chart paper:

1. The name of the organization.
2. Which level of government the organization focuses its work on (e.g. national, sub national, local government, etc.).
3. What focus the organization has for its budget work (e.g. earthquake relief, children’s rights, gender, health, etc.).
4. How long the organization has been involved in budget work.
5. How many people in the organization do budget work.
6. How the organization conducts its work (e.g., public hearings, advocacy, research, capacity building, through a network of organizations, etc.).
7. What impact the budget work has had (on policy, laws, civic participation, budget transparency, standard of living, etc.).

The information above should be presented in short key points. Groups should also feel free to use symbols and illustrations to portray any of the information. There is no need to be limited to text.

Explain that participants have the last 15 minutes to the session to begin working on their flipchart profiles, and should be sure to complete them by the end of the day.

Ask the groups to display their organizational profiles on the walls of the conference room once they are ready. Each pair will be invited to present a brief overview of their organization and its work to the rest of the participants at some stage during the course of the workshop. The host facilitator will co-ordinate and notify participants of their time slot in advance.
TASK SHEET 1.1: ORGANIZATIONAL PROFILES

Write the following information about your organization up on one or more sheet(s) of flipchart paper:

1. What is the name of the organization?

2. Which level of government does your organization focus its work on (national, sub national, local government, etc.)?

3. What sectors or issues does your organization pay attention when you undertake budget work (e.g. earthquake relief, children’s rights, gender, poverty, health, etc.)?

4. How long has your organization been involved in budget work?

5. How many people in the organization are doing budget work?

6. How does your organization conduct its work (e.g. public hearings, advocacy, research, capacity building, through a network of organizations, etc.)?

7. What impact has your budget work had (for example on policies, laws, civic participation, budget transparency, standard of living, etc.)?
MODULE 2

DEFINING THE PROBLEM
MODULE 2 ◊ DEFINING THE PROBLEM

LEARNING OUTCOMES FOR THIS MODULE

By the end of this module, participants will have:

- described the stages of the budget cycle and the budget execution process in particular;
- defined the various types of budget documents that are relevant in different parts of the budget execution process;
- identified some of the main role players and decision makers in different parts of the budget execution process;
- explained the level of budget transparency and the budget information that is required to support the monitoring of budget implementation;
- recognized that different development problems can be linked to different underlying problems in the budget process;
- identified and diagnosed different kinds of budget implementation problems; and
- described the hypothetical country of Polarus and recognized its role as a learning device in this training workshop.

STRUCTURE OF THE MODULE

Session 2: Defining the development problem

1. Task 2.1: What is the development problem? 40 minutes
2. Welcome to Polarus 10 minutes
3. Task 2.2: HMHC Case Study – What could be causing the problem? 40 minutes
4. Facilitator’s Input: The four stages of the Budget Process 15 minutes

Session 3: Who is responsible?

5. Task 2.3: Which stage to monitor? 20 minutes
6. Task 2.4: Role Play – Who is responsible? 80 minutes
7. Debrief and reminder 5 minutes
Session 4: Uncovering budget implementation problems

8. Polarus Quiz 20 minutes
9. Facilitator’s Input: A closer look at Budget Implementation 15 minutes
10. Task 2.5: Which actors to target? 15 minutes
11. Facilitator’s Input & discussion: BIDS 1 15 minutes
12. Repeat of Task 2.2: HMHC Case Study 35 minutes
13. Wrap-up: What are the next questions? 5 minutes

RESOURCES NEEDED FOR MODULE 2

- Flipchart paper and colored pens
- Laminated display sheets: 10 case studies on Monitoring Budget Implementation
- Polarus Sourcebooks for all participants

BEFORE THE MODULE

The facilitation team should decide how to divide the participants up into four or five groups. These groups will form the basis of extended work assignments over the duration of the rest of the workshop. Write the names of the various group members up on flipchart paper in advance, so that they can readily be displayed, but keep the list concealed until the introduction of the HMHC case study in Session 3.

The composition of the work groups should be carefully considered, and agreed in consultation with the larger facilitation team. Observe the participants’ interaction and participation during Module 1 and take into account which individuals are more confident, vocal, reserved, experienced and so forth. In addition, keep the following guidelines in mind:

- Ensure that there is gender balance in each group.
- Separate participants from the same NGOs or countries, and those who work together.
- Make sure that every group has a mix of advocacy, organizing, and budget monitoring skills.
FACILITATION NOTES

Ensure that the laminated display posters of case studies that were discussed in Module 1, are still up against the walls around the training room.

SESSION 2: DEFINING THE DEVELOPMENT PROBLEM

1. TASK 2.1: WHAT IS THE DEVELOPMENT PROBLEM? 40 MINUTES

- **Aim:** The aim of this exercise is to draw attention to the purpose for monitoring budget implementation, which is usually to address a development problem or bring about an improvement in society, the democratic system or the budget system.

- Introduce this activity by asking participants why they want to learn to monitor government budget implementation. Field a few responses from the floor. The main point that should emerge from the discussion is that we rarely monitor budget implementation just for its own sake. Usually, budget implementation is monitored by CSOs because they are trying to address something else: solve a development problem, help to reduce poverty, advance human rights, strengthen democracy, and so forth.

- It is important for budgeting monitoring projects to grow out of a clear sense of what it is you want to achieve as a civil society group or network. What is the ultimate purpose of your budget implementation monitoring? At the end of the day, participants will have an opportunity to address this question in relation to their own budget advocacy projects.

- But first, invite the participants to have another look at the 10 case studies up around the training room, and to list the development problems (or other challenges) that the CSOs in these case studies were trying to address by means of their budget monitoring.

- Refer participants to **TASK SHEET 2.1: WHAT IS THE DEVELOPMENT PROBLEM?** in their Workbooks. Ask them to circulate around the room in pairs and to write down their answers on the task sheet. They have 15 to 20 minutes to complete the task.

- When the pairs have finished or after 20 minutes, invite participants to gather together in plenary. Facilitate an unstructured report-back to clarify and confirm the development and democratic challenges being addressed in the case studies. Model responses to the task are provided below.

- Draw the exercise to a close by confirming and emphasizing that when we talk about ‘monitoring budget implementation’, this refers to a variety of tools and methods that can be applied to a broad range of development issues, problems and sectors. The essential challenge is to be clear about the latter first and foremost. Decide what purpose you want to achieve – and then choose monitoring tools and methods not for their own sake, or because they sound exciting – but
because they are best-suited to helping you achieve your purpose.

**Answers to Task 2.1**

Participants are likely to find that while most of the methods and tools described in the case studies have been used to pursue various development challenges, they have also aimed to strengthen democratic practices and systems, and advance access to information and budget transparency.

Possible responses to the specific case studies could include the following challenges and problems.

<table>
<thead>
<tr>
<th>Case study/ Organization</th>
<th>Development problem/other challenges being addressed</th>
</tr>
</thead>
</table>
| Mazdoor Kisan Shakti Sangathan (MKSS) in India | • Unemployment, lack of work opportunities, lack of income amongst the rural poor.  
• Citizens’ right of access to information |
| Civil Society Coalition for Quality Basic Education (CSCQBE) in Malawi | • Inadequate/poor quality of basic education  
• Insufficient teacher training colleges  
• Irregular payment/non-payment of teachers  
• Inadequate education for children with special needs  
• Discrepancies in the quality of education between rural and urban schools |
| Procurement Watch Inc. (PWI) in the Philippines | • Corruption  
• Lack of transparency  
• Inadequate quality of medicines/vitamins provided to the public at state hospitals |
| Government Watch (G-Watch) in the Philippines | • Poor production and distribution of school text books |
| Public Affairs Centre (PAC) in India | Weaknesses or problems in the delivery public services:  
• Telecom services  
• Water and sewerage services  
• Electricity services  
• Hospital services |
| FUNDAR Center for Research & Analysis in Mexico | • Inadequate provision and management of government HIV/AIDS program  
• Lack of budget accountability |
| HakiElimu in Tanzania | • Budget awareness/budget literacy  
• Lack of oversight and accountability for audit results |
<table>
<thead>
<tr>
<th>Case study/ Organization</th>
<th>Development problem/other challenges being addressed</th>
</tr>
</thead>
</table>
| Hakikazi Catalyst in Tanzania                                                          | • Inadequate or poor implementation of government poverty reduction strategies  
|                                                                                        | • Inadequate or poor delivery of goods and services by district governments to local communities in the areas of education, health, agriculture, roads and water |
| Concerned Citizens of Abra for Good Government (CCAGG) in the Philippines               | • Poor or inadequate quality of public works projects  
|                                                                                        | • Poor construction of roads and bridges                                                                                     |
| Public Service Accountability Monitor (PSAM) in South Africa                            | • Corruption in state spending  
|                                                                                        | • Poor oversight over state spending                                                                                  |

2. **WELCOME TO POLARUS**

- Announce to the participants that for the duration of the rest of the workshop, they will be living in a country called Polarus. In fact, from this very moment forward, they now hold dual citizenship - of their own country and of the Republic of Polarus.

- Hand out passports to all the new citizens of Polarus. Congratulate them: You are all citizens of Polarus!

- Throughout the workshop, learning will be applied to the country of Polarus and to the participants own countries where they reside for most of the year. In order to get to know their new country a bit better, hand out copies of *The Republic of Polarus: Special Country Report on Maternal Health* to all the participants.

- Explain the reason for using a simulated country as a basis for learning about budget advocacy work. Point out that the participants in the workshop come from many countries, each with their own budget systems and laws. It would be complicated to use each participant’s unique country as the context to conduct the various exercises that form part of the workshop. However, participants should be assured that what they learn about budget work in Polarus will allow for application to a wide range of country contexts.

- In the Polarus Sourcebook, the participants will find lots of information about the country’s political system, geography, demography, budget system, budgets, and so forth. Encourage them to read this information and become familiar with it as soon as possible. The more they engage with the country of Polarus – and get to understand its problems and challenges– the more they will gain from the training activities.

- Participants are therefore strongly urged to become active citizens of this interesting country!
Warn the participants that there will be a quiz sometime on Day 2 to see how well they have informed themselves about Polarus as a country. The best way to prepare for this quiz is to read their Polarus Sourcebooks.

- Invite any questions of clarification about Polarus and the simulated learning process.

### 3. Exercise 2.2: Polarus Case Study – What Could Be Causing the Problem? 40 minutes

- **Aim:** For participants to get acquainted with their extended group work case study set in Polarus, and to have some practice in defining development problems and identifying possible causes.
- **Exercise:** Explain to participants that they are not merely visiting or living in Polarus: they are working for a civil society organization. For the next few days, participants will be undertaking an extended group work assignment together with colleagues from their Polarus CSOs.
- **Reveal:** Reveal the names of the participants who will work together in the various groups. Their first task will be to tackle this exercise as a team.
- **Ask participants:** Ask participants to turn to **READING 2.1: HEALTHY MOTHERS, HEALTHY CHILDREN (HMHC)** in their Workbooks. This case study contains a great deal of vital information that will form the basis of their group work over the next few days. Participants should all take some time immediately to study the reading.
- **Once everyone:** Once everyone in the group has finished reading the HMHC case study, they should decide on a name for their organization. Then they should work together to answer the questions on **TASK SHEET 2.2: WHAT COULD BE CAUSING THE PROBLEM?**
- **After 30 minutes:** After 30 minutes, re-convene briefly to confirm that participants have completed the task. Ask the groups to report back on the names they have chosen for their CSOs in Polarus.
- **Field a few responses:** Field a few responses to the question of what could be causing the maternal mortality situation in Sunrise State. Note the causes down on flipchart paper.
- **Explain that:** Explain that at this point, the groups did not really have enough information to know for sure what was causing the problem. They could only really provide informed guesses. In order to begin deepening and fine-tuning our understanding of a development problem, and what could be causing it, it is necessary to know a great deal more about the kinds of decisions that are made and that influence the problem, and when these decisions are made and by whom.
- **Leave the sheet:** Leave the sheet of possible causes up on display somewhere in the training room. Clarify that you and the participants will be returning to this list as you continue to work through this Module.
4. FACILITATOR INPUT: FOUR STAGES OF THE BUDGET PROCESS  15 MINUTES

Note: This input is supported by slides from the PowerPoint file MODULE 2 Defining the Problem.

- Use Slides 2 to 8 to discuss the stages of the budget process in Polarus.

NOTES on SLIDES 2 & 3:

- Slide 2 presents the four basic stages in the budget process, as well as the key documents produced at each stage.
- It is important to have detailed knowledge of the budget process in the context where you are trying to influence the budget. This involves getting to know all the role-players and steps involved in each stage of the budget process.
- Without this knowledge, it would be impossible to identify the most strategic and effective points to intervene with budget advocacy.
- Always keep in mind that:
  - Different decisions are made at each stage of the budget process.
  - You will only have the desired impact if you intervene before the decisions you want to change are being made, not after.

NOTES on SLIDE 4:

- During the formulation stage of the budget process, the following steps are completed, usually under the direction of the Ministry of Finance or National Treasury:
  - The executive undertakes a modelling of the macro-economic framework: Economic trends are analyzed in order to project the likely macro-economic environment for the upcoming year and over the medium-term. For example, this exercise results in projections of the GDP, deficit, inflation and exchange rates in the country concerned.
  - The executive estimates revenue trends for the upcoming year and the medium-term to establish the likely size of the forthcoming budget. These estimates include taxes and non-tax revenues, donor funds, multi- and bi-lateral agreements.
  - Expenditure ceilings are set for departments and other implementing agencies to draw up their spending plans.
  - In most countries, the government releases a pre-budget statement.
  - Department and other agency expenditure budgets are then formulated and negotiated.
  - The budget is submitted to the country’s cabinet for approval.

NOTES on SLIDE 5:

- In most countries, the formulation stage also involves planning processes and decisions at sub-
national levels. For example, in Polarus:

➢ The National Department of Finance determines the block transfers and conditional grants for all nine states.

➢ In each state, expenditure ceilings are determined for the various state-level government departments, for example the Sunrise State Department of Health.

➢ These State departments formulate expenditure budgets for the medium-term, and these are submitted to State cabinets for approval.

NOTES on SLIDE 6:

• The budget is tabled in the national legislature, by the National Minister of Finance. State budgets are tabled in their respective state legislatures, by their respective State Finance Ministers.

• The National and State budgets are referred to relevant parliamentary committees, who are mandated to review and scrutinize the executive’s spending and revenue proposals. The committees report back to the main chambers of the legislatures.

• Amendments are made to the budgets (in those countries where legislatures have the power to make amendments).

• The budget is voted into law.

NOTES ON SLIDE 7:

• Money is transferred to departments and other implementing agencies in line with the approved national and state budgets.

• Ideally, departments and other implementing agencies use the funds they have received for their intended purpose and deliver goods and services as agreed in the budget.

• Throughout the year while implementing the budget, departments and other implementing agencies produce in-year reports to show how they are spending allocated funds.

• At the end of the fiscal year, departments and agencies produce year-end reports to set out in full how they have spent allocated funds.

NOTES ON SLIDE 8:

• The year-end reports of all departments and agencies are submitted to the Supreme Audit Institution (SAI) in the country concerned.

• The SAI conducts an audit of government spending. There are different kinds of audits and some countries undertake more extensive audits than others. In most countries, the audit would at least include an assessment of whether government spending was compliant with the budget, and whether funds are accounted for in terms of sound financial management principles.
The SAI prepares a report on government spending for each department or implementing agency and refers these reports to the National legislature or relevant State legislature.

The legislatures refer the audit reports to their Public Accounts Committees (PAC), as well as other relevant committees.

The PACs make recommendations to their Chambers as to the findings of the SAI in relation to each department and implementing agency.

Participants will find the information covered during this presentation in READING 2.2 ■ STAGES OF THE BUDGET PROCESS in their Workbooks and Chapter 1 of Our Money, Our Responsibility.

SESSION 3: WHO IS RESPONSIBLE?

5. TASK 2.3: WHICH STAGE TO MONITOR? 20 MINUTES

Aim: To give participants a chance to apply what they have learnt by identifying in which stage of the budget process decisions are being taken that impact on various budget problems.

Refer participants to TASK SHEET 2.3: WHICH STAGE TO MONITOR? in their Workbooks. The task questions also appear on SLIDE 9 of the PowerPoint file for Module 2.

This is a plenary activity. Participants can buzz in pairs of small groups of three before calling out their answers.

Invite the participants to consider each of the issues listed on the slide and task sheet. If necessary, clarify any concepts like ‘under-spending’, ‘wastage’ and ‘deficit’ and give examples of any issues the participants find unclear.

ANSWERS TO TASK 2.3

The interventions would best be made at the following stages of the budget process:

1. The total amount being allocated to Sunrise State - National formulation stage & National approval stage
2. Underspending in the Sunrise State Department of Health – State execution stage and State oversight (audit) stage
3. The size of the National Government deficit – National formulation stage
4. Wastage in the national health budget – National budget execution and oversight (audit) stages
5. How much money is allocated to primary health care in the health budget – State formulation stage and State approval stage
6. Procurement fraud in the provision of medicines at state clinics – **State/national execution and audit stages (national if medicines are procured on national scale).**

- In wrapping up this task, the main point to get across is that different decisions take place in different stages of the budget process. For budget monitoring to be effective, it is necessary to monitor the stage(s) in the process when the decisions get taken that will impact on the development issue you hope to address. So if, for example, your concern is with how much money is allocated for training of skilled birth attendants in Sunrise State, you need to monitor and influence the budget formulation and budget approval stages in that State. This key message is reiterated on SLIDE 10.

### 6. TASK 2.4: ROLE PLAY – WHO IS RESPONSIBLE? 80 MINUTES

#### AIMS OF THE ROLE PLAY

- To get participants thinking about the budget issues and decisions that underpin the development problem they are trying to address;
- To introduce participants to some of the role-players involved in budget process;
- To energize this module by engaging in an active, participative learning activity;
- To further strengthen the Polarus simulation; and
- To allow the mock CSO groups to come up with some suspicions and hypotheses about how the budget may be linked to the maternal mortality situation in Sunrise State.

#### INTRODUCTION & GETTING INTO ROLE (20 MINUTES)

- Begin by explaining that participants will undertake this exercise as members of their civil society organizations in Polarus. In order to understand their challenge better, they have all been briefed to go and investigate what is causing the maternal health crisis in Sunrise State.
- Their task in this role-play is to find out as much as they can about **what is causing** this problem in Sunrise State and **who is responsible**. The task is also outlined on SLIDE 11 of the PowerPoint file for Module 2.
- Refer participants to **READING 2.3** in their Workbooks. It contains transcripts of interviews recently conducted by journalists with different government officials, as well as government contractor, regarding the maternal health problems in Sunrise State.
- Through their contacts in the media, the participants’ CSOs have been able to get hold of these transcripts from reporters at the Polarus Times.
- Ask participants to read carefully through the transcripts and then to gather in their CSO groups.
In 20 minutes time, they will have an opportunity to meet with the same officials, and ask them any questions they like to help uncover what is causing the poor delivery of maternal health care services in Sunrise State.

- Participants are to spend more or less 15 minutes in total reading the transcripts, and then meeting in their CSO groups to gather some preliminary ideas on what they will ask each of the officials. Naturally, they may change and review these questions as they learn more from each interview.
- After 5 to 10 minutes of reading time, encourage the participants to gather in their groups and start planning the questions they would like to ask of the various officials.
- Participants can record their questions and any other relevant information on **TASK SHEET 2.4: INTERVIEWS WITH OFFICIALS** in their Workbooks.

**ROLE PLAY: INTERVIEWS & REFLECTION (45 MINUTES)**

- The role play is set in Polarus, and involves the participants visiting and interviewing four mock government officials. The officials are:
  - An official at the National Department of Finance;
  - A senior official at the Sunrise State Department of Health;
  - An official from the District Health Services program, in the Sunrise State Health Department
  - The CEO of MedLife Supplies, a contractor to the Sunrise State Department of Health.
- Allocate the roles of the four government officials to four different facilitators and ask each of them to set up a mock office in a break-away room or corner of the training area.
- Invite the participants, in their Polarus CSO groups, to circulate amongst the officials. Only one group should visit each official at a time, and spend no more than 6 to 8 minutes.
- After the groups have visited and interviewed all four officials, ask them to gather together for a few minutes and to reflect on what they have learnt. They should try to identify as many possible explanations as they can for what is causing the maternal mortality problem in Sunrise State.
- Ask the groups to write each of their ‘theories’ or hypotheses on a different sheet of paper or card.

**PLENARY DISCUSSION & DE-BRIEFING (15 MINUTES)**

- Gather together in plenary and invite groups to volunteer their possible explanations for the maternal mortality crisis in Sunrise State.
- These are some of the plausible explanations the groups may have generated:
  - The Sunrise State Department of Health does not have enough funds (relative to demand);
  - The Sunrise State District Health Services program is under-funded (and/or other programs within the health department are crowding out spending on maternal health).
The Sunrise State District Health Services program is under-spending or wasting money.

Too little is being spent on training skilled birth attendants and/or on allocations to salaries for skilled birth attendants at primary health clinics.

There is corruption in the procurement of goods and services by the DHS program.

The contractors responsible for supplying vital obstetric medicines and equipment are incompetent and/or corrupt.

The performance of the contractors responsible for supplying vital obstetric medicines and equipment is not being monitored and/or managed effectively by the Department of Health.

There are several ways to discuss these possibilities further. For example:

- Invite participants to arrange the explanations according to the stages of the budget process;
- Ask participants to cluster the explanations according to role players involved and ask for a show of hands on which is currently the most likely ‘culprit’.
- Or, ask the participants to arrange the explanations from most to least likely cause.
- Or, simply discuss each explanation, starting with the ones that came up most often.

This role play activity was meant to get the participants interested and engaged with the budget dimension of development problems. However, at this stage, they do not know enough about the budget implementation process to go much further than mere speculation.

If participants leave the role play with some suspicions about the budgetary issues that could be linked to the maternal mortality situation in Sunrise State, enough has been accomplished.

7. **DEBRIEF AND REMINDER**

- Briefly recap what participants have learnt so far about the budget causes that could be underlying development problems.

- Remind participants to study their Polarus Sourcebooks tonight in preparation for a Polarus Quiz in the near future!
SESSION 4: UNCOVERING BUDGET IMPLEMENTATION PROBLEMS

8. POLARUS QUIZ

- **Aim:** To check if the participants have read the Polarus source material and to what extent they are becoming informed about the Polarus simulated environment.

- Announce that a quiz is now going to be conducted to see whether participants are well-informed and upstanding citizens of Polarus.

- Invite the participants to gather in their Polarus CSO groups. There are a number of ways to conduct the quiz. For example:
  
  > **Live quiz show:** Pose one question to each group in turn, and allocate one point for every correct answer. Make sure questions are posed to different members in each group (so that the groups are obliged to rotate their answer-givers). If a group cannot answer correctly, re-possess the question to the next group.
  
  > **Written quiz against time:** Distribute copies of the quiz to all the groups. Set a timer and announce ‘Go’! The groups are to complete the quiz sheet as quickly as they can. When a group thinks they have all the correct answers, they yell ‘Done!’ and all the groups have to stop working. If all their answers are correct, they are the winners. If not, the clock is re-started and the groups keep working until the next group yells ‘Done!’.

- Have some prizes ready for the winners.

**ANSWERS TO THE POLARUS QUIZ**

1. How many states are there in Polarus? **Nine**
2. What is the name of the tallest mountain peak in Polarus? **Trulku**
3. What is the currency of Polarus? **The Dinar**
4. Who is the ruling party of Polarus? **The Love Status Quo Party (LSQP)**
5. Which state of Polarus has the highest level of urbanization? **Capital State**
6. Which state has the highest proportion of people living in extreme poverty? **Sunset State**
7. What is the adult literacy rate in Polarus? **68.6%**
8. What does the acronym SeDeN stand for in Polarus? **Service Delivery Now**
9. What does SeDeN publish every year? **The Polarus Peoples’ Budget**
10. What is the dominant language in Polarus? **Poli**
11. When does the financial year begin and end in Polarus? **1 January to 31 December**
12. According to the Constitution of Polarus, does everyone have the right to own a car? **No**
13. At which level of government does most health spending take place in Polarus? **State level**
14. When does the Auditor-General in Polarus receive year-end reports? **Six months after the end of**
the financial year
15. Over the last five years, what has been the focus of civil society mobilization? **Lack of government service delivery**

16. Who is the Director-General of Family Health in Sunrise State? **Dr. B.Knott-Sihke**

17. What was the economic growth rate in Polarus in 2007? **5%**

18. In terms of national health policy in Polarus, which types of medical cases should be given priority in secondary hospitals? **Cases involving children, the elderly and women who are pregnant or in the post-partum period.**

19. Which pandemic is contributing to the rise in extreme poverty in Polarus? **HIV/AIDS**

20. Who were the first known inhabitants of Polarus? **The Lemas**

**9. FACILITATOR INPUT: CLOSER LOOK AT BUDGET IMPLEMENTATION**

**15 MINUTES**

**Note:** This input is supported by Slides 12 to 16 from the PowerPoint file *MODULE 2 Defining the Problem.*

**NOTES on SLIDE 12**

- Clarify, if necessary, that the term ‘budget implementation’ is seen to include two stages of the budget process, namely the execution stage and the oversight stage.

**NOTES on SLIDE 13**

The budget execution process generally follows five steps:

- Monies are released to various line ministries, departments or agencies (sometimes referred to as MDAs) as per the approved budget. This usually occurs after the budget has been passed into law. The payments are generally made in quarterly or monthly installments from a central revenue fund.

- MDAs spend the funds directly, or use them to procure goods and services. The chief accounting officer within each MDA usually has to ensure that specific spending decisions are in accordance with the approved budget, and that correct procedures are being followed.

- Payments are made for these expenditures, usually by the accounts department of a ministry, department or agency, or by the central treasury.

- Expenditure transactions are recorded in accounting books. Many developing countries use cash accounting systems. This means that expenditures are recorded once payment has been made, immediately after a payment order has been issued. Cash accounting systems make it difficult to gain a comprehensive picture of a government’s financial situation at any point in time. The
alternative is an accrual accounting system, under which financial transactions are recorded when the activities that generate them occur.

- In-year reports are produced throughout the year, culminating at the end of the year with the closure of accounting books and the production of year-end reports.

**NOTES on SLIDE 14**

Four kinds of government reports are useful for monitoring budget execution:

- **The Enacted Budget** is the only budget document with legal status. In some countries, it sets specific allocations to individual spending agencies, and in others only sets overall expenditure levels. It provides a critical foundation for budget monitoring as it reflects what government is legally obliged to spend money on in the coming financial year.

- **In-year reports** are produced on a monthly, quarterly or mid-year basis by the government as a whole or by individual MDAs. These are vital for monitoring as they compare actual spending with the approved budget. However, in-year reports generally don’t show whether a government is delivering services that the budget was meant to support.

- **Supplementary budgets** allow a government to revise its original budget proposals in response to unanticipated needs or circumstances that arise during the course of the financial year. It is important to monitor how supplementary budgets are used, as over-reliance on this mechanism can indicate poor budget planning and/or financial management. According to good budget practice, supplementary budgets should be approved by the legislature.

- **Year-end reports** consolidate information on the actual expenses of MDAs, as well as their revenue collections and debts. This may be a single document for government as a whole, or year-end reports may be issued by individual departments, ministries and agencies at the various levels of government.

**NOTES on SLIDE 15**

- The procurement process is part of the budget execution stage. Multiple procurement processes are likely to be in operation concurrently across various MDAs and levels of government.

- The **pre-bidding process** involves the submission of a purchase request form to the procurement department within government or one of its MDAs. If relevant, specifications are also drawn up to outline the precise nature, dimensions and quantity of goods or services being procured.

- During the **bidding process**, one or more tenders are issued and responses are received from
interested bidders or contractors. The bids are evaluated and the vendor or contractor is
selected to deliver the specified goods or services.

- A **purchase order** is submitted to the vendor requesting goods or services.
- Goods or services are produced or delivered and **inspection** or **quality control** reports are issued
to record whether the goods and services received are in line with the procurement contract.
- The contractor or vendor issues an invoice to indicate the **accounts payable**.
- The contractor or vendor is paid for the **goods or services** and the transactions are
duly recorded.

**NOTES on SLIDE 16**
- When all the expenditures for a given financial year have been completed and all
  transactions have been recorded, an annual report is drawn up – either by individual MDAs
  or for the government as a whole.
- The next important step is for an independent auditing agency to verify that the
  expenditures have been recorded accurately.
- In monitoring budget implementation, it is important to take the oversight process into
  account and to consider the documents produced during this stage.
- Most audits focus attention on financial accuracy, while some also look at compliance
  with agreed accounting and financial management procedures.
- In some countries, there are shifts towards also undertaking performance audits, which typically
  consider whether government spending has been economical, efficient and effective.
- Audit institutions usually issue Audit Opinions once they have scrutinized an MDAs records.
  Audit opinions generally fall in one of the following five categories: unqualified, emphasis of
  matter, qualified, adverse or disclaimer. Participants will learn more about this in Module 5.
- Audit reports are submitted to the legislatures at national and sub-national level in most
countries, together with recommendations for follow-up. It is then the task of the MPs or
members of other legislatures to ensure that corrective actions are taken to address or resolve
the findings of Audit Reports.

*Participants will find the information covered during this presentation in Chapters 3, 6 and 12 of Our Money, Our
Responsibility.*

10. **TASK 2.5: WHICH ACTORS TO TARGET?**

- **Aim:** For participants to apply what they just learnt about the budget implementation process by
identifying which role-players in the process make different decisions.

- Refer participants to **TASK SHEET 2.5** in their Workbooks. This exercise can be conducted individually or in pairs where people are sitting, without the need to break away into groups.

- The questions also appear on **Slide 17** for easy reference.

- After 10 minutes, review the answers in plenary, without conducting a formal report-back. Invite participants to call out responses to every example, and give special attention to those where participants came up with divergent answers, or couldn’t answer the question.

**ANSWERS TO TASK 2.5**

1. State Treasury or Ministry of Finance.
2. Procurement Board; Senior officials from the Ministry or Department that is meant to be managing and overseeing the contract.
3. Procurement Board; Supreme Audit Institution; Public Accounts Committee in the relevant legislature.
4. Officials in the Sunrise State Health Department; Head of the Emergency Services Program; Provincial legislature; Legislative committees on Health and Public Accounts in Sunrise State.
5. Sunrise State Roads & Transport Department; Contractors; Procurement Board; Supreme Audit Institution.
6. National Treasury or Ministry of Finance; Public Accounts Committee.

**11. FACILITATOR INPUT & DISCUSSION: BIDS 1**

- Lead a brief presentation of the **Budget Implementation Diagnostic Sheet 1** (BIDS 1).
- Participants will find copies of BIDS 1 in their Workbooks under Module 2.
- The BIDS 1 sheet focuses attention on the authorizing agencies and the documents generated at each step in the budget implementation process.
- Field questions of clarification and open the floor to a few minutes of general discussion about the challenges of diagnosing budget implementation problems, and accessing the documents that can help you to investigate them further.
- In the next module, participants will spend some time considering and planning how to access the documents and other information needed to monitor budget implementation.
- An important point to get across is that the methods and tools that appear in **Our Money, Our Responsibility** – some of which participants will learn to use during this workshop – are specifically geared to be able to test whether a suspected budget implementation problem has actually occurred.
So how could participants use the BIDS 1 in practice? Say, for example, you suspect that anti-retroviral medicines are not available at clinics as they are meant to be in terms of health policy. Looking at the BIDS 1 sheet, it directs your attention to inspection and quality control reports, warehouse reports on stock inventories, and audit reports. If you can access these documents, you will be able to study them to look for anomalies and discrepancies. This may further confirm your suspicion that the medicines have not been distributed as agreed. You can then also make use of surveys, for example, and the social audit process, to further investigate whether medicines have been dispensed at clinics. In this way, you will be able to gather several kinds of evidence that shed light on and provide proof about failures in service delivery.

12. REPEAT OF TASK 2.2: HMHC CASE STUDY 35 MINUTES

Aim: To give participants an immediate opportunity to use the BIDS 1 tool to review and consolidate their diagnosis of what budgetary causes could be contributing to the maternal mortality problem in Sunrise State.

This exercise should be conducted in participants’ Polarus CSO groups.

Ask them to use the BIDS 1 tool to reconsider their answers to Task 2.2, which was conducted in the first session of this module on Day 1. The list of possible causes emerging from this exercise should still be on display in the training room.

Participants can record their answers on TASK SHEET 2.6 in their Workbooks. It poses the following questions:

➢ Which possible budget implementation reasons didn’t you list?
➢ Which actors are responsible for these problems?
➢ Which documents could help you locate the problem?

After approximately 20 minutes, reconvene in plenary and discuss the answers by inviting responses from the group.

13. WRAP-UP: WHAT ARE THE NEXT QUESTIONS? 5 MINUTES

Draw Module 2 to a close by briefly re-capping the main learning points of the last three sessions.

Participants learnt that:

➢ All budget advocacy work, including monitoring budget implementation, should have a clear purpose or ultimate goal. Usually this is to impact on a development problem, or to strengthen democratic practice or the budget system itself.
➢ The budget process is made up of four main stages.
➢ When we talk about budget implementation, we are focusing on the last two stage of the
budget process, namely execution and oversight.

- Different role-players make different decisions at different points in the budget implementation process: it is important to investigate who is responsible for the decisions that impact on your ultimate goal.

- Different documents are generated at different points in the budget implementation process: they can shed light on how budgetary causes may be contributing to a development problem.

- The next step in the workshop will be to spend the rest of Day 2 looking at one of the key challenges for all budget advocacy work, namely access to budget information.
**TASK SHEET 2.1: WHAT IS THE DEVELOPMENT PROBLEM?**

Review the 10 case studies of civil society organizations that monitor budget implementation, as displayed around the training venue. For each case study, write down what development problem (or other challenge) the civil society group was trying to address by means of its budget work.

<table>
<thead>
<tr>
<th>CASE STUDY</th>
<th>WHAT DEVELOPMENT PROBLEM AND/OR OTHER CHALLENGES WAS THIS GROUP TRYING TO ADDRESS?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mazdoor Kisan Shakti Sangathan (MKSS) in India</td>
<td></td>
</tr>
<tr>
<td>Civil Society Coalition for Quality Basic Education (CSCQBE) in Malawi</td>
<td></td>
</tr>
<tr>
<td>Procurement Watch Inc. (PWI) in the Philippines</td>
<td></td>
</tr>
<tr>
<td>Government Watch (G-Watch) in the Philippines</td>
<td></td>
</tr>
<tr>
<td>Public Affairs Centre (PAC) in India</td>
<td></td>
</tr>
<tr>
<td>Hakikazi Catalyst in Tanzania</td>
<td></td>
</tr>
<tr>
<td>FUNDAR Center for Research &amp; Analysis in Mexico</td>
<td></td>
</tr>
<tr>
<td>HakiElimu in Tanzania</td>
<td></td>
</tr>
<tr>
<td>Concerned Citizens of Abra for Good Government (CCAGG) in the Philippines</td>
<td></td>
</tr>
<tr>
<td>Public Service Accountability Monitor (PSAM) in South Africa</td>
<td></td>
</tr>
</tbody>
</table>
READING 2.1: HEALTHY MOTHERS, HEALTHY CHILDREN

You are members of a civil society organization in Sunrise State, Polarus that is concerned about the high maternal mortality rate in the country, and in your state in particular. Your organization has recently joined the Healthy Mothers, Healthy Children (HMHC) coalition to put pressure on the government to address the situation as a matter of urgency.

MATERNAL MORTALITY IN SUNRISE STATE

Maternal mortality is considerably more widespread in Sunrise State than in any other state of Polarus. Sunrise State is largely urbanized, and the number of maternal deaths increased from 1091 in 2005 to 1,298 in 2008. The Maternal Mortality Ratio (MMR) for the state has shot up from 680 in 2005 to 776 in 2008. Women in Sunrise State now face a 1 in 36 chance of dying as a result of pregnancy sometime during their reproductive lifetime.

Within Sunrise State, the maternal mortality situation is most dire in the capital city, Mortalia, where health facilities are under considerable strain. Only 130 of the maternal deaths in Sunrise State in 2008 occurred in rural areas, meaning that urban areas accounted for 90% of maternal fatalities. More detailed data on the maternal mortality situation can be found in Chapter 7 of your Polarus Sourcebooks.

HEALTHY MOTHERS, HEALTHY CHILDREN

Healthy Mothers, Healthy Children is a coalition of grassroots civil society organizations, faith-based groups and citizens who want to draw attention to the maternal mortality situation in Sunrise State. One of the strengths of the HMHC network is its broad base of members and its ability to access grassroots views and support. The HMHC is also an active member of SeDeN, a national social justice movement calling for improved government service delivery in Polarus.

In tackling the issue of maternal health, HMHC initially adopted two main projects:

- The first was to conduct a general audit of existing information and data relating to maternal health in Polarus, Sunrise State and Mortalia specifically.
- The second was to gather the stories and concerns of women themselves who had experiences of maternal health problems or tragedies amongst their families or friends. Through a series of focus group workshops (3 in rural areas, 2 each in Obsalom and Swellentsia, and 6 in Mortalia), HMHC has succeeded in amassing a wealth of qualitative information about the maternal mortality crisis in Sunrise State.

HMHC’s research thus far has revealed the following evidence:

- In the rural areas of Sunrise State, many women depend on traditional (and largely unregistered)
midwives for advice and treatment during pregnancy. It seems that complications during pregnancy are often picked up early, and an informal arrangement between traditional midwives and local clinics creates an effective support net for rural women. When a possibly difficult delivery is expected, women tend to go directly to hospitals in town, while post-partum check-ups are sometimes accessed at rural clinics.

- In the towns of Obsalom and Swellentsia, the main causes of maternal deaths were linked directly to complications arising during delivery. Women who reported experiences of maternal death in their families almost all complained that things went seriously wrong during labour, and that the women either suffered excessive bleeding, obstructed delivery or another kind of emergency.

- In Mortalia, many women complained about the antenatal visits they undertook during pregnancy, noting the long queues and unfriendly staff at most clinics. Some reported that they had medical questions that the antenatal nurses could not (or would not) answer to satisfaction. In most instances, maternal deaths could be linked to instances where existing diseases or other complications were not picked up at all during pregnancy. When difficult deliveries arose, health workers in primary clinics were often ill-prepared to respond to the emergency, either due to lack of knowledge, medical supplies or time. According to the records gathered by HMHC from hospitals and clinics across Mortalia, the main causes of maternal death in the city in 2008 were as follows:

### CAUSES OF MATERNAL DEATH IN MORTALIA, 2008

<table>
<thead>
<tr>
<th>Cause of death</th>
<th>Number of cases</th>
<th>% of all maternal deaths</th>
</tr>
</thead>
<tbody>
<tr>
<td>Haemorrhage</td>
<td>298</td>
<td>35%</td>
</tr>
<tr>
<td>Obstructed labour</td>
<td>139</td>
<td>16%</td>
</tr>
<tr>
<td>Infection</td>
<td>230</td>
<td>27%</td>
</tr>
<tr>
<td>Undiagnosed eclampsia*</td>
<td>68</td>
<td>8%</td>
</tr>
<tr>
<td>Other</td>
<td>119</td>
<td>14%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>854</strong></td>
<td><strong>100%</strong></td>
</tr>
</tbody>
</table>


* Eclampsia is a serious disorder during pregnancy characterized by convulsions. It is associated with hyper-tension and can usually be diagnosed in the second or third trimester. As a general trend worldwide, eclampsia occurs in approximately 10% of pregnancies.

- Those women in Sunrise State who were referred to secondary hospitals during pregnancy or labour largely had to make their own transport arrangements, as ambulances were not available. Many women found the secondary hospitals difficult to access and navigate. One hospital in Mortalia couldn’t be reached by public transport, while another charged a user service fee for
‘specialized obstetric care’.

- Several women complained that their files were lost during the transfer from local clinics to secondary hospitals, causing inconvenience and delays.

**HMHC’s efforts to raise awareness**

HMHC has used the information above to present some articles and case histories in the media, hoping to raise public awareness and to put pressure on government to pay more attention to the problem. This strategy brought some limited success, but the media’s interest soon waned.

In addition, the Sunrise State Department of Health continues to pay lip service to the problem, but no concrete decisions have been made to address the crisis. Just last week, the Director-General of Family Health, Dr. B. Knott-Sihke, is quoted in the press as saying:

> “We are well aware of the challenges facing the vulnerable people of this state, including homeless families, pregnant women, mothers of newborn infants and children under the age of six. Because it is our ardent desire to improve their well-being, we have prioritized primary health services by means of the Primary Clinic Strategy. We have applied all available resources at our disposal to improve access to services and the quality of health care. Beyond this, our hands are tied.”
TASK SHEET 2.2: MATERNAL DEATH RATE IN SUNRISE STATE – WHAT COULD BE CAUSING THE PROBLEM?

Read all the information about the maternal mortality situation in Sunrise State, as presented in READING 2.1: HEALTHY MOTHERS, HEALTHY CHILDREN and discuss the problem in your group.

Please list all of the possible causes for the high maternal mortality rate in the city of Mortalia:

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

Think about what budget problems may be contributing to the problem and add them to your list:

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
READING 2.2: STAGES IN THE BUDGET PROCESS

It is important to have detailed knowledge of the budget process in the context where you are trying to influence the budget. This involves getting to know all the role-players and steps involved in each stage of the budget process. Without this knowledge, it would be impossible to identify the most strategic and effective points to intervene with their budget advocacy. Always keep in mind that:

- Different decisions are made at each stage of the budget process.
- You will only have the desired impact if you intervene before the decisions you want to change are being made, not after.

THE FORMULATION STAGE

During the formulation stage of the budget process, the following steps are completed, usually under the direction of the Ministry of Finance or National Treasury:

- The executive undertakes a modelling of the macro-economic framework: Economic trends are analyzed in order to project the likely macro-economic environment for the upcoming year and over the medium-term. For example, this exercise results in projections of the GDP, deficit, inflation and exchange rates in the country concerned.
- The executive estimates revenue trends for the upcoming year and the medium-term to establish the likely size of the forthcoming budget. These estimates include taxes and non-tax revenues, donor funds, multi- and bi-lateral agreements.
- Expenditure ceilings are set for departments and other implementing agencies to draw up their spending plans.
- In most countries, the government releases a pre-budget statement.
- Department and other agency expenditure budgets are then formulated and negotiated.
- The budget is submitted to the country’s cabinet for approval.
- The formulation stage also involves processes and decisions at other levels of government. For example, in the case of Polarus:
  - The National Department of Finance determines the block transfers and conditional grants for all nine states.
  - In each state, expenditure ceilings are determined for the various state-level government departments, for example the Sunrise State Department of Health.
  - These State departments formulate expenditure budgets for the medium-term, and these are submitted to State cabinets for approval.
THE LEGISLATIVE STAGE

- The budget is tabled in the legislature, usually by the Minister of Finance.
- The budget is referred to relevant parliamentary committees, who are mandated to review and scrutinize the executive’s spending and revenue proposals. The committees report back to the main chamber of the legislature.
- Amendments are made to the budget (in those countries where legislatures have the power to make amendments).
- The budget is voted into law.

THE IMPLEMENTATION STAGE

- Money is transferred to departments and other implementing agencies in line with the approved budget.
- Ideally, departments and other implementing agencies use the funds they have received for their intended purpose and deliver goods and services as agreed in the budget.
- Throughout the year while implementing the budget, departments and other implementing agencies produce in-year reports to show how they are spending allocated funds.
- At the end of the fiscal year, departments and agencies produce year-end reports to set out in full how they have spent allocated funds.

THE AUDIT STAGE

- The year-end reports of all departments and agencies are submitted to the Supreme Audit Institution (SAI) in the country concerned.
- The SAI conducts an audit of government spending. There are different kinds of audits and some countries undertake more extensive audits than others. In most countries, the audit would at least include an assessment of whether government spending was compliant with the budget, and whether funds are accounted for in terms of sound financial management principles.
- The SAI prepares a report on government spending for each department or implementing agency and refers these reports to the legislature.
- Legislature refers the audit reports to the parliamentary committee responsible for public accounts (usually called the Public Accounts Committee or PAC), as well as other relevant committees.
- The PAC makes recommendations to the Chamber as to the findings of the SAI in relation to each department and implementing agency.
### TASK SHEET 2.3: WHICH STAGE TO MONITOR?

Which stage(s) of the Polarus budget process would you monitor if you were concerned about:

<table>
<thead>
<tr>
<th>#</th>
<th>ADVOCACY ISSUE</th>
<th>WHICH STAGE OF THE BUDGET PROCESS TO MONITOR?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>The total amount being allocated to Sunrise State</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Underspending in the Sunrise State Department of Health</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>The size of the National Government deficit</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Wastage in the national health budget</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>How much money is allocated to primary health care in the health budget</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Procurement fraud in the provision of medicines at state clinics</td>
<td></td>
</tr>
</tbody>
</table>

In each case, explain your choice!
READING 2.3: WHO IS RESPONSIBLE?

The media in Polarus recently published a story on the maternal mortality crisis in Sunrise State. Through your contacts in the media, you have been able to get the following transcripts of the meetings conducted by reporters from the Polarus Times with government officials.

MEETING WITH OFFICIAL FROM THE NATIONAL DEPARTMENT OF FINANCE

*Reporters:* Good Morning, Madam!

*National Finance Official:* Karibu! You are most welcome. How can I help you?

*Reporters:* Madam, recently there were reports of pregnant women in Sunrise State waiting in line for hours to be treated, and many deliveries ending in loss of life. We are trying to understand why Sunrise State is not providing more and better maternal health care services?

*National Finance Official:* So, why do you want to meet with someone at the National Department of Finance?

*Reporters:* Madam, we heard a rumour that the National Finance Department has a poor track record in working with State governments. We wanted to get your perspective, particularly on your relationship with Sunrise State.

*National Finance Official:* My dear friends, let me reassure you that the National Department of Finance has very cordial relations with all the States. Every year, we send the States their block grants. They decide how they want to spend their money and have it approved by their state Cabinets and Parliaments.

*Reporters:* How much money did you transfer to Sunrise State last year?

*National Finance Official:* It is not that easy to answer that question. I cannot give you one figure since transfers are made in instalments during the year.

*Reporters:* Can you tell us how much money was given in each instalment?

*National Finance Official:* Hold on, let me consult my books! Here it is! The total budget appropriated for Sunrise State last year was 13,629 million Dinar. We sent them monies in four instalments. The first instalment was made in March for 4230 million Dinar, the second in June for D3050 million, the third in September for D3020 million, and the fourth in December for D3329 million.

*Reporters:* Do you think that was enough to provide good maternal health care services in Sunrise State?
MONITORING BUDGET IMPLEMENTATION
Facilitator’s Manual

National Finance Official: That’s not my responsibility, friends. Remember that Sunrise State decides itself what to spend on health, we just give them a block grant! Try to pay attention next time I tell you something!

Reporters: But was their block grant big enough to ensure an adequate number of primary health clinics and provide doctors, skilled birth attendants, medicines and equipment? Some people say that the national government could borrow more to pay for the health backlog.

National Finance Official: Well, I am no health expert. And you know times are tough and we need lots of money for other things besides health. Just last week you people were complaining that we don’t spend enough on education! And running a Treasury is not like playing monopoly. We can’t just go and borrow more money.

Reporters: Yes, but you didn’t answer our question. Did you give Sunrise State a large enough block grant to provide adequate maternal health care?

National Finance Official: You know you can consult the budget yourself on our lovely new website. But if you want me to do your work for you, I can tell you that we increased Sunrise State’s total state grant by more than 6 billion Dinar over the last three years. Does that look like enough to you?

Reporters: Yes that is an impressive amount of money. Thank you very much for your time.

National Finance Official: Yes, whatever. You people love accusing us before you take the trouble to investigate. I hope you will tell the story about that 6 billion Dinar as well! Now, I’m busy, so if there is nothing else…

MEETING WITH SENIOR OFFICIAL, SUNRISE STATE DEPARTMENT OF HEALTH

Reporters: Hello, sir!

Sunrise State Health Official: Hi, guys! How are you?

Reporters: We are reporters who are investigating the crisis in maternal health care in Sunrise State. As you must be aware, there have been many disturbing reports lately about women dying during labour, or after delivering their babies, and receiving poor care at primary health clinics. We wanted to get your perspective on why this is happening.

Sunrise State Health Official: Look friends, these are tragic stories and my department is doing everything it can to investigate the reasons why it is happening.

Reporters: What have you found so far?

Sunrise State Health Official: Well the biggest reason is that we simply don’t have enough skilled birth attendants, or equipment and medicines. Even if we had the staff, which we don’t, we still face a huge
shortage of beds, birth monitors and incubators, and we don’t have anywhere near the ambulances we need. Remember this department doesn’t only have maternal health care to worry about! The AIDS epidemic is putting strain on all our systems.

Reporters: So you think the Sunrise State government should allocate more of its budget to health? According to the National Department of Finance, Sunrise State’s budget increased by more than 6 billion Dinar over the last 3 years. That seems like a lot of money.

Sunrise State Health Official: Yes, yes, it is true that our health budget has also increased considerably over the last few years. But that doesn’t mean that all our problems are solved. We have several different programs in the health department, and some of them have been struggling to expand their roll-out of services as quickly as planned. You know, we’ve been facing massive challenges in Mortalia and other towns, where demand for health services has almost doubled over recent years!

Reporters: Are you suggesting that some health programs are unable to spend their funds?

Sunrise State Health Official: Unable is a strong word. Let us rather say there have been some teething problems. But nothing for you to worry about. We are looking into the matter.

Reporters: Which program is responsible for providing maternal health care?

Sunrise State Health Official: A couple of programs have responsibilities in this regard. But the main avenue for the provision of maternal health care is through primary health clinics, which fall under the auspices of the District Health Services program.

Reporters: Ah, thank you very much for your time. We will try to discuss this issue with someone from District Health Services.

Sunrise State Health Official: You do that. But don’t go and tell them what I said. Have a good day.

MEETING WITH OFFICIAL FROM SUNRISE STATE DISTRICT HEALTH SERVICES

Reporters: Knock, knock! Can we come in?

Sunrise State District Health Services (DHS) Official: Yes, of course! You don’t have to be so formal with me. Make yourselves at home!

Reporters: Thank you. A lot of people are worried about the maternal health crisis in Sunrise State. The maternal mortality ratio is much higher here than elsewhere in the country.

Sunrise State District Health Services (DHS) Official: Yes I believe so! I tell you, it breaks my heart! I have dedicated my life to the vision of Health for All.

Reporters: We understand that your program is responsible for providing maternal health care services
through state clinics? Can you explain why so many women aren’t receiving the care they need?

_Sunrise State District Health Services (DHS) Official_: Now, hang on a minute! We try our best at the clinics. The demand for services is immense! But what can we do when the training colleges aren’t sending us enough skilled nurses? The hospitals always get the best staff. Our clinics are over-burdened and it is a constant challenge to ensure that they are equipped with the medical supplies and materials they need.

_Reporters_: But why aren’t you providing more and better maternal health care services? The Sunrise State budgets for 2005 show that your program didn’t even spend the money it had!

_Sunrise State District Health Services (DHS) Official_: We did experience some difficulties in that year, but don’t worry, since then we have concluded work agreements with an excellent team of contractors, including emergency ambulance services, pharmaceutical wholesalers and distributors of birth monitors (partographs) and other obstetric equipment.

_Reporters_: That’s very interesting. Do you believe this will help to solve this problem?

_Sunrise State District Health Services (DHS) Official_: Yes of course. We place an extremely high priority on the welfare of women and children in this State.

_Reporters_: OK, thank you very much then.

**MEETING WITH THE CEO OF MEDLIFE SUPPLIES, SUNRISE STATE**

_Reporters_: What’s up, Mr. Contractor?

_Contractor_: Nothing much! How can I help you?

_Reporters_: We were told that your company has a contract with the Sunrise State Department of Health to distribute partographs, incubators, obstetric equipment and maternal health-related medicines to primary health clinics. Is that so?

_Contractor_: Well, amongst other things. But yes, the equipment you mention is part of the wide range of goods and services we offer.

_Reporters_: But various clinics in Sunrise State have reported a chronic shortage of these medical supplies, including antibiotics and the medicines used in cases of hemorrhage. Some say their obstetric equipment is outdated, or out of order.

_Contractor_: We warned the department that there may be problems securing a steady supply of certain medicines at the bulk prices we agreed on. For this reason, quantities have been adjusted from time to time. As for the obstetric equipment, our contract stipulates the makes and models to be provided. I can assure you that they were delivered in a good condition. It is not our responsibility if the clinics
can’t look after their supplies.

_Reporters:_ But, we hear your company has failed to make up the backlog in medicines, and that you are refusing to replace faulty equipment!

_Contractor:_ Stuff happens!

_Reporters:_ What stuff?

_Contractor:_ Look here, geniuses, this is a business, not a charity. Everyone knows we face severe challenges doing business with government. We had to fork out the capital to secure the supplies in the first place, and service the debts until the department was willing to pay us, several months late. Do you know, I wouldn’t even have agreed to such a contract if it wasn’t for the respect I hold for Dr Knott-Sihke!

_Reporters:_ But, we were told that a rival medical supply company was prepared to distribute the medicines and equipment at a better price than you contracted for.

_Contractor:_ I doubt that very much! What are you insinuating?! I really must ask you to leave, I have another appointment.
TASK SHEET 2.4: INTERVIEWS WITH OFFICIALS

After reading the transcripts of media interviews with government officials and government contractor on the maternal health situation in Sunrise State, identify further questions you would like to pose to any or all of the officials in question. Record your questions and findings below.

OFFICIAL FROM THE NATIONAL DEPARTMENT OF FINANCE

Possible questions to ask: 

________________________________________________________________________

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________________________________________________________________________

NOTES

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________________________________________________________________________

SENIOR OFFICIAL FROM THE SUNRISE STATE DEPARTMENT OF HEALTH

Possible questions to ask: 

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NOTES

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________________________________________________________________________
OFFICIAL FROM THE SUNRISE STATE DISTRICT HEALTH SERVICES PROGRAM

Possible questions to ask:

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NOTES

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CEO OF MEDLIFE SUPPLIES, CONTRACTOR TO THE SUNRISE STATE DEPARTMENT OF HEALTH

Possible questions to ask:

_________________________________________________________________________________

_________________________________________________________________________________

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NOTES

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_________________________________________________________________________________


POLARUS QUIZ

1. How many states are there in Polarus? ____________________________

2. What is the name of the tallest mountain peak in Polarus? ________________

3. What is the currency of Polarus? ____________________________

4. Who is the ruling party of Polarus? ____________________________

5. Which state of Polarus has the highest level of urbanization? ________________

6. Which state has the highest proportion of people living in extreme poverty? ________________

7. What is the adult literacy rate in Polarus? ____________________________

8. What does the acronym SeDeN stand for in Polarus? ____________________________

9. What does SeDeN publish every year? ____________________________

10. What is the dominant language in Polarus? ____________________________

11. When does the financial year begin and end in Polarus? ____________________________

12. According to the Constitution of Polarus, does everyone have the right to own a car? ______

13. At which level of government does most health spending take place in Polarus? ______

14. When does the Auditor-General in Polarus receive year-end reports? ____________________________

15. Over the last five years, what has been the focus of civil society mobilization? ______

60
16. Who is the Director-General of Family Health in Sunrise State? ____________________________

17. What was the economic growth rate in Polarus in 2009? ____________________________

18. In terms of national health policy in Polarus, which types of medical cases should be given priority in secondary hospitals?

________________________________________________________________________________________

________________________________________________________________________________________

19. Which pandemic is contributing to the rise in extreme poverty in Polarus? ________________

20. Who were the first known inhabitants of Polarus? ________________________________
TASK SHEET 2.5: WHICH ACTORS TO TARGET?

Which actors in the budget execution process would you target if you were concerned about the following:

1. The Sunrise State Health Department didn’t receive all the money that was allocated to it in the state budget.

2. Contracted service providers do not deliver the goods and services as set out in their government contracts.

3. The Procurement Board is not following accepted procedure for deciding on bids.

4. The Emergency Services Program in the Sunrise State Health Department is underspending on its allocation for ambulances.

5. Contractors in Sunrise State are building inferior roads.

6. Money allocated to the national Department of Health has been moved to Defense.
## BUDGET IMPLEMENTATION DIAGNOSTIC SHEET 1 (BIDS 1)

<table>
<thead>
<tr>
<th>STEP</th>
<th>DESCRIPTION OF PROCESS</th>
<th>AUTHORIZING OFFICIAL/AGENCY</th>
<th>PAPERWORK REQUIRED/GENERATED</th>
</tr>
</thead>
<tbody>
<tr>
<td>I</td>
<td>Transfer of funding from Revenue Fund to Ministry, Department, or Agency (MDA)</td>
<td>Treasury or Finance Ministry; Comptroller</td>
<td>Appropriation Act, Issuance of Warrants; Comptroller Authorization, In-year Report, Annual Report; Virement Authorization Letter, Supplementary Budget Report, SAI report</td>
</tr>
<tr>
<td>II</td>
<td>Initiation of Spending by MDA, Payments Made &amp; Transaction Recorded</td>
<td>Chief Accounting Officer at MDA</td>
<td>Appropriation Act, Contracts, Payrolls; Vendor’s Invoice; Bills Payable Disbursement Voucher; Check; In-year report, Annual Report, Virement Authorization Letter, Supplementary Budget Report; SAI Report</td>
</tr>
<tr>
<td>III</td>
<td>Procurement process</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a</td>
<td>Pre-bidding</td>
<td>Procurement Board/Division</td>
<td>Purchase Request, SAI report</td>
</tr>
<tr>
<td>b</td>
<td>Bidding</td>
<td>Procurement Board</td>
<td>SAI Report</td>
</tr>
<tr>
<td></td>
<td>- Issuance of Tender</td>
<td>Procurement Board</td>
<td>Tender Advertisement; SAI Report</td>
</tr>
<tr>
<td></td>
<td>- Receipt of Bids</td>
<td>Procurement Board</td>
<td>Quotes from Vendors; SAI Report</td>
</tr>
<tr>
<td></td>
<td>- Bids Award</td>
<td>Procurement Board</td>
<td>Abstract of Bids; Bids Award Resolution, SAI Report</td>
</tr>
<tr>
<td></td>
<td>- Issuance of Contract</td>
<td>Procurement Board</td>
<td>Contract Agreement, SAI Report</td>
</tr>
<tr>
<td>c</td>
<td>Goods/Services Ordered</td>
<td>Procurement Board</td>
<td>Purchase Order, SAI Report</td>
</tr>
<tr>
<td>d</td>
<td>Goods/Services Received</td>
<td>Quality Control Inspector; Warehouse Manager</td>
<td>Inspection and Quality Control reports; Warehouse Report on Stock Inventory; SAI Report</td>
</tr>
<tr>
<td>V</td>
<td>Goods/Services Provided</td>
<td>Vendor</td>
<td>Contract Agreement</td>
</tr>
</tbody>
</table>
As you know, the maternal mortality crisis in Sunrise State continues to claim lives. With the other members of your civil society organization in Polarus, discuss the following questions.

1. Looking back to Task Sheet 2.2, which possible budget implementation reasons didn’t you list?

2. Which actors are responsible for these problems?

3. Which documents could help you locate the problem?
MODULE 3

ACCESS TO INFORMATION FOR MONITORING
MODULE 3  ❖ ACCESS TO INFORMATION FOR MONITORING

LEARNING OUTCOMES FOR THIS MODULE

By the end of this module, participants will have:

- recognized the importance of information for budget work;
- explained what budget information should be made publicly available;
- outlined the range of different documents that are relevant for budget advocacy work;
- identified gaps in available budget documents/information;
- explained the purpose and process of the Ask Your Government Campaign and its key findings;
- described and gave examples of the access to information process in their countries;
- recognized barriers to accessing budget information; and
- listed strategies for overcoming some barriers to budget information.

STRUCTURE OF THE MODULE

Session 5: Advocating for Access to Information

1. Brainstorm: “Access to Information is Important because…” 10 minutes
2. MKSS documentary + discussion 25 minutes
3. Input & Discussion: Essential budget documents 45 minutes
4. Energizer: Fruit salad 10 minutes

Session 6: Accessing Budget Information

1. TASK 3.1 ■ Match the budget documents 20 minutes
2. Input & Discussion: Ask Your Government campaign 20 minutes
3. TASK 3.2 ■ Access to Information Process in my Country 15 minutes
4. Pair Sharing 10 minutes
5. Input: Sources of Information to support our Evidence-based advocacy 15 minutes
6. Task 3.3 ■ Barriers to accessing information 20 minutes
7. Task 3.4 ■ Strategies for overcoming barriers 20 minutes
RESOURCES NEEDED FOR MODULE 3

- Flipchart paper and colored pens
- Flashcards or large post-its
- Ask Your Government Campaign PowerPoint presentation
- Cards with names of 8 key budget documents and definitions
- MKSS documentary on the Right to Information
SESSION 5
ADVOCATING FOR ACCESS TO INFORMATION
Duration of session: 1 hour and 30 minutes

<table>
<thead>
<tr>
<th>STRUCTURE OF THE SESSION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Brainstorm: “Access to Information is Important because…”</td>
</tr>
<tr>
<td>2. MKSS documentary + discussion</td>
</tr>
<tr>
<td>3. Input &amp; Discussion: Essential budget documents</td>
</tr>
<tr>
<td>4. Energizer: Fruit salad</td>
</tr>
</tbody>
</table>

1. BRAINSTORM “ACCESS TO INFORMATION IS IMPORTANT BECAUSE…” 10 MINUTES

- Ask participants to complete the sentence Access to information is important because…
- Each participant will receive two FLASHCARDS
- Participants should write out one reason per FLASHCARD.
- Invite participants to paste this up on a prepared flipchart.
- Traditionally, budget processes have been very secretive and have involved a handful of officials in any country.
- Since the mid-nineties, civil society groups have begun to engage in budget work but a major barrier to their work is lack of access to information.
- More than any other sector in civil society, budget work is fundamentally dependent on “evidence-based” advocacy, i.e., budget work requires the presentation of “facts and figures” in an accurate and accessible format.
- This dependence on facts and figures requires budget groups to access information on government budgets – something that is not very easy even today.
- This session will focus on two current IBP projects on access to information. The purpose of this focus is to understand how to use government information for expenditure tracking activities and related advocacy campaigns.

2. WATCHING A DOCUMENTARY: MKSS + DISCUSSION 25 MINUTES

- Invite participants to watch the MKSS documentary on the right to information.
- Hold a brief plenary discussion about the right to information issues raised in the documentary.
3. **INPUT & DISCUSSION: ESSENTIAL BUDGET DOCUMENTS**  

- Introduce this input by explaining that it is important to understand what sort of budget information should be available in countries in terms of international best practice. This provides a benchmark against which to evaluate the situation in your country, and advocate for access better, more or other kinds of budget information.

- Governments should produce and make available to the public in a timely manner the following eight key budget documents:
  - The **Pre-Budget Statement** should be released during the first phase of the Executive’s Formulation of the budget. This document is intended to disclose the parameters in which the executive will form its budget proposal -- specifically, total expenditures, total revenues expected and debt to be incurred during the upcoming budget year.
  - The **Executive’s Budget Proposal** is the draft budget which should be made available to the public before the actual budget law is passed by the legislature, so that citizens have the opportunity to provide their input into the drafting of the budget law before it is finalized and passed. The Executive’s budget proposal should contain the following information:
    - **Expenditure classification**
      - administrative
      - functional
      - economic
      - programme
    - **Revenue classification**
      - tax
      - non-tax
    - **Debt**
      - stock at the beginning and at the end (yearly additional borrowing)
      - composition (different instruments, different maturities, interests, currencies, domestic vs. external)
      - interest
    - **Macroeconomic information**
      - different info can be relevant for different countries (e.g. oil producing countries)
      - basic info is: GDP growth, inflation, unemployment, interest rate
      - changes in the macroeconomic framework can have a significant impact on budget (on both revenues and expenditures sides)
    - **Multi-annual data**
      - future projections
      - past data
    - **Public policy information**
      - new policies as distinct from existing policies
      - links between policies and budget
      - links between budget and policies to fight poverty
  - The **Enacted Budget** is a document that is approved by the legislature and passed into law as the budget to be implemented for the upcoming fiscal year.
The **Citizens Budget** is a non-technical representation of the terms and the concepts in the budget which can be understood by citizens that do not have technical background in budgets or fiscal policy.

**In-Year Reports** should be produced and made available to the public on a monthly or quarterly basis and they should report on the implementation of the budget including the revenue, expenditure and the debt situation of the government.

The **Mid-Year Review** also provides a comprehensive update regarding the implementation of the budget including a review of the economic assumptions underlying the budget and an updated forecast of the budget outcome for the current budget year.

The **Year-End Report** should be produced and made available to the public by the executive branch, and it should report extensively on the government’s fiscal activities.

The **Audit Report** is the annual report issued by the Supreme Audit Institution attesting to the government’s year-end final accounts and whether public resources have been utilized effectively.

- Additional (official) information that is necessary to obtain a deeper perspective regarding the budget:
  - Demographic information.
  - Sector-specific documents (e.g. health, education, defense)
  - Sector-specific information (geographical distribution, number of teachers/doctors in different regions, epidemiologic profile of the country).

Participants will find notes on the information covered in this input in **READING 3.1 ESSENTIAL BUDGET DOCUMENTS** in their Workbooks.

Invite questions from the floor and facilitate a discussion to make sure that all participants are familiar with all the types of documents.

- Which of these documents are not produced?
- Which of these documents are produced but are not publicly available in your country?
- Which of these documents are produced and made public in your country?

### 4. **ENERGIZER: FRUIT SALAD** 10 MINUTES

- Use this **ENERGIZER** to divide the participants into groups.
- Ask participants and facilitators to arrange themselves, with their chairs, in a closed circle.
- Assign one of the following fruits to each person in the circle, including yourself: apple, banana, mango, plum. The number of fruits you introduce should match the number of groups you want to divide participants into.
- Explain to the participants that everyone will sit on a chair. There will also be a caller, who will not have a chair.
- The caller will call out the name of a fruit. When the name of a fruit is called out, all the participants with that name of fruit, including the caller (irrespective whether he/she is that fruit) will get up and run to a vacant chair.
• The caller can also call “fruit salad” – this means that everyone will get up to find a vacant chair.
• Repeat this a few times, to increase energizer levels and to get some laughter going. It is great fun, but be cautious with less mobile participants.
• Request that participants with the same fruit name gather together to work in a group in the next session.

END OF SESSION 5
READING 3.1: ESSENTIAL BUDGET DOCUMENTS

Governments should produce and make available to the public in a timely manner the following eight key budget documents:

- The **Pre-Budget Statement** should be released during the first phase of the Executive’s Formulation of the budget. This document is intended to disclose the parameters in which the executive will form its budget proposal — specifically, total expenditures, total revenues expected and debt to be incurred during the upcoming budget year.

- The **Executive’s Budget Proposal** is the draft budget which should be made available to the public before the actual budget law is passed by the legislature, so that citizens have the opportunity to provide their input into the drafting of the budget law before it is finalized and passed. The Executive’s Budget Proposal above should contain the following information:

  **Expenditure classification**
  - administrative
  - functional
  - economic
  - programme

  **Revenue classification**
  - tax
  - non-tax

  **Debt**
  - stock at the beginning and at the end (yearly additional borrowing)
  - composition (different instruments, different maturities, interests, currencies, domestic vs. external)
  - interest

  **Macroeconomic information**
  - different info can be relevant for different countries (e.g. oil producing countries)
  - basic info is: GDP growth, inflation, unemployment, interest rate
  - changes in the macroeconomic framework can have a significant impact on budget (on both revenues and expenditures sides)

  **Multi-annual data**
  - future projections
  - past data

  **Public policy information**
  - new policies as distinct from existing policies
  - links between policies and budget
  - links between budget and policies to fight poverty
The Enacted Budget is a document that is approved by the legislature and passed into law as the budget to be implemented for the upcoming fiscal year.

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The Audit Report is the annual report issued by the Supreme Audit Institution attesting to the government’s year-end final accounts and whether public resources have been utilized effectively.

Additional (official) information that is necessary to obtain a deeper perspective regarding the budget:

- Demographic information
- Sector-specific documents (e.g. health, education, defense)
- Sector-specific information (geographical distribution, number of teachers/doctors in different regions, epidemiologic profile of the country)
SESSION 6
ACCESSING BUDGET INFORMATION
Duration of session: 2 hours

STRUCTURE OF THE SESSION
1. TASK 3.1 ■ Match the budget documents 20 minutes
2. Input & Discussion: Ask Your Government campaign 20 minutes
3. TASK 3.2 ■ Access to Information Process in my Country 15 minutes
4. Pair Sharing 10 minutes
5. Input: Sources of Information to support our evidence-based advocacy 15 minutes
6. Task 3.3 ■ Barriers to accessing information 20 minutes
7. Task 3.4 ■ Strategies for overcoming barriers 20 minutes

1. TASK 3.1 ■ MATCH THE BUDGET DOCUMENTS 20 MINUTES

• **Aim:** to identify the eight key budget documents.

• Divide participants into pairs. Ask them to turn to **TASK 3.1 ■ MATCH THE BUDGET DOCUMENTS** in their Workbooks.

• Working with their partners, invite participants to match the document names in the left-hand column with the definitions in the right-hand column.

• This exercise can also be done using cards. Photocopy the page with the budget document names and definitions onto card, making sure that the budget document names are on one color, and the definitions on another. Cut the sheets into cards and give each pair or team a full set of both color cards to match up.

• The first team to complete this task wins a prize.

• After 10 to 15 minutes, ask all the pairs to call out the budget documents and their definitions. Make sure everyone has the correct matches.

ANSWERS TO TASK 3.1

**A – 4  Pre Budget Statement:** A document which is produced during the first phase of the Executive’s Formulation of the budget and which discloses the parameters of the budget for the upcoming year.

**B – 1  In Year Report:** A document that is released on a monthly or quarterly basis to report on the implementation of the budget.

**C – 7  Executive Budget Proposal:** A document which should be made available to the public before the actual budget law is passed by the legislature.

**D – 3  Audit Report:** A document issued by the country’s watch dog organization that attests to whether public resources have been utilized effectively.

**E – 8  Enacted Budget:** A document that is approved by the legislature and passed into law as the budget to be implemented for the upcoming fiscal year.
F – 2 Citizens Budget: A nontechnical representation of the terms and the concepts in the budget which can be understood by citizens that do not have technical background in budgets or fiscal policy.

G – 5 Mid-Year Report: A document that contains a comprehensive update on the implementation of the budget, including a review of the economic assumptions underlying the budget and an updated forecast of the budget outcome for the current budget year.


2. INPUT & DISCUSSION: ASK YOUR GOVERNMENT CAMPAIGN 20 MINUTES

Note: This input is supported by PowerPoint file **MODULE 3 Ask Your Government Campaign**.

3. TASK 3.2 ■ ACCESS TO INFORMATION PROCESS IN MY COUNTRY 15 MINUTES

a. Describe the formal process to follow in your country to access government information.
b. List the gaps in your knowledge of this formal process.
c. Which of these gaps would you need to fill for your budget advocacy work?

4. PAIR SHARING 10 MINUTES

Request participants to find one person who they would like to share their findings with, as well the access to information context for that participant’s country.

5. INPUT: SOURCES OF INFORMATION TO SUPPORT OUR EVIDENCE-BASED ADVOCACY 15 MINUTES

Introduce this input by explaining that there are some alternative ways of obtaining budget information besides the budget documents that were listed.

- Budget information may be available on official government websites, including:
  - the ministry of finance
  - the ministry of planning
  - the presidency
  - the official statistics institute
  - sector-specific ministries
  - local governments
  - the central bank

- Budget information may be available from international institutions including:
  - World Bank country reports
  - UNDP global and country reports
  - Transparency International corruption reports
  - Reports from agencies working in a country
  - Information in the hands of the above-mentioned agencies
• Budget information can be obtained by:
  ➢ Requesting information from agencies working in a country.
  ➢ Reviewing what is available in the Congress or Parliament—they should have this information.
  ➢ Using the access to information law if it exists in the country.
  ➢ Review information that is available through donor agencies and multilateral allies.
  ➢ Review the sites of international organizations to find information specific to a country.
  ➢ Locate and meet with NGOs to share information and perspectives.
  ➢ Partner with academic institutions and research centers.

• Participants will find notes on the information presented during this input in READING 3.2 SOURCES OF INFORMATION TO SUPPORT OUR EVIDENCE-BASED ADVOCACY in their Workbooks.

6. TASK 3.3 ■ BARRIERS TO ACCESSING INFORMATION 20 MINUTES

• Aim: to identify typical barriers to accessing budget information and to develop ideas for overcoming these barriers.

• Introduce this task by highlighting the following points:
  ➢ Budget documents maintained by national governments frequently do not disclose all the information in a format that is in line with international good practices.
  ➢ However, lack of transparency in budgets is affected by many other reasons.
  ➢ This session will focus on the typical barriers to accessing information at national and local levels and discuss techniques of overcoming these barriers.

• Invite participants to help you brainstorm some typical barriers to accessing information. Ask anyone from the group to call out their ideas and list these on flip chart paper.

• Participants can also record their ideas on the worksheet TASK 3.3 ■ BARRIERS TO ACCESSING INFORMATION in their Workbooks.

• A typical list of barriers could include:
  ➢ Lack of knowledge or limited knowledge on what information is kept by the government.
  ➢ Lack of knowledge or limited knowledge on which government department keeps the information you want.
  ➢ Lack of knowledge or limited knowledge on which government official keeps the information you want.
  ➢ The government official who has the information you need is repeatedly evasive, not available or absent when you visit his/her office.
  ➢ Government official(s) respond with hostility when you request information.
  ➢ Record keeping practices are poor and documents are not available or only partly available in government office(s).
  ➢ Records are maintained in very poor condition and are illegible.
  ➢ Records are voluminous and technical.
  ➢ Records are misleading or contradictory.
  ➢ Websites are not updated or contain very large files that are difficult to download or internet access is weak.

• Place this list in a prominent place in the venue.
7. **Task 3.4 ■ Strategies for Overcoming Barriers** 20 MINUTES

- **Aim**: for participants to draw on their own experiences and knowledge to identify possible solutions for overcoming barriers to budget information.

- Provide participants with flashcards (one color only). Ask participants to write down some typical strategies for overcoming barriers to budget information. One example only should be written on each flashcard.

- Stick a clean sheet of flipchart paper up on the wall next to the one where participants brainstormed barriers to accessing budget information. Invite participants to stick their solutions up on the clean sheet.

- Ask participants to gather around the two flipcharts. Briefly review and acknowledge the strategies emerging from the group. Invite participants to record some or all of the strategies in their Workbooks at **Task 3.4 ■ Strategies for Overcoming Barriers**.

- While participants are standing around the flipcharts, add to their by confirming or highlighting the following strategies.

### Strategies for Overcoming Barriers of Access to Information

**Identify Sympathetic Officials**

- No government is a monolith: while some public officials are hostile to civil society’s requests for information and assistance, others are extremely forthcoming.

- The latter can be critical allies in an effort to obtain information on public programs.

- To win over officials who are less forthcoming but not completely opposed, civil society groups can try to persuade them of the need for transparency, provide an example of how transparency would benefit them, and/or appeal to their egos by offering them an opportunity to showcase their work.

- One way to obtain information from hostile officials is to pressure them, such as by going over their heads, i.e., appealing to their bosses.

- Alternatively, civil society organizations can also work to build a relationship of trust with both officials who are not completely supportive as well as those who are initially hostile to them.

**Use “Right to Information” Laws**

- Approximately 90 countries around the world have laws that guarantee citizens the right to information.

- An access to information law can be central to an organization’s strategy for conducting a social audit.

- Even if their country has such a law, however, groups will not always be able to obtain needed information.

- Information requests can run into a variety of obstacles, including claims that files are missing or that their disclosure would harm national security.

- An excellent collection of studies on access to information laws, including implementation problems, is available at [www.freedominfo.org](http://www.freedominfo.org).
USE INDIVIDUAL AGENCY DISCLOSURE POLICIES, COURTS, AND CIVIL PETITIONS

- In countries where there is no law guaranteeing access to information, individual agencies may sometimes have disclosure policies or charters on citizen rights that can provide for such access.
- Some countries that do not have access to information laws do have provisions or laws for access to public procurement information.
- In other countries, the national constitution may protect individual liberties that include the right to information.
- Citizens have successfully used constitutional provisions to file petitions in national courts to obtain information, though this is obviously a complicated process that can take years to complete.

COLLABORATE WITH AUDITORS, LEGISLATORS, AND DONORS

- Public audit institutions can be an excellent source of information.
- Legislators too often have much more information on public projects than ordinary citizens do, and civil society groups may be able to obtain extensive information through a sympathetic legislator.
- Similarly, in countries that are highly donor-dependent, donor organizations may have access to information on public projects – especially the projects these donors fund.
- Donors may be very forthcoming to a social audit process given their interest in ensuring that the funds they have donated are spent properly.

DIRECT ACTION AND CAMPAIGNS

- The pioneer of non-violent direct action, Mahatma Gandhi, encouraged the use of direct action campaigns to demand changes from the government.
- He described the government response to such a campaign as follows: “First they ignore you, then they laugh at you, then they fight you, then you win.” Organizations that are repeatedly denied information might choose a strategy that relies on direct non-violent confrontation with the government agency that denies them information.
- Such a strategy should be undertaken only after careful deliberation given its possible consequences, including violent retribution from the government.

KEEP IN MIND

- When conducting analysis and advocacy work using aid and/or budget information, don’t jump to conclusions about the information or data that you cannot see. Be honest about the limitations of your findings, stressing that they are based on the limited information that is available.
- When publicly available information is limited, use this as an opportunity to demand more information so that you can have a better understanding of what is really happening with regard to the particular development issue that you are working on.
- It is valid to make your own choices and decisions regarding the use of limited data and/or incomplete information in your advocacy work, but always explain these decisions. If the government says that you are wrong, ask them to offer a more complete picture.

Participants will find information on the strategies outlined above in READING 3.3 ■ STRATEGIES FOR OVERCOMING BARRIERS TO BUDGET INFORMATION in their Workbooks.
## TASK SHEET 3.1: MATCH THE BUDGET DOCUMENTS

Match the names of the budget documents in the left-hand column with the definitions in the right-hand column.

<table>
<thead>
<tr>
<th>BUDGET DOCUMENTS</th>
<th>DEFINITIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>A PRE-BUDGET STATEMENT</td>
<td>1 A document that is released on a monthly or quarterly basis to report on the implementation of the budget.</td>
</tr>
<tr>
<td>B IN-YEAR REPORT</td>
<td>2 A non-technical representation of the terms and the concepts in the budget which can be understood by citizens that do not have technical background in budgets or fiscal policy.</td>
</tr>
<tr>
<td>C EXECUTIVE’S BUDGET PROPOSAL</td>
<td>3 A document issued by the country’s watchdog organization that attests to whether public resources have been utilized effectively.</td>
</tr>
<tr>
<td>D AUDIT REPORT</td>
<td>4 A document which is produced during the first phase of the Executive’s Formulation of the budget and which discloses the parameters of the budget for the upcoming year.</td>
</tr>
<tr>
<td>E ENACTED BUDGET</td>
<td>5 A document that contains a comprehensive update on the implementation of the budget, including a review of the economic assumptions underlying the budget and an updated forecast of the budget outcome for the current budget year.</td>
</tr>
<tr>
<td>F CITIZENS BUDGET</td>
<td>6 A document that reports extensively on the government’s fiscal activities and the government’s performance.</td>
</tr>
<tr>
<td>G MID-YEAR REVIEW</td>
<td>7 A document which should be made available to the public before the actual budget law is passed by the legislature.</td>
</tr>
<tr>
<td>H YEAR-END REPORT</td>
<td>8 A document which is passed into law by the legislature as the budget to be implemented for the upcoming financial year.</td>
</tr>
</tbody>
</table>
TASK SHEET 3.2: FORMAL ACCESS TO INFORMATION PROCESS IN MY COUNTRY

a. Describe the formal process to follow in your country to access government information.

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b. List the gaps in your knowledge of this formal process.

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c. Which of these gaps would you need to fill for your budget advocacy work?

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__________________________________________________________________________
READING 3.2: SOURCES OF INFORMATION TO SUPPORT OUR EVIDENCE-BASED ADVOCACY

- Budget information may be available on official government websites, including:
  - the ministry of finance
  - the ministry of planning
  - the presidency
  - the official statistics institute
  - sector-specific ministries
  - local governments
  - the central bank.

- Budget information may be available from international institutions including:
  - World Bank country reports
  - UNDP global and country reports
  - Transparency International corruption reports
  - Reports from agencies working in a country
  - Information in the hands of the above-mentioned agencies

- Budget information can be obtained by:
  - Requesting information from agencies working in a country.
  - Reviewing what is available in the Congress or Parliament - they should have this information.
  - Using the access to information law if it exists in the country.
  - Review information that is available through donor agencies and multilateral allies.
  - Review the sites of international organizations to find information specific to a country.
  - Locate and meet with NGOs to share information and perspectives.
  - Partner with academic institutions and research centers.
READING 3.3: STRATEGIES FOR OVERCOMING BARRIERS TO BUDGET INFORMATION

IDENTIFY SYMPATHETIC OFFICIALS

- No government is a monolith: while some public officials are hostile to civil society’s requests for information and assistance, others are extremely forthcoming.
- The latter can be critical allies in an effort to obtain information on public programs.
- To win over officials who are less forthcoming but not completely opposed, civil society groups can try to persuade them of the need for transparency, provide an example of how transparency would benefit them, and/or appeal to their egos by offering them an opportunity to showcase their work.
- One way to obtain information from hostile officials is to pressure them, such as by going over their heads, i.e., appealing to their bosses.
- Alternatively, civil society organizations can also work to build a relationship of trust with both officials who are not completely supportive as well as those who are initially hostile to them.

USE "RIGHT TO INFORMATION" LAWS

- Approximately 90 countries around the world have laws that guarantee citizens the right to information.
- An access to information law can be central to an organization’s strategy for conducting a social audit.
- Even if their country has such a law, however, groups will not always be able to obtain needed information.
- Information requests can run into a variety of obstacles, including claims that files are missing or that their disclosure would harm national security.
- An excellent collection of studies on access to information laws, including implementation problems, is available at www.freedominfo.org.

USE INDIVIDUAL AGENCY DISCLOSURE POLICIES, COURTS, AND CIVIL PETITIONS

- In countries where there is no law guaranteeing access to information, individual agencies may sometimes have disclosure policies or charters on citizen rights that can provide for such access.
- Some countries that do not have access to information laws do have provisions or laws for access to public procurement information.
- In other countries, the national constitution may protect individual liberties that include the right to information.
- Citizens have successfully used constitutional provisions to file petitions in national courts to obtain information, though this is obviously a complicated process that can take years to complete.
COLLABORATE WITH AUDITORS, LEGISLATORS, AND DONORS

- Public audit institutions can be an excellent source of information.
- Legislators too often have much more information on public projects than ordinary citizens do, and civil society groups may be able to obtain extensive information through a sympathetic legislator.
- Similarly, in countries that are highly donor-dependent, donor organizations may have access to information on public projects – especially the projects these donors fund.
- Donors may be very forthcoming to a social audit process given their interest in ensuring that the funds they have donated are spent properly.

DIRECT ACTION AND CAMPAIGNS

- The pioneer of non-violent direct action, Mahatma Gandhi, encouraged the use of direct action campaigns to demand changes from the government.
- He described the government response to such a campaign as follows: “First they ignore you, then they laugh at you, then they fight you, then you win.” Organizations that are repeatedly denied information might choose a strategy that relies on direct non-violent confrontation with the government agency that denies them information.
- Such a strategy should be undertaken only after careful deliberation given its possible consequences, including violent retribution from the government.

KEEP IN MIND

- When conducting analysis and advocacy work using aid and/or budget information, don’t jump to conclusions about the information or data that you cannot see. Be honest about the limitations of your findings, stressing that they are based on the limited information that is available.
- When publicly available information is limited, use this as an opportunity to demand more information so that you can have a better understanding of what is really happening with regard to the particular development issue that you are working on.
- It is valid to make your own choices and decisions regarding the use of limited data and/or incomplete information in your advocacy work, but always explain these decisions. If the government says that you are wrong, ask them to offer a more complete picture.
TASK SHEET 3.3: BARRIERS TO ACCESSING INFORMATION

Budget documents maintained by national governments frequently do not disclose all the information in a format that is in line with international good practices. There are also many other factors contributing to lack of transparency in budgets.

What are some typical barriers that members of CSOs experience when they try to access information for their budget advocacy?

Brainstorm as many barriers as you can think of and record your ideas below.

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TASK SHEET 3.4: STRATEGIES FOR OVERCOMING BARRIERS

Think about the barriers you have just identified. What strategies can be used to overcome these barriers in access to budget information?
MODULE 4

BUDGET ADVOCACY
(PART I)
# MODULE 4  ❖ BUDGET ADVOCACY

## SUMMARY TABLE

<table>
<thead>
<tr>
<th>Duration of this module</th>
<th>12 sessions</th>
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</thead>
<tbody>
<tr>
<td><strong>Structure of this module</strong></td>
<td>This module consists of the following 12 sessions:</td>
</tr>
<tr>
<td></td>
<td>SESSION 7  ▪ Introduction to budget advocacy</td>
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<td>SESSION 8  ▪ Elements of an advocacy strategy</td>
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<td>SESSION 9  ▪ Advocacy strategies in practice</td>
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<td>SESSION 10 ▪ Coalition &amp; Alliance Building</td>
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<td>SESSION 20 ▪ Media &amp; Communication</td>
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<td></td>
<td>SESSION 21 ▪ Media &amp; Communication</td>
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<td></td>
<td>SESSION 22 ▪ Intro. to Budget Advocacy Planning and Advocacy Group Work I</td>
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<td>SESSION 23 ▪ Advocacy Group Work II</td>
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<td>SESSION 24 ▪ Advocacy Group Work III</td>
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<td></td>
<td>SESSION 25 ▪ Advocacy Group Work IV</td>
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<td></td>
<td>SESSION 26 ▪ Group work presentations &amp; feedback</td>
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<td></td>
<td>SESSION 27 ▪ Group work presentations &amp; feedback</td>
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</tbody>
</table>
Readings and Task Sheets

- In the Participants’ Workbooks:
  - READING 4.1 ■ Advocacy scenarios
  - READING 4.2 ■ Setting an advocacy objective
  - READING 4.3 ■ Other elements of an advocacy strategy
  - READING 4.4 ■ Networks, Coalitions, and Alliances
  - READING 4.5 ■ Introduction to media
  - READING 4.6 ■ Guidelines for working with media
  - READING 4.7 ■ Sample media
  - READING 4.8 ■ Some key media terms
  - READING 4.9 ■ Community-based media
  - TASK SHEET 4.1 ■ Challenges to budget advocacy
  - TASK SHEET 4.2 ■ Sharpening an advocacy objective
  - TASK SHEET 4.3 ■ Overcoming challenges to budget advocacy
  - TASK SHEETS 4.4, 4.5, 4.6: Drafting and evaluating a SMART budget advocacy objective for HMHC
  - TASK SHEET 4.7 ■ As Citizens of the Republic of Polarus
  - TASK SHEET 4.8 ■ Why are alliances good for budget advocacy?
  - TASK SHEET 4.9 ■ Building an Alliance
  - TASK SHEET 4.10 ■ Media Strengths & Weaknesses
  - TASK SHEET 4.11 ■ Practicing Media Skills
  - TASK SHEET 4.12 ■ Budget advocacy planning for HMHC
  - TASK SHEET 4.13 ■ Bringing It All Together

**LEARNING OUTCOMES FOR THIS MODULE**

By the end of this module, participants will have:

- described the key elements of an advocacy strategy;
- developed a strategic budget advocacy objective;
- recognized the relevance and importance of developing a budget advocacy strategy;
- linked budget analysis to an advocacy strategy;
- appreciated the importance and potential of alliances and coalitions in budget advocacy work;
- summarized the requirements for building effective coalitions and alliances;
- identified potential allies for budget advocacy work;
- highlighted the importance of using the media for an advocacy campaign;
- recognized the value of different types of media for advocacy work, including traditional mass media and community-based media;
- explained various techniques for gaining media attention;
• formulated a clear budget advocacy message;
• framed advocacy messages for different audiences; and
• prepared and delivered basic budget advocacy presentations.

RESOURCES NEEDED FOR MODULE 4 (Sessions 7-10)
• Flipchart paper, markers, and tape
• Different types of chocolates or sweets
• Post-It notepads (four different colors)
• Word Wise Web cards
• For Session 10: four tables arranged around the room with five chairs at each table
SESSION 7

INTRODUCTION TO BUDGET ADVOCACY

*Duration of session: 1 hour and 45 minutes*

**STRUCTURE OF THE SESSION**

1. Ice-Breaker ■ Name Game 10 minutes
2. Brainstorm 10 minutes
3. Task 4.1 ■ Challenges to budget advocacy 35 minutes
4. Gallery Walk 10 minutes
5. Facilitator input: Developing an advocacy strategy 30 minutes
6. Energizer – Word Wise Web 15 minutes

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**1. ICE-BREAKER ■ NAME GAME 10 MINUTES**

*Aim:* to practice each other’s names.

- Arrange participants and facilitators in a circle.
- Go around in the circle and ask everyone to state their name, e.g. “My name is Nader”.
- Start the name game: Ask the person on your right to repeat their name again.
- Then introduce yourself, as well as the person on your right, to the person on your left. For example, turn to the person on your left and state: “My name is Nader, and let me introduce you to my friend Pippa.”
- The person to your left will then say: “Pleased to meet you.” Then turning to his/ her left, he states: “My name is Jen, I would like you to meet my friends Pippa and Nader.”
- Repeat until the last person (in this instance Nader) introduces the full group.

**2. BRAINSTORM 10 MINUTES**

a. Why do we do BUDGET ADVOCACY?

b. What do we aim to achieve with BUDGET ADVOCACY?

- Ask participants to brainstorm responses to these two questions. Check that the following aims of budget advocacy are covered:
  - improvements in budget policies, laws, and systems (public financial management);
  - changes in the balance of power relations (between the government and civil society/citizens);
  - improvements in transparency, accountability, oversight, and participation in the budget process; and
  - improvements in budget formulation (allocations) and budget implementation (service delivery)

   **ULTIMATELY, WE DO BUDGET ADVOCACY TO IMPROVE THE WELL-BEING OF POOR AND MARGINALIZED POPULATIONS.**
3. **Task 4.1: Challenges to Budget Advocacy**  

**Aim:** to identify challenges and concerns for conducting budget advocacy.

**Note:** Task 4.1 focuses on identifying challenges and concerns relating to budget advocacy work, using selected advocacy scenarios as a basis for discussion. Later on Day 2, in Session 8, participants will then identify ways to address these challenges.

**Materials:**
- 4 different color flashcards; 4 flashcards per color
- 4 Flipcharts, with selected scenarios, one per flipchart, as the title of the flipchart

**Facilitator input:**
- Most participants have some advocacy experience - some have good relationships with the executive, journalists, members of the legislature and with different civil society groups.
- Doing budget advocacy demands a strategy that draws on evidence to support that advocacy. This research evidence should be produced in a credible, timely and accessible manner. Budget advocacy also demands persistent, all year round work.
- This exercise requires participants to think about the advocacy-related challenges faced by groups and ways of overcoming these challenges.

**Procedure for the activity:**
- Use the treats to divide participants into groups of four or five.
- Refer participants to **Reading 4.1: Advocacy Scenarios** in their Workbooks. Allocate one scenario to each of the groups.
- Each group should discuss one scenario and provide four challenges to report back on. Request that participants write up their four challenges on flashcards – one challenge per flashcard, in legible writing.
- Participants can also record their challenges in their Workbooks at **Task 4.1: Challenges to Budget Advocacy**.
- Allow the groups around 15 minutes to complete the task. In the meantime, prepare four flipcharts with one selected scenario per flipchart.

4. **Gallery Walk**  

**Aim:** to summarize the contributions made by the different groups.

- When the groups have finished writing their flashcards, ask them to stick them up on the relevant flipchart.
- Invite participants to walk from one chart to the next to read what the other groups have discussed as challenges and concerns in their scenarios.
- Do not invite a report back at this point. Plenary discussion of the scenarios will follow after **Task 4.3: Overcoming Challenges to Budget Advocacy**.
5. FACILITATOR INPUT: DEVELOPING AN ADVOCACY STRATEGY  30 MINUTES

Note: This input is supported by presentation slides from the file MODULE 4 Budget Advocacy Slides (Session 7).

Aim:
- to understand the importance of developing a budget advocacy strategy;
- to illustrate how to develop a strategy; and
- to show different ways to strategize.

Participants will find information on content of this presentation in their Workbooks in READING 4.2 ■ SETTING AN ADVOCACY OBJECTIVE.

NOTES ON SLIDES

SLIDE 2: Module Learning Objectives
- Introduce participants to the learning objectives.

SLIDE 3: Successful Budget Advocacy Requires…
- Explain what is required for successful budget work.

SLIDE 4: Key Components of an Advocacy Strategy
- Explain the key components of an advocacy strategy.

SLIDE 5: Strategic Analysis
- Provide the elements of Budget Advocacy Strategic Analysis.

SLIDE 6: Advocacy Objective
- Objectives show very clearly and specifically what action civil society wants government to take, who in government should take that action (and who will benefit from that action), how that action should be taken, when it should be taken, and where.
- The more information and evidence you have about your issue, the political/social/economic context, the opportunities available for engagement, and the actors involved, the clearer your objective is likely to be.
- Our objectives tell us: who (refers to decision maker and beneficiaries), what, where, how, and when.

SLIDE 7: Objective – Specific
- Don’t just state what the problem is (e.g., many people don’t have clinics close to where they live).
- For the objective to be specific, you must state the solution that you would like to see, e.g., the Ministry of Health must provide accessible, well-resourced clinics in rural villages where there is no clinic within a 20-km radius.
- To be even more specific, you should state the ministry, department, or agency – e.g., the Ministry of Health – that you want to take action (rather than just “government,” which is too general).
• It is too vague and general to set as a goal: “to provide accessible clinics for all.” Rather, set a specific goal to prioritize the provision of health clinics to those who need it the most (i.e., those in rural areas who do not have a clinic within 20 km of their villages).

SLIDE 8: Objective – Measurable

• Provide the numbers so that you can evaluate your achievements at the end of your campaign. At this stage of the workshop, “measurable” refers to the number of goods and services that you want to see delivered, not the budget amounts in question. (Participants will add the budget dimension of measurability once they have a solid foundation in understanding the development objective they want to achieve.)
• It is not sufficient to state that the “government must speed up its construction of health clinics,” because the increase could be very small and not what you are advocating for. The government could construct 10 additional clinics and still meet such an objective.
• There’s an old saying: “Be careful what you wish for, it may just come true.” Therefore, state the number of goods, structures, or services that you want the government to deliver. Where norms and standards exist for the quality of service delivery, make sure that your objective also incorporates these measures.
• Acknowledge that not all problems can be solved simply by providing more physical goods or services, e.g., discrimination against girl children.
• Pause after this slide and invite questions, comments, or points of clarification.

SLIDE 9: Objective – Achievable, Realistic, and Timebound

• Consider what is possible in the current context and how it can realistically be achieved.

SLIDE 10: The ART in SMART (cont.)

• Partners in a coalition will probably not commit to objectives that are too far out of reach.
• If the objective demands improvement in service delivery, propose how this can be achieved.

SLIDE 11: The ART in SMART (cont.)

• Draw the attention to the difference between activities and impact.

SLIDE 12: The ART in SMART (cont.)

• Always set a timeframe for the objective: this financial year, over the next three years, by 2015.
• For big and long-term goals, think about progressive realization. Progressive means that if the government cannot immediately achieve what you are asking for, it should at least have a medium to long-term plan for attaining it. This makes it possible to hold the government to account for following a plan on a year-by-year basis.
• For example, over the period 2012-2014, how can this be done? 70 better resourced primary health clinics by end 2012, an additional 70 by end 2013, and an additional 60 by end 2014.
• Ask participants for comments, questions and points of clarification.

6. ENERGIZER – WORD WISE WEB

• Aim: To add an informal and fun dimension to the session, while also giving participants a task to reflect on their learning of the session.
MONITORING BUDGET IMPLEMENTATION
Facilitator's Manual

- Photocopy the word cards of the WWW that appear at the end of this session, and cut the sheets up so that each word is on a different piece of paper or card. There should be a full set of 7 cards for each group.
- Divide participants into groups of 5. Give each group a set of WWW cards and invite the participants to re-arrange the words to form a seven-word sentence.
- Ask participants to complete the sentence: “Successful budget advocacy work….”
- **Answer:** Successful budget advocacy work… requires access to credible and timely information.

END SESSION 7
READING 4.1: ADVOCACY SCENARIOS

SCENARIO #1

Your education alliance has a reputation for its success in lobbying for changes in education policy and service delivery. Your strengths are alliance building with grassroots organizations and organizing protests and marches. Your organization also has strong links with parent-teacher organizations across the country. Recently, your organization identified the usefulness of using budgets as a tool to support your advocacy for improved equity in education across the country. You also want to advocate for fee free schools for less advantaged communities.

SCENARIO #2

Your organization, a local NGO, is a member of a national poverty alleviation campaign. Your organization wants to push for citizen participation in local government budget planning and for greater budget accountability at local government level. The government does not have a formal public participation policy and has never included civil society in their policy planning processes.

SCENARIO #3

You are a research think-tank that specializes in monitoring government budgets. You have a reputation of producing credible research; however, you do not engage in persistent advocacy nor do you have links with campaigns and NGOs outside of your area of research. Over the last seven years, your organization has consistently made submissions to the legislature's finance committee in response to the budget tabled in parliament. You have developed a very good relationship with this committee, the national Department of Finance and some key sub-national departments of finance, too. In this year's budget government is proposing a substantial increase in the defense budget to purchase military vehicles. (Your country is not at war, nor is there the threat of war.) After the tabling of the budget, the members of the legislature refused to pass the budget. After numerous negotiations with the president of the country and the speaker of the legislature, the legislature was forced into early recess. Hence, the budget has still not been passed.
SCENARIO #4

One year ago your organization developed a draft advocacy strategy for the decentralization of mental health delivery. For the past year, you have researched and collected tons of information needed as evidence to support your strategy. However, over the last three months, there have been substantial changes in the executive, the legislature and key departments like the department of finance. The prime minister was fired for alleged corruption, the legislature was dissolved and the new legislature is being sworn in. Many of the top officials in the department of finance, whom your researcher has worked with, have resigned.

SCENARIO #5

Your organization conducts HIV/AIDS budget monitoring. During a recent investigation you discovered that despite government’s very progressive program of action for HIV/AIDS, governments’ budgeting for the implementation of this program is inconsistent with the plan. It appears that there is no link between the program and the budget. Your investigation also showed that, since the inception of the program five years ago, the Budgeting Department in the Department of Health has failed to provide adequate budget plans for the implementation of the program. The Department of Finance has several times expressed their disapproval at the poor management of the budget process within the Department of Health. The country’s largest HIV/AIDS social movement has discussed with your organization the possibility of legal action.

SCENARIO #6

Three months ago your organization, a research think tank, was alerted by a member of the legislature who alleges that funds for a government program set up for maternal health have been misused. The member alleged that these funds have been diverted from the Department of Health to a private, anti-abortion organization with links to a different, senior member of the legislature. Your organization investigated the matter and found that the allegation is in fact true.
TASK SHEET 4.1: CHALLENGES TO BUDGET ADVOCACY

Consider the advocacy scenario allocated to your group by the facilitator. In the space below, brainstorm any challenges you can think of that you could face in this scenario.

SCENARIO ALLOCATED TO OUR GROUP ________________

CHALLENGES

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
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Select four challenges and write them up on the flashcards provided.
READING 4.2: SETTING AN ADVOCACY OBJECTIVE

- The five elements of an advocacy strategy are as follows:
  1. Strategic Analysis
  2. Advocacy Objective
  3. Stakeholder Analysis
  4. Advocacy Message (Development and Delivery)
  5. Schedule

- An advocacy objective should set out very clearly WHAT, WHO, WHEN, HOW, and WHERE. It needs to state:
  - WHAT action civil society wants government to take;
  - WHO in government needs to take this action (and WHO will benefit from this action);
  - WHEN this action should be taken (i.e., at what stage in the budget cycle);
  - HOW this action should be taken (i.e., how the change you’re proposing can be implemented); and
  - What geographical areas will benefit from this action (WHERE). The “where” should indicate the area(s) that have the most need, i.e., where the problem that you are trying to address is most critical (e.g., urban slums in the capital city.)

- The more information and evidence you have about your issue, the political/social/economic context, the opportunities available for engagement, and the actors involved, the clearer your objective is likely to be.

- Your advocacy objectives should be SMART. That is, each objectives should be:
  - S – Specific
  - M – Measurable
  - A – Achievable
  - R – Realistic/Result-oriented
  - T – Timebound

SPECIFIC

- Specify an action you want government to take.
- Be as clear and specific as you can. For example, it is too vague to set a goal to provide decent primary health clinics for all. Rather, set a specific goal to prioritize the construction of primary health clinics in rural villages where there is the most need.
• Your objective should not be a statement of the problem. It should be a statement of the solution that you would like to see implemented by decision makers.

MEASURABLE
• Be as exact as possible. You must be able to measure the change that you’re advocating for.
• Provide the numbers, so that you can evaluate your achievements at the end of your campaign.
• It is not sufficient to state that government should “speed up its construction of health clinics” or “build more health clinics.” An increase in the number of health clinics can be very, very small and not what you are advocating for. Government could build 10 additional health clinics and still meet such a vaguely stated objective.
• There’s an old saying that states: “Be careful what you wish for, it may just come true.” Therefore, clearly state the number of goods, structures, or services that you want government to deliver.
• Keep in mind that not all problems can be solved simply by increasing service delivery, e.g., discrimination against girl children.

ACHIEVABLE, REALISTIC/RESULT-ORIENTED, AND TIMEBOUND
• This is the ART in SMART.
• Making your advocacy objective achievable, realistic/result-oriented, and timebound means linking it directly to the stages in government’s budgeting, planning, and service delivery cycles:
  ➢ Consider what is possible in the current context and what can realistically be achieved.
  ➢ Always set a timeframe for the objective: this financial year, over the next three years, by 2015.
  ➢ State how government can achieve the increases or improvements in service delivery that you are proposing.
• Keep in mind that not everything can be changed immediately. Existing programs and budgets are often rigid due to political compromises and legal obligations.
• Describe the end result (IMPACT) and not what you plan to do (ACTIVITIES).
  ➢ How will people’s lives be different because of your advocacy?
• For big and long-term goals, think about progressive realization. (For example, if you want the government build 200 new primary health clinics, propose the following: build 70 health clinics by the end of 2012, build another 70 by the end of 2013, and build the remaining 60 by the end of 2014.)
• Partners in a coalition will probably not commit to objectives that are too far out of reach.
SESSION 8
ELEMENTS OF AN ADVOCACY STRATEGY

Duration of session: 1 hour and 45 minutes

<table>
<thead>
<tr>
<th>STRUCTURE OF THE SESSION</th>
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<td>1. Task 4.2 ■ Sharpening an advocacy objective</td>
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<tr>
<td>2. Facilitator Input: Other elements of an advocacy strategy</td>
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<tr>
<td>3. Welcome to Polarus</td>
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</table>

1. **Task 4.2 ■ Sharpening an advocacy objective**  

- Using four different types of treats, divide participants into four groups – you should have the same number of treats as the total number of participants. Ask each participant to take a treat and to organize themselves around the same type of treat.

- Allocate each group one of the following objectives:
  1. To improve access to education
  2. To demand better treatment for HIV+ people
  3. To create awareness among civil society about the housing crisis
  4. To improve the conditions of women living in poverty

- For ease of reference, the task appears on SLIDE 13 of the PowerPoint file *MODULE 4 Budget Advocacy Slides (Session 7)*.

- Ask participants to turn to **Task 4.2 ■ Sharpening an advocacy objective** in their Workbooks. Invite them to sharpen their allocated objectives so that they are SMART.

- After approximately 30 minutes, facilitate a report-back and discussion. Ask for a maximum of two volunteers to share their SMART objectives. Spend 10 minutes responding to the inputs from the two volunteers.

**ANSWERS TO TASK 4.2**

Some suggestions for how these objectives could be sharpened:

1. The advocacy objective is for government to improve access to primary education by appointing 300 additional qualified teachers and building 100 new schools over the next three years.

2. The advocacy objective is for government to ensure that anti-retroviral treatment is available to all HIV+ patients at primary and secondary health facilities throughout the country by 2015.

3. The advocacy objective is to conduct five workshops across 5 districts to reach 60 people active in civil society structures and exchange information on government’s housing promises, policies and delivery to date in the eastern part of the country. This information will be used to formulate a strategic plan by December 2010 for civil society to actively monitor government’s own housing delivery targets over the next two fiscal years.

4. The advocacy objective is for government to introduce a targeted social security grant to the 500,000 most income-poor woman-headed households with children under 12 living in peri-urban informal settlements, and to roll the grant out to 80% of the targeted beneficiaries over the next two years.
To summarize and draw this part of the session to a close, ask participants if their SMART objective answers all of the following questions:

- What does the group want to achieve?
- How will they achieve it?
- Does the objective have a timeline?
- Once the group has achieved their objective, how will they be able to measure their successes?
- Does the objective provide numbers, dates and amounts?
- Does it state where?
- Does it say who?
- Does it state how?

2. **INPUT: OTHER ELEMENTS OF AN ADVOCACY STRATEGY** 30 MINUTES

Note: This input is supported by presentation slides from the file *MODULE 4 Budget Advocacy Slides (Session 8)*.

**NOTES ON SLIDES**

**SLIDE 2: Key Components of an Advocacy Strategy**

- Remind participants that in the previous session, they were introduced to the five main elements of an advocacy strategy. They then spent some time taking a deeper look at the first two elements on that list, and especially advocacy objectives and how to make them SMART.

- It is now time to go back and explore the other four elements of an advocacy strategy. This session will cover: Stakeholder Analysis, Budget Advocacy Messages (development and delivery), and Schedule (implementing your budget advocacy strategy).

**SLIDE 15: Stakeholder Analysis**

- A constituency is made up of individuals and organizations who will join you in your advocacy efforts. Having a constituency for your advocacy is critical, since it adds legitimacy, power, and credibility.

- Allies are those who can provide some support to you and your advocacy.

- Opponents are those who will be against your advocacy campaign, either because they stand to lose something or because they disagree with you.

- The decision makers are also referred to as “audiences” and are divided into two major groups:
  
  - The **primary audience** is essentially those groups and individuals who can give you what you are asking for in your advocacy objective, i.e. the decision makers. They are also the people who have the formal power to make the change that needs to happen.
  
  - The **secondary audiences** are groups who are able to put pressure on the primary audience.
SLIDE 4: Advocacy Message

- The advocacy message is what is said about the issue, its solution, and what action should be taken.
- The message is less about what you believe, and more about what the target audience needs to hear in order for them to take the desired action.
- Slogans are developed based on the advocacy message.

SLIDE 5: Message Development

- The message should present a clear, short statement about the problem, solution, and the action(s) that needs to be taken to implement the solution.
- Message development requires evidence to back up arguments.
- Ask participants if they recognize that the development of the SMART objective assists in the development of the advocacy message.
- Once the objectives are defined clearly, the message development (with the key components outlined in the previous slide) becomes easier.

SLIDE 6: Message Delivery

- Message delivery is your Communications Strategy for your advocacy campaign.
- The Messenger should be familiar with the advocacy objectives and the message.
- Even when there are different messengers, there should always be one unified message.
- Groups conducting budget advocacy have drawn on legal, economic, and media experts as messengers in their campaigns. In some countries, economists carry weight on the issue of the public budget, and some groups have used them as messengers for their campaigns.
- The campaign can create and build the messengers: the more public exposure they receive, the more they will be recognized as experts and public figures.
- Ask one or two participants to share who they have called on as messengers for their campaigns. Also ask them how they chose these messengers and whether these messengers ended up being suitable and effective.
- Conducting budget advocacy demands reaching a diverse audience. This requires strategic thinking about how the message will be delivered. Some ways to reach a wide range of people include: print, electronic, and social media; grassroots media, such as community theatre, puppetry, visual arts, and songs; public meetings/discussions; workshops; public hearings; rallies; protests; boycotts; strikes; etc.
- Ask one or two participants to share what are some of the media that they've used, and why they chose that media. Also ask them to discuss whether their choice of media ended up being the correct/most effective one, and whether they might choose differently if they were able to do it over again.
- The choice of media should consider the experience of the staff within the organization, as well as the audiences, the political environment, and the opportunities available.
SLIDE 7: Schedule

- Budget advocacy is directly linked to the stages of the budget process, which were covered in Module 2 (Defining the Problem).
- The Schedule component in an advocacy strategy is all about knowing when to intervene and who to target.
- There is always more than one stage of the Budget being implemented simultaneously. Knowing when the different stages are taking place will help to strategically plan which human resources will intervene and who to target.
- Experience by groups has shown that, generally, finance officials initially disregard the budget work produced by civil society. Convincing officials of the seriousness of the work, demands that research and information is produced in a credible, accessible, and timely manner.

SLIDE 8: closes the session
TASK SHEET 4.2: SHARPENING AN ADVOCACY OBJECTIVE

a) To improve access to education  
b) To demand better treatment for HIV+ people  
c) To create awareness among civil society about the housing crisis  
d) To improve the conditions of women living in poverty

1. Write out the UN-sharp objective that was allocated to your group:

   __________________________________________________________

2. Now re-write this objective so that it becomes a SMART Advocacy Objective. Remember what SMART is all about:
   
   **S** – **Specific**  
   **M** – **Measurable**  
   **A** – **Achievable**  
   **R** – **Realistic/Result-oriented**  
   **T** – **Timebound**

   The SMART Advocacy Objective is:

   __________________________________________________________

   __________________________________________________________

   __________________________________________________________

   __________________________________________________________

   __________________________________________________________
READING 4.3: OTHER ELEMENTS OF AN ADVOCACY STRATEGY

STAKEHOLDERS

- A constituency is made up of individuals and organizations that will join you in your advocacy efforts. Having a constituency for your advocacy is critical, since it adds legitimacy, power, and credibility.
- Allies are those who can provide some support to you and your advocacy.
- Opponents are those who will be against your advocacy campaign, either because they stand to lose something or because they disagree with you.
- The decision makers are also referred to as “audiences” and are divided into two major groups:
  - The primary audience is essentially those groups and individuals who can give you what you are asking for in your advocacy objective, i.e. the decision makers. They are also the people who have the formal power to make the change that needs to happen.
  - The secondary audiences are groups who are able to put pressure on the primary audience.

MESSAGES

- An effective advocacy message:
  - Presents a possible solution & action
  - Draws on evidence
  - Uses facts & numbers creatively and accessibly
  - Recognizes the political environment and opportunities
  - Is simple & brief
  - Uses real life stories & quotes
  - Adapts the message to the medium
  - Encourages audiences to take action

THE MESSENGER

- The messenger should be familiar with the advocacy objectives and the message.
- Even when there are different messengers, there should always be one unified message.
- Groups conducting budget advocacy have drawn on legal, economic, and media experts as messengers in their campaigns. In some countries, economists carry weight on the issue of the public budget, and some groups have used them as messengers for their campaign.
- The campaign can create and build the messenger: the more public exposure they receive, the more they will be recognized as experts and public figures.
THE MEDIUM/MEDIA

- Conducting budget advocacy demands reaching a diverse audience. This requires strategic thinking about how the message will be delivered. Some ways to reach a wide range of people include: print, electronic, and social media; grassroots media, such as community theatre, puppetry, visual arts, and songs; public meetings/discussions; workshops; public hearings; rallies; protests; boycotts; strikes; etc.
- The choice of media should take into consideration the experience of staff within the organization, as well as the audiences, the political environment, and the opportunities available.

SCHEDULE

- Budget advocacy is directly linked to the stages of the budget process. Different decisions are made at different stages of the budget process, and it is important to intervene before the decisions you want to change are being made.
- Budget advocacy requires year-round commitment. There will always be more than one stage of the budget process being implemented simultaneously; knowing when the different stages are taking place will help to strategically plan which staff members will intervene and whom to target.
- The experience of organizations has shown that, generally, finance officials initially disregard the budget work produced by civil society. Convincing officials of the seriousness of the work, demands that research and information is produced in a credible, accessible and timely manner.
SESSION 9
ADVOCACY STRATEGIES IN PRACTICE
Duration of session: 1 hour and 45 minutes

<table>
<thead>
<tr>
<th>STRUCTURE OF THE SESSION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Facilitator input: Recap &amp; summary</td>
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<tr>
<td>2. Task 4.3 ▶ Overcoming challenges to budget advocacy</td>
</tr>
<tr>
<td>4. Task 4.5, 4.6, 4.7 Drafting &amp; Evaluation a SMART Budget Advocacy Objective</td>
</tr>
<tr>
<td>5. Facilitator Input: Adding the Budget Dimension</td>
</tr>
<tr>
<td>6. Task 4.5 ▶ As Citizens of the Republic of Polarus</td>
</tr>
</tbody>
</table>

1. FACILITATOR INPUT: RECAP & SUMMARY  10 MINUTES

- Even though a strong and well-developed advocacy strategy is essential for effective budget advocacy work, no strategy you develop is ever cast in stone. Be prepared to adjust your strategy to changing circumstances in the socio-economic and political environment, as well as your own organizational context.

- Go to SLIDE 2 in the file MODULE 4 Budget Advocacy Slides (Session 9) to provide a summary of the key findings about successful budget advocacy work, based on IBP’s recent case studies.

SLIDE 2: Successful Budget Advocacy Makes Use of…

- IBP developed short case studies of civil society organizations that conducted successful budget advocacy work.

- These case studies included research on the strategies used and the successes & challenges experienced by ACIJ (Civil Association for Equality and Justice) in Argentina; Samarthan (Centre for Development Support) in India; the Treatment Action Campaign (TAC) in South Africa; the National Campaign for Dalit Human Rights (NCDHR) in India; the Omar Asghar Khan Development Foundation (OAKDF) in Pakistan; HakiElimu in Tanzania; and a coalition of CSOs in South Africa that advocated around the Child Support Grant.

- These case studies highlight the following:
  - the use of alternative strategies for conducting budget advocacy (e.g., litigation used by ACIJ in Argentina around the right to education)
  - using emerging opportunities for advocacy, for example, around major events (e.g., NCDHR held a high level press conference related to the 2010 Commonwealth Games that were held in India)
  - the effectiveness of collaboration between civil society organizations, for example, in coalitions (e.g., the Child Support Grant campaign in South Africa to increase the amount and range of beneficiaries eligible for the grant)
the use of aid and budget monitoring (e.g., OAKDF monitoring of earthquake relief funds in Pakistan)

the use of media in budget advocacy (e.g., HakiElimu in Tanzania conducted advocacy on the quality of education using billboards, radio & television spots, short films, and popular publications on various themes that made use of cartoons)

the use of multiple strategies (e.g., Samarthan used social audits, budget tracking, community mobilization, training of and advocacy with government officials, and media – press releases, media briefings, journalist training – for advocacy around the implementation of the National Rural Employment Guarantee Act)

2. Task 4.3: Overcoming Challenges to Budget Advocacy 30 minutes

Aim: to show different ways of strategizing for budget advocacy

Earlier in this module, participants started discussing a range of scenarios which posed some challenges to advocacy. Ask participants to return to their groups with the same scenarios and, considering what they have learned since then, discuss ways of overcoming the challenges they identified in their scenarios.

Answers can be recorded on the worksheet for Task 4.3 in the Participants’ Workbooks.

While participants are busy with this task, ensure that the lists of challenges which the groups brainstormed in Session 7 and wrote up on flipchart paper are clearly displayed and accessible.

3. Report-Back & Plenary: Challenges to Budget Advocacy and Strategies for Overcoming Challenges 25 minutes

Ask two groups to volunteer their discussions.

Start with one group and gather around the flipchart sheet on which the group recorded and displayed their challenges for the Gallery Walk in Session 7. Looking together at the challenges listed on the flipchart paper, invite the group members to give a quick overview of their strategies for overcoming these challenges.

Use the table below to inform your facilitation of this report-back discussion.
<table>
<thead>
<tr>
<th>Scenario</th>
<th>Challenges to Budget Advocacy</th>
<th>Ways of Overcoming Challenges</th>
</tr>
</thead>
</table>
| Scenario 1 | - The alliance lacks budget research capacity.  
- The alliance lacks experience in policy analysis.  
- It has a narrow base of supporters in the alliance. | - The alliance could engage the services of an organization that has experience with budget research.  
- Learn to understand budget research and how to use research to support advocacy - work with a research organization to develop a research agenda that supports advocacy objectives.  
- Broaden the alliance beyond grassroots organizations so there are connections between the national policy and budget making processes.  
- Connect national issues to sub-national issues.  
- Focus the advocacy: fee free schools and equity in education.  
- Connect the education experience of the alliance with budget experiences of other organizations. |
| Scenario 2 | - Closed government.  
- Local NGO with no budget experience.  
- No existing link to NGOs doing budget work.  
- Difficult to formalize civic participation and greater accountability. | - Learn more about how other groups with similar challenges have overcome the issue of a closed government - the MKSS experience could be a good case to learn more about;  
- Look for opportunities in the political and policy terrain that can be tapped.  
- Develop links with organizations focusing on budget issues and access to information.  
- Link the issue of closed government to a poverty issue, or another campaign they are involved in.  
- Study the budget process and actors involved – identify key officials to target. |
### Scenario 3
- Research think tank that does not have contact with other NGOs, almost ivory-tower like;
- To be able to mobilize in a timely way so that parliament can return to the house.
- How to conduct the budget analysis to support arguments in favor of an objective.
- How to provide research information to support parliamentarians in protest of the budget being tabled.
- Conducting research and mobilizing simultaneously.

**Ways of Overcoming Challenges**
- Establish links with advocacy groups and social movements.
- Advocacy groups and social movements to put persistent pressure on the legislature to reconvene, debate and make changes to the budget.
- Re-write research so that it is accessible and produced in time for when parliamentarians do reconvene in parliament.
- Build relationships with key members of parliament and provide research to support their position.
- Re-write research so that it is accessible to advocacy groups, social movements and secondary audiences.

### Scenario 4
- How to choose what information for advocacy.
- Different political environment to when the strategy was started.
- Target audience has shifted.
- Internal contacts have changed.

**Ways of Overcoming Challenges**
- Reconvene to strategize – who to target, i.e. primary audiences, how to use what information and for whom.
- Re-examine the components of the message delivery and adjust to the changes.
- Use opportunities that present themselves and turn these into opportunities for your advocacy goal and objective.

### Scenario 5
- How to use research for court action.
- Informing the social movement how to use the research for their advocacy.
- Supporting a legal team to understand the budget research and its findings.
- How to bring in the support of more NGOs to support the court action.
- Drawing in more like-minded groups to support the findings of the research.

**Ways of Overcoming Challenges**
- Understand what information is required for the court action.
- The social movement should know how to use the research for their message delivery outside of court; matching the medium to the audience.
- Plan strategically how to use the dissatisfaction expressed by the Department of Finance to strengthen the case.
### Scenario 6

<table>
<thead>
<tr>
<th>Challenges to Budget Advocacy</th>
<th>Ways of Overcoming Challenges</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Building a coalition and maintaining that coalition.</td>
<td>• Be strategic about how to use the information without jeopardizing the position of the member of the legislature who is the whistleblower.</td>
</tr>
<tr>
<td>• Challenging a senior member of the legislature.</td>
<td>• Bring together key interest groups.</td>
</tr>
<tr>
<td>• Making a case involving two members of the legislature – one a whistle-blower, the other party to corruption.</td>
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<tr>
<td>• Mobilizing constituencies who would potentially have benefited from the funds.</td>
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</tr>
<tr>
<td>• Gaining the trust of the media to break this story.</td>
<td>• Draw in authentic voices and public figures.</td>
</tr>
<tr>
<td>• Persistent work and follow up to the investigation and advocacy.</td>
<td>• Develop a power map to show who in the legislature can be an ally.</td>
</tr>
<tr>
<td></td>
<td>• Use existing policies and laws to strengthen the case.</td>
</tr>
<tr>
<td></td>
<td>• Continue research to support the campaign and to provide information to the legislature, constituencies affected and the media.</td>
</tr>
</tbody>
</table>

5. **Task 4.4, Task 4.5, Task 4.6: Drafting and Evaluating a SMART Budget Advocacy Objective for HMHC**

- Participants will get a first opportunity to draft their SMART budget advocacy objective for their Polarus HMHC project.
- Thereafter, each group will work together with another group (twinning) to assess one another’s draft objective.
- It would be useful if each group in the “group pairs” could develop and draft a single draft objective that they will use for the remaining part of the workshop.

6. **Facilitator input: Adding the Budget Dimension**

- **Note:** This input is supported by SLIDES 3 & 4 in the PowerPoint file *MODULE 4 Budget Advocacy Slides (Session 9)*.

### NOTES ON SLIDES

**INTRO. TO PRESENTATION**

- The next step in learning about budget advocacy work is to begin looking at the development challenges we face through a budget lens.
- The groups have now clarified exactly what objective they want to achieve for the work of HMHC.
- Why is it necessary and how does it help to add a budget dimension to the process?
SLIDE 3: Adding the Budget Dimension to Advocacy

- Firstly, this knowledge will help you to develop your **advocacy objective** even further than you have to date. It will allow you to understand what part of the budget may be contributing to the problem you want to address, as well as the solution you hope to bring about. With this understanding you can be even more **specific** about the objective you want to achieve.

- The knowledge you gather during Modules 2, 5, 6, 7 will help refine your budget advocacy objective. For example, you will have a much better idea about who in government is responsible for the decisions affecting your objective. This is the person or persons you should target as the **primary target** for your advocacy message.

- It will also allow you to identify possible **opponents** who might stand to lose if your advocacy objective is achieved.

- As you learn more about the politics and power-brokers in the budget process, you will gain invaluable insight into the triggers that make decision-makers sit up and listen. This will help you to plan how you will **frame your message** later on, in order to get the reaction you want.

- Understanding the budget process allows you to be aware of the series of decisions and actions that goes into the planning, budgeting, and delivery of any particular government service or program. This knowledge will help you to identify when in the budget cycle you would have to intervene in order to impact on future decisions. In this way you can begin to plan a **schedule** of advocacy activities against a much more certain timeline.

SLIDE 4: Adding the Budget Dimension (cont.)

- Analyzing the budget will also help you to illustrate why and how the solution you are proposing is **achievable**. For example, if you can show exactly how much funds are available in a certain program, and how they can be reallocated to serve the purpose you want, your objective is clearly achievable in practical terms.

- You could add certainty and detail to the **time-bound** aspect of your advocacy objective.

- Knowing where in the budget the problem lies, means you would also be able to pinpoint when changes in the budget would have to take place in order to bring about the solution you are advocating for.

- Analyzing the budget will help you to confirm the **primary audience** for your advocacy.

- Knowing what in the budget needs to change, you can make sure you target the right decision-maker(s) who can bring about the solution you are proposing.

- As you analyze the budget, you are also gathering vital information that you will ultimately use to develop your advocacy **message** and back up your arguments with facts and figures.

CONCLUSION

- Invite questions of clarification from the group. Make sure all the participants understand how the next three modules (monitoring methodologies) will build on the work they have done in Module 4.
6. TASK 4.7 ■ AS CITIZENS OF THE REPUBLIC OF POLARUS 10 MINUTES

- Before concluding for the day, inform the participants that there is one more set of tasks you would like them to be aware of. They will not be expected to complete these tasks before the end of the day. This is a longer-term assignment that they will work on over a few days.

- Ask the participants to turn to TASK 4.5 ■ AS CITIZENS OF THE REPUBLIC OF POLARUS in their Participants’ Workbooks. This task sheet outlines some of the assignments they will be expected to complete in the Polarus CSO groups. However, these tasks reflect only a small portion of the group work they will do over the next few days – and they need to be completed outside of formal training sessions.

- Make sure that the participants understand that TASK 4.4 has to be completed a) in their assigned Polarus groups and b) on their own time – overnight and/or before and after sessions.

- The assignments in TASK 4.5 complement one another. Even though each group will only work on one of the assignments, it will be important to pay careful attention to other groups’ report-backs and take the information generated by other groups into account.

- Agree on report-back times for all the assignments and make sure that the participants have noted these down on their Task Sheets.

- The report-backs can take place at dinner, at the start of the day’s work or over lunch, as long as adequate arrangements have been made with the facilitators.
TASK SHEET 4.3: OVERCOMING CHALLENGES TO BUDGET ADVOCACY

Look back to Task 4.1 and Reading 4.1 ■ ADVOCACY SCENARIOS. Consider, again, the challenges that you identified in relation to these scenarios in Session 7.

Taking into account what you have learnt in this module so far, brainstorm a list of possible solutions to overcome these challenges.

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TASK SHEET 4.4: A SMART ADVOCACY OBJECTIVE for HMHC

Consider all the information you have currently have for your development problem. Draft a SMART Budget Advocacy Objective.

**OUR SMART ADVOCACY OBJECTIVE IS:**

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

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________________________________________________________________________
TASK SHEET 4.5: ASSESSMENT FORM: HOW SMART IS THIS ADVOCACY OBJECTIVE?

Carefully consider the advocacy objective presented by the other group. Reflect on the following questions and provide them with fair and frank feedback.

<table>
<thead>
<tr>
<th></th>
<th>GUIDING QUESTIONS</th>
<th>NOTES</th>
</tr>
</thead>
<tbody>
<tr>
<td>S</td>
<td>How <strong>SPECIFIC</strong> is the objective?</td>
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<tr>
<td></td>
<td>Does it clarify <strong>what</strong> should be done?</td>
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</tr>
<tr>
<td></td>
<td>Does it say <strong>who</strong> should benefit?</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Does it spell out <strong>who</strong> must take action?</td>
<td></td>
</tr>
<tr>
<td>M</td>
<td>How <strong>MEASURABLE</strong> is this objective?</td>
<td></td>
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<tr>
<td></td>
<td>Does it give <strong>numbers</strong> of goods or services to be delivered?</td>
<td></td>
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<tr>
<td></td>
<td>Will it be possible to measure whether it has been achieved?</td>
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<tr>
<td>A</td>
<td>How <strong>ACHIEVABLE</strong> is this objective?</td>
<td></td>
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<tr>
<td></td>
<td>Does it take past housing delivery trends and government capacity into account?</td>
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<tr>
<td>R</td>
<td>How <strong>REALISTIC</strong> is this objective?</td>
<td></td>
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<tr>
<td></td>
<td>Does it take <strong>political dynamics</strong> into account?</td>
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<td></td>
<td>Does it recognize real resource and capacity <strong>constraints</strong>?</td>
<td></td>
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<tr>
<td>T</td>
<td>How <strong>TIMEBOUND</strong> is this objective?</td>
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<td></td>
<td>Does it specify a <strong>deadline</strong> by when it should be achieved?</td>
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<tr>
<td></td>
<td>Does it allow for <strong>progressive realization</strong> that can be monitored?</td>
<td></td>
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</tbody>
</table>
TASK SHEET 4.6: A SMART ADVOCACY OBJECTIVE for HMHC

Consider the discussions you’ve had with your twin group, and the feedback from TASK 4.5. Draft a consolidated SMART Budget Advocacy Objective.

**OUR CONSOLIDATED SMART ADVOCACY OBJECTIVE IS:**

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TASK SHEET 4.7: AS CITIZENS OF THE REPUBLIC OF POLARUS

The following tasks give you an opportunity to display your knowledge and pride as active citizens of Polarus. Work together in your groups to complete one of the tasks and present your work at the agreed report-back time. The facilitators will allocate one task to each group (some tasks may be omitted).

**TASK 4.6 A** Write a short National Anthem for the Republic of Polarus that reflects the history and characteristics of the nation, as conveyed in the course materials.

**TASK 4.6 B** Design a flag for the Republic of Polarus that reflects some important features of the country. Also write a short motto that reflects the spirit of the country and its people.

**TASK 4.6 C** Write a brief political, economic and cultural history of Polarus. Include a short personal profile of the founding mother/father of the nation.

**TASK 4.6 D** Choose a national bird and flower and design a Crest or Coat of Arms for the Republic of Polarus that reflects some important features of the country.

**TASK 4.6 E** Describe the National Dish of Polarus, and provide some of its history and a recipe for its preparation according to custom.

**REPORT-BACK TIMES**

Your facilitator will clarify the report-back times for each of the groups. Please note them down:

Presentation of the **National Anthem**

Presentation of the **Polarus Flag**

Presentation on **Polarus History**

Presentation of the **Coat of Arms**

Presentation of the **National Dish**
SESSION 10
ALLIANCE & COALITION BUILDING

Duration of session: 1 hour and 45 minutes

<table>
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<tr>
<th>STRUCTURE OF THE SESSION</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Presentation: Coalitions &amp; Alliances</td>
</tr>
<tr>
<td>2. Task 4.5 ■ Advocacy-Specific Reasons for Alliances</td>
</tr>
<tr>
<td>3. Facilitator Input: Building Coalitions &amp; Alliances</td>
</tr>
<tr>
<td>4. Task 4.6 ■ Scenario Anchors &amp; Roaming Teams</td>
</tr>
</tbody>
</table>

During this session participants will consider the stakeholders for their advocacy planning, with emphasis on identifying constituencies, allies and opponents.

1. PRESENTATION: COALITIONS & ALLIANCES 

Note: This presentation is supported by slides in the PowerPoint file Module 4 Coalitions & Alliances.

NOTES ON SLIDES

SLIDE 2: Aims of the Session
- Introduce participants to the aims of the session.

SLIDE 3: Coalition, Alliance, Network
- Organize to achieve an advocacy objective. Think about the strengths and commonalities that the different organizations bring to the coalition, alliance, or network.

SLIDE 4: Why are coalitions and alliances important for budget work?
- A common mistake is to believe that relevant budget analysis & information that we produce will automatically be useful for advocacy.
- Budget work can be complex, and it is hard to establish a direct relationship between an advocacy issue and the budget without demonstrating its social relevance.

2. TASK 4.8 ■ ADVOCACY-SPECIFIC REASONS FOR ALLIANCES 

- Aims: to connect what participants have learned in Sessions 7, 8, and 9; to draw on participants’ experiences of advocacy and coalition/alliance building; and to link these experiences to the demands of budget advocacy in particular.
MONITORING BUDGET IMPLEMENTATION
Facilitator's Manual

- Ask participants to turn to TASK 4.8 ■ WHY ARE ALLIANCES GOOD FOR ADVOCACY? in their Workbooks. Invite them to work individually and to write up ADVOCACY SPECIFIC reasons for forming alliances and coalitions.

- Participants will call out what they have written. Write their responses up on a sheet of flipchart paper.

- Ask participants if these reasons are different to reasons that they can think of for forming coalitions and alliances for budget work.

- Remind participants that these reasons are very similar to the responses outlined in the discussion on “ways of overcoming challenges to budget advocacy.”

3. FACILITATOR INPUT: BUILDING COALITIONS & ALLIANCES 10 MINUTES

Note: This presentation is supported by slides in the PowerPoint file Module 4 Coalitions & Alliances. Use Slides 5-8 to discuss how to build effective coalitions and alliances.

NOTES ON SLIDES

SLIDE 5: Key elements for building a successful budget-related coalition/alliance

- If the advocacy issue is not directly relevant to an organization’s mission and work, it will NOT commit to the coalition.

- The issue must have social relevance. Budget analysis is dominated by technical experts (elites). It is therefore important to promote its SOCIAL dimensions and value.

- When CSOs started conducting applied budget work, most of them focused on technical analysis and were regarded as “budget groups.” This has changed. More and more CSOs are seeing the value of budgets as a tool to support their own advocacy issues.

SLIDE 6: Potential Allies

- Parties not naturally interested in, or who do not see the relevance of the budget advocacy issue, will not commit the resources required for the advocacy to be successful.

SLIDE 7: Effective Coalitions and Alliances.

- Successful and effective coalitions using budgets as a tool for their advocacy have engaged in the ways outlined here.

SLIDE 8: Letting Go – When and Why It Is Important

- Every good story has a beginning and an end.

Note: Participants will find notes on the information covered in this presentation in READING 3.3 ■ NETWORKS, COALITIONS & ALLIANCES in their Workbooks.
5. **Task 4.9 ■ Scenario Anchors & Roaming Teams (Building an Alliance)**

**60 Minutes**

- **Aims:** The aims of this task are for the participants to:
  - Strategize about how to form coalitions
  - List potential allies for and advocacy issue
  - Understand the reason for selecting groups for the coalition/alliance

- Arrange four tables in a circle. Each table should have five chairs, so that there can only be five participants to every table at any given time.

- These scenarios are the same ones participants first encountered earlier in this Module. Of the five scenarios presented in the exercise, four are used again in this task.

- Invite two participants to anchor themselves at each table. In other words, eight participants in all (4 pairs) become anchored at the four tables. The pairs will stay with the same scenario for the whole task.

- The anchor pairs will also be responsible for writing up the responses to be shared later in the gallery walk.

- Invite the rest of the participants to form groups of three. They will be roaming around between the tables, but they must stick together as a group of three for the duration of the task. Participants can self-select who they want to work with.

- Ask the groups of roaming participants to take a place at one of the four tables and to discuss the table’s assigned scenario. There will always be five participants discussing the scenario on the table.

- The Scenario Anchor pair at each table begins each round by re-introducing the scenario to the visitors. Then everyone at the table is invited to contribute and discuss the situation.

- For the first round of talks, allow 15 minutes for participants to discuss the scenario on the table.

- Then signal that it is time for the Roaming Teams to move and explain carefully how they should do so. (If the roaming participants sit on the outer side of the circle, they can more readily get up and move clockwise when you give the signal.)

- For every round thereafter, allow 10 minutes for discussion at the tables. Each pair will move four times – this way they will end up at the first scenario they worked on.

- The questions to be discussed at the tables are set out in **Task 4.9 ■ Building an Alliance** in the Participants’ Workbooks:
  a. What is the budget advocacy issue in this scenario?
  b. List potential allies in civil society and give reasons for the choice of allies.
  c. List potential agenda items for a first meeting of potential allies coming together.

- Ask the Scenario Anchor participants to write up, legibly, and display the responses they gathered from their roaming visitors.

- All the participants then have an opportunity to walk around the room and read the responses from the task.

- Gather around one group’s presentation at a time to very, very briefly discuss the responses to the task. In facilitating this part of the session, look out for the points listed on the following page.
Scenario #1

- Advocacy issue: equity in education and fee-free schools.
- Potential allies: student bodies; children, youth and adolescent organizations; organizations with budget or public finance management research experience; NGO with a legal focus; education-focused national NGOs; campaigns, social movement and civil society groups that focus on poverty alleviation; marginalized children and youth groups, e.g. children with disabilities.

Scenario #2

- Advocacy issue: citizen participation and government accountability linked to poverty alleviation.
- Potential allies: NGOs working on access to information and civil society participation; local government focused NGOs, particularly those working on issues related to poverty alleviation; international organizations focused on access to information and advocating for civil society participation in government processes; researchers and advocates focusing on access to information and civil society participation in the budget.

Scenario #3

- Advocacy issue: misuse of funds in mental health service delivery.
- Potential allies: clients of the service; service providers; international organizations focusing on the issue of mental health; researchers or groups with experience in budget and public finance research and monitoring.

Scenario #4

- Advocacy issue: poor budget management in HIV/AIDS program implementation
- Potential allies: community-based organizations; service providers; international organizations focusing on HIV/AIDS; researchers or groups with experience in budget and public finance research and monitoring; social justice activists.

Potential agenda items for all scenarios:

- Appoint a chair or facilitator for the meeting.
- State the issue clearly, i.e. the reason for the meeting.
- The message to be transmitted and how the message will be transmitted.
- The time frame for the strategy – in some instances the time frame will be very limited, e.g., the case of the budget that must be passed in parliament.
- Roles and responsibilities over the short term.

- When adding information to the groups’ responses, be sure to mention that although there seems to be an emphasis on researchers who have experience in budget analysis and public finance, the IBP experience has shown that there are many experiences that contribute budget analysis.

- These experiences are not exclusively located with economists, academics or university-educated individuals. These skills can be developed over time – which is why the participants are in this course, after all!
READING 4.4: NETWORKS, COALITIONS, & ALLIANCES

DEFINITIONS

- An alliance is generally defined as a short-term relationship among organizations aimed at achieving a specific goal or outcome.
- A coalition is generally seen as a more formal collaborative structure that involves a long-term relationship among its members.
- A network is a more flexible association between groups that come together around a common idea or goal and that share information and ideas.

In practice, these definitions are used interchangeably. What matters is that all of them imply a more powerful, united voice for achieving change.


WHY ARE COALITIONS AND ALLIANCES IMPORTANT FOR BUDGET WORK?

- The budget is not usually perceived as a “natural” foundation for social action. But for budget analysis to have an impact it must be used STRATEGICALLY!
- Budget information by itself does not lead to political change.
- Coalitions/Alliances are able to increase the social and political value of budget analysis. They add a tried & tested advocacy strategy to a new cause.

KEY ELEMENTS FOR BUILDING A SUCCESSFUL BUDGET-RELATED COALITION OR ALLIANCE

- Be clear about the advocacy issue that you want to have an impact on.
- The issue must be directly relevant to all of the groups involved.
- Ensure that everyone involved knows and understands the advocacy issue.
- Conduct clear planning and set priorities.
- React to opportunities, drawing on the strengths of all of the parties in the coalition.
- Constantly follow up on new and past events.
- Set timeframes to achieve specific tasks and objectives.
- Make sure parties in the coalition/alliance are clear about their roles and responsibilities.
- Evaluate progress along the way and adapt the advocacy strategy as required.
POTENTIAL ALLIES

- Potential allies include communities, groups, and populations who are:
  - directly affected by the issue.
  - naturally interested in the issue.

- Potential allies also include communities, groups, and populations that can:
  - add strength and value to the coalition and alliance.
  - open access to power brokers.
  - bring in more support for the issue.

LETTING GO: WHEN AND WHY IT IS IMPORTANT?

- Identify and acknowledge the moment when the advocacy objective has been achieved and the work of the coalition has come to an end...and let it go!

- If other issues emerge and the collaboration was positive, you may think about reconstituting the coalition.

- When the objective has been achieved, coalition members can & should continue working together IF they continue to share common issues and the need for collaboration still exists.
TASK SHEET 4.8: WHY ARE ALLIANCES GOOD FOR BUDGET ADVOCACY?

Think about what you have already learned about advocacy, including all of the insights flowing from your own experience of civil society work. Then write down any BUDGET ADVOCACY specific reasons that you can think of for forming alliances and coalitions.
TASK SHEET 4.9: BUILDING AN ALLIANCE

In this task, you will either be a Scenario Anchor or a member of a Roaming Team:

- If you are a Scenario Anchor, you will only work on the one scenario allocated to your table. You will be responsible to keep track of the contributions of all the Roaming Teams visiting your table, and to present all the ideas on flipchart paper.
- If you are in one of the Roaming Teams, you will visit all four scenarios. For each of the scenarios, discuss questions a, b, and c and contribute your ideas about each.

SCENARIO #1

Your education alliance has a reputation for its success in lobbying for changes in education policy and service delivery. Your strengths are alliance building with grassroots organizations and organizing protests and marches. Your organization also has strong links with parent-teacher organizations across the country. Recently, your organization has identified the usefulness of monitoring budgets, specifically to track the delivery of teaching and learning materials to schools across the country. You also want to monitor whether or not the government is keeping to its commitment of providing free education to poor communities.

a. Name the budget advocacy issue.

b. List potential allies in civil society and give reasons for the choice of allies

1. 
2. 
3. 
4. 
5. 
6. 
7. 
8. 
9. 
10.

c. List potential agenda items for a first meeting of potential allies coming together

1. 
2. 
3. 
4. 
5. 
6. 
7. 
8. 
9. 
10.
TASK SHEET 4.9: BUILDING AN ALLIANCE (CONTINUED)

SCENARIO #2

Your organization, a local NGO, is a member of a national poverty alleviation campaign. Your organization wants to push for citizen participation in local government budget oversight. The government does not have a formal public participation policy and has never included civil society in their budget oversight processes.

a. Name the budget advocacy issue.

b. List potential allies in civil society and give reasons for the choice of allies

c. List potential agenda items for a first meeting of potential allies coming together
**TASK SHEET 4.9: BUILDING AN ALLIANCE (CONTINUED)**

<table>
<thead>
<tr>
<th>SCENARIO #3</th>
</tr>
</thead>
<tbody>
<tr>
<td>One year ago your organization developed a draft advocacy strategy to profile misuse of funds for procurement of goods for mental health delivery. For the past year, you have researched and collected tons of information needed as evidence to support your strategy. However, over the last three months, there have been substantial changes in the executive, the legislature and key departments like the department of finance. The prime minister was fired for alleged corruption, the legislature was dissolved and the new legislature is being sworn in. Many of the top officials in the department of finance, whom your researcher has worked with, have resigned</td>
</tr>
</tbody>
</table>

a. Name the budget advocacy issue.  
   ____________________________________________________________
   ____________________________________________________________
   ____________________________________________________________

b. List potential allies in civil society and give reasons for the choice of allies  
   ____________________________________________________________
   ____________________________________________________________
   ____________________________________________________________
   ____________________________________________________________
   ____________________________________________________________
   ____________________________________________________________

   c. List potential agenda items for a first meeting of potential allies coming together  
   ____________________________________________________________
   ____________________________________________________________
   ____________________________________________________________
   ____________________________________________________________
SCENARIO #4

Your organization conducts HIV/AIDS budget monitoring. During a recent investigation you discovered that despite government’s very progressive program of action for HIV/AIDS, governments’ service delivery during the implementation of this program is inconsistent with the budgeted plan. It appears that there is no link between the budget and the actual expenditures. Your investigation also showed that, since the inception of the program five years ago, the Budgeting Department in the Department of Health has failed in its oversight of implementation of the program and funds are used in a manner inconsistent with the budget. The Department of Finance has several times expressed their disapproval at the poor management of the budget process within the Department of Health. The country’s largest HIV/AIDS social movement has discussed with your organization the possibility of legal action.

a. Name the budget advocacy issue.

b. List potential allies in civil society and give reasons for the choice of allies

c. List potential agenda items for a first meeting of potential allies coming together
MODULE 5

Using
SURVEYS

TO MONITOR BUDGET IMPLEMENTATION
MODULE 5 • USING SURVEYS TO MONITOR BUDGET IMPLEMENTATION

LEARNING OUTCOMES FOR THIS MODULE
By the end of this module, participants will have:

- discussed their previous experiences using surveys;
- examined case studies of civil society budget work using surveys;
- reviewed some of the types of surveys used in budget work;
- assessed three types of survey questionnaires used for budget monitoring;
- practiced developing survey questions; and
- analyzed data tables from a survey on maternal health services in Polarus and documented their initial findings.

STRUCTURE OF THE MODULE (4 HOURS, 10 MIN.)

Session 11: Types of Surveys Used in Budget Monitoring

1. Plenary Discussion: Experience with Using Surveys 10 minutes
2. Task 5.1: Examining Case Studies of Budget Work Using Surveys 45 minutes
3. Facilitator Input: Types of Surveys Used in Budget Work 10 minutes
4. Task 5.2: Assessing Three Types of Survey Questionnaires 45 minutes
5. Report-Back and Discussion on Questionnaires 15 minutes

Session 12: Developing Survey Questions and Analyzing Survey Findings

1. Facilitator Input: Developing Survey Questions 20 minutes
2. Task 5.3: Designing Questions on Maternal Health Services 1 hour
3. Task 5.4: Analysis of Data Tables & Documenting Findings 45 minutes

SESSION 11: Types of Surveys Used in Budget Monitoring

1. **PLENARY DISCUSSION: EXPERIENCE WITH USING SURVEYS** 10 MINUTES

- Start this session by asking participants if any of them have used surveys in their budget monitoring work.
- If so, allow participants to share their experience with surveys.
- Ask them to explain what type of survey they used and to briefly describe the process and what issue/problem it was focused on.
- Also ask why their organization decided to use a survey? And what type of information did they want to gather?
2. **Task 5.1: Examining Case Studies of Budget Work Using Surveys**  
45 minutes

- Divide participants up into three groups. Assign each group one of the following three case studies that are found in their Workbooks:
  - Civil Society Coalition for Quality Basic Education (CSCQBE) Carries Out Public Expenditure Tracking Surveys in Malawi
  - Public Affairs Centre Develops Citizen Report Cards in India
  - Hakikazi Catalyst Uses PIMA Cards in Tanzania

- Each of these case studies highlights the use of a survey for budget work, notably public expenditure tracking survey (PETS), citizen report cards (CRC), and Community Score Cards (“PIMA” card in Tanzania).

- These are the three most common types of surveys used in budget work, although there are others, as well as variations on these types.

- Ask participants to take about 10 to 15 minutes to read their case study. After they read the case study, have them discuss the following questions, which are found in **Task 5.1: Examining Case Studies of Budget Work Using Surveys**.
  1. Briefly describe the survey used in the case study (in a few sentences only).
  2. What is the purpose of this type of survey? (Think about why you would implement it, what type of information it gathers, and in what context/environment it is used.)
  3. What do you think are the strengths of this type of survey?
  4. What do you think are the challenges of this type of survey?

- Allow the groups about 20 minutes to answer the questions, and then ask them to gather back in plenary.

- Ask one representative from each group to briefly present their answers to each of the questions. Each presentation should be no more than 5 minutes.

- End the session by asking if there are any questions of clarification.

3. **Facilitator Input: Types of Surveys Used in Budget Work**  
10 minutes

- Provide a brief presentation on different types of surveys used in budget work, to supplement the information that participants gained through their review of the three case studies.

- The content of this presentation is found in the PowerPoint file *Using Surveys*.

4. **Task 5.2: Assessing Three Types of Survey Questionnaires**  
45 minutes

- Have participants break up into small groups of 4 to 5 people for the purpose of this task.

- Hand out copies of all three questionnaires to each participant – the sample CRC questionnaire, sample PETS questionnaire, and sample CSC questionnaire (i.e., the survey instruments).
• Ask participants to take 45 minutes to review each type of questionnaire and then working in their groups, discuss and answer the questions in Task 5.4.

5. REPORT-BACK AND DISCUSSION ON QUESTIONNAIRES 15 MINUTES

• Review in plenary the answers to the questions in Task 5.2.
The Civil Society Coalition for Quality Basic Education (CSCQBE), created in 2000, is a network of organizations that have come together in the common pursuit of the right to quality basic education.

The Coalition uses Public Expenditure Tracking System (PETS) to track the flow of resources through various levels of government to the end users and identify leakages. The steps in a PETS process are as follows:

**Step 1: Identify the Scope of the PETS Exercise**

The organization implementing a PETS exercise should decide which sector(s) (such as education, health, roads, etc.) it wants to survey. It should also decide the scope of the exercise and whether it will track monies from central government levels all the way down to the end user of some intermediate stages.

**Step 2: Gain a Clear Understanding of the Management of Programs**

Any organization coordinating a PETS exercise should study the administrative structure and systems under which the programs to be surveyed are managed.

**Step 3: Develop Questionnaires for the Survey**

During its PETS exercises, CSCQBE developed separate questionnaires for head teachers, district commissioners, district education managers and the national supplies unit. Questionnaires for head teachers sought information on the school’s proposed recurring expenditure budget sent to the Finance Ministry, actual funds received from the ministry and actual recurrent expenditures in three sample months. District commissioners were asked about the amount of funding requested from the Finance Ministry for recurrent expenditures, the amounts subsequently allocated to the district and the actual amounts the district received and spent on a monthly basis (including the purposes for which they were spent).

**Step 4: Select Sample Size & Identify Units to be Sampled**

CSCQBE selects a representative sample of 500 schools (roughly one-tenth of those in the country) for its surveys, including both rural and urban schools.

**Step 5: Administer Questionnaires**

As part of the PETS process, community-based members of CSCQBE administer a series of standardized questionnaires to teachers and education officials around the country.

**Step 6: Create and Analyze Database, and Write a Report**

The CSCQBE secretariat collects the questionnaires, enters the data into electronic spreadsheets, and analyzes them to produce its annual report.

**Step 7: Present Report**

A draft report is circulated among CSCQBE organizations and discussed at a special meeting for adoption. A final report is then produced. CSCQBE unveils the report during a public meeting with ministry officials, parliamentarians, development partners and the media during the annual parliamentary budget deliberation. It then holds district meetings where district assembly officials, district education officials, non-government-
al organizations, and school officials can discuss the results and, if necessary, formulate action plans to address problems. CSCQBE also gives copies of the report to key stakeholders such as ministers, the office of the president, and donors and seeks commitments on how they will respond to the issues it raises. CSCQBE takes note of these commitments and then monitors their implementation.

CSCQBE has achieved important successes through PETS:

- In 2002, when the government closed teacher training colleges due to a lack of funding, civil society groups mounted a three-month campaign that compelled the government to reopen them. The coalition argued that closing the colleges violated the government’s commitment to train 6,000 new teachers a year.
- In 2003, it was discovered that a number of teachers received their salaries late or not at all. Civil society groups pressed a parliamentary committee to look into the issue. The committee returned a report to the National Assembly.
- In 2004, the government undertook its own expenditure tracking survey after observing CSCQBE’s successful work. Civil society was involved in planning and monitoring the survey.
- Civil society groups have also pressured the government into making budget allocations aimed specifically at children with special needs, to purchase specialized materials for teachers who focus on these students.
- In addition, the government is now seeking to address the educational disparities between rural and urban areas. It plans to introduce incentives to attract teachers to rural areas and construct housing for rural teachers.

CSCQBE faces several challenges in implementing the public expenditure tracking surveys.

- Government officials do not always fully release budget and expenditure data, which makes it more difficult to track expenditures and determine the extent to which the government is working to improve the educational system.
- In many instances officials provide information that is incomplete or refuse to provide it, claiming they are still compiling the information.
- Many coalition members have only limited technical capacity to analyze education budget data.
- Coalition members are busy with multiple commitments and can invest only limited time in the PETS process. This sometimes affects the quality of the reports submitted by those who are collecting information for the survey.
PUBLIC AFFAIRS CENTRE DEVELOPS CITIZEN REPORT CARDS IN INDIA

Inspired by the private sector practice in India of conducting client satisfaction surveys, a group of residents undertook a citizen report card exercise in 1993 to measure citizen satisfaction with public service providers. Subsequently, the group formed the Public Affairs Centre (PAC) to undertake additional surveys.

The report card exercise raises awareness of service providers’ poor performance and compels them to take corrective action. The process of developing a citizen report card (CRC) can be divided into six phases, described below.

**Phase 1: Identification of Scope, Actors, and Purpose**

The first step is to clarify the scope of CRC evaluation by defining what type(s) of public services will be assessed and how the findings will be used. This should provide a basis for building a coalition of like-minded groups since the credibility of survey findings depends to some degree on the initial legitimacy of the group conducting the survey.

**Phase 2: Questionnaire Design**

Focus group sessions are then held with service providers and service users to inform the questionnaire content. This helps to define the structure and size of the questionnaires. Once designed, questionnaires should be tested on focus groups.

**Phase 3: Sampling**

Prior to determining the survey sample size, attention should be paid to the geographic region(s) in which the survey will be launched. Attention should also be paid to the budget, time and organizational capacity, which can limit the survey size. Sample respondents need to be selected for the survey. In most CRC surveys, the most likely unit of analysis is the household.

**Phase 4: Execution of Survey**

Survey personnel should have a good understanding of the purpose of the project and receive training before being sent to conduct the survey. To ensure that the survey’s credibility is not compromised by inaccurate recording of household responses, it is useful to perform random spot monitoring of interviews.

**Phase 5: Analyzing Data**

Once all the data have been consolidated, analysis can begin. Statistical tests should be run on the data to determine whether the survey results can be applied to the greater population and whether differences between sub-groups are statistically significant.

**Phase 6: Dissemination**

Instead of using report card results to publicly embarrass service providers, first share the preliminary findings with them so they can respond. Any genuine explanations should then be noted in the final report and factored into the recommendations. The findings from the report card can then be presented at a press conference or similar event. It is often useful to bring together service providers and users after the report cards have been published, to give both parties a chance to discuss their reactions. The CRC report should present the survey results, draw conclusions from them, and recommend steps to fix any problems the survey identified. It should include both the positive and the negative.
results, and apart from exceptional cases, it should be a catalyst for change rather than a condemnation of service providers.

The CRC process has resulted in some important successes:

- Three agencies – Bangalore Telecom, the Electricity Board, and the Water and Sewerage Board – streamlined their bill collection systems after the 1999 survey.
- With PAC’s assistance, the Bangalore Development Authority developed its own report card, which it used to obtain feedback from customers on corruption and to identify weaknesses in service delivery.
- The Bangalore City Corporation and the Bangalore Development Authority also initiated a joint forum of representatives from NGOs and public officials to identify solutions to high-priority problems.
- Two large public hospitals in the city that had received very poor rankings agreed to support an initiative designed by a non-governmental organization to set up “help desks” to assist patients and to train their staff to be more responsive to patients’ needs.

The PAC has assisted groups in many other countries seeking to implement its methodology and has developed a list of issues that any group interested in conducting a report card survey should consider.

- **Requirement of a Strong Lead Institution:** The ultimate success of a CRC project depends in large part on the institution that leads it. It should also be experienced in conducting surveys and willing to work with multiple stakeholders drawn from throughout society.
- **Evaluation of the Socio-Political Context:** Governments must be able to respond to feedback in order for a CRC to produce meaningful changes. Citizens must not be too intimidated to respond to survey questions, and the safety of enumerators and respondents should be guaranteed.
- **Development of an Advocacy Strategy:** Advocacy efforts should always be directed to the level of government (local, state, or national) responsible for the service being assessed. Including some survey results that reflect favorably upon the service provider will help the provider feel more comfortable with the process.
- **Requirement of Technical Skills:** The group conducting the CRC survey may need technical assistance from outside groups on such issues as survey techniques, details of local service provision, and survey fieldwork.
- **Consideration of Cost:** The cost of a CRC survey will vary depending on factors such as the sample size, the number of personnel needed to conduct the survey and the level of training they will need, communication and information equipment needed (computers, phones, etc.), the cost of printing questionnaires, wages to be paid to interviewers and supervisors, any fees due to outside agencies to which certain tasks have been outsourced, and travel and dissemination costs.
HAKIKAZI CATALYST USES PIMA CARDS IN TANZANIA

Formed in 2000, Hakikazi Catalyst is a Tanzanian economic and social justice advocacy organization that empowers marginalized people both to influence government decisions affecting their lives and to achieve their civil and political rights at the local, national, and international levels.

Hakikazi developed PIMA cards ("pima" means "measure" in Swahili) as a simple, flexible evaluation tool that enables communities to gather qualitative and quantitative information on inputs (what funds did the community receive?), outputs (how were the funds used?), and outcomes (how did the projects affect the community?) of government expenditures on poverty-reduction strategies.

Both local communities and district governments complete the PIMA cards to assess the quality of goods and services provided by the district government to local communities. Based on the results, the district government and local communities decide on the next steps to be taken to address communities’ priorities and to continue information-sharing in a systematic way. The PIMA card process involves eight steps:

**Step 1: District-Level Groundwork.** Hakikazi selects villages to participate in the exercise, based on relationships developed with them over time. District workshops are held to mobilize stakeholders, explain budget monitoring systems and the PIMA card process, and generate support for the process.

**Step 2: Skills Building.** Hakikazi organizes workshops to train individuals within a community (drawn from existing community-based organizations) who will lead the PIMA card process. They provide participants with skills to gather quantitative and qualitative budget information in communities, analyze government budgets and present their results to decision-makers and communities.

**Step 3: Community-Level Groundwork.** Next, Hakikazi convenes public debates in the participating communities on the government’s poverty reduction strategy. Following discussions in small groups, community members select two sectors they want to monitor, such as education, health, roads, agriculture, or water. Each community also selects seven to 15 people as a village monitoring committee, which will collect information on the selected priority areas using the PIMA cards.

**Step 4: Design of Village PIMA Cards.** These cards are designed to focus on the quality and quantity of expenditures at community level in the sectors under investigation.

<table>
<thead>
<tr>
<th>ABSTRACT OF VILLAGE PIMA CARD</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Agriculture and Markets</strong></td>
</tr>
<tr>
<td>B1 Extension Services</td>
</tr>
<tr>
<td>What types of extension advice were provided in your village last year and how satisfied are you with these services?</td>
</tr>
<tr>
<td>Not received</td>
</tr>
<tr>
<td>Pest management</td>
</tr>
<tr>
<td>Improved seeds</td>
</tr>
<tr>
<td>Soil conservation</td>
</tr>
<tr>
<td>Farmers’ support association</td>
</tr>
<tr>
<td>Irrigation techniques</td>
</tr>
<tr>
<td>Crop processing (etc.)</td>
</tr>
</tbody>
</table>
**Step 5: Design of District-Level PIMA Cards.**
The district-level PIMA Card is called a district self-evaluation and is completed by a district-level government official. The questions in the self-evaluation card mirror the questions asked by the village monitors at the community level.

**Step 6: Information Collection with PIMA Cards.** Hakikazi and its facilitators start by training one village monitoring committee on how to collect data using the PIMA card, which is then tested in that committee’s community. The village monitoring committees then collect information on allocations received from the district and on expenditures at the community level through analysis of the village government’s bank statements, accounting records and receipts.

**Step 7: Analysis of Local Government Budgets.** Hakikazi analyzes district budgets to identify budget allocations for the sectors selected for monitoring. Hakikazi compares the results from its budget analysis with the results reported in the PIMA cards completed by the district officials (through the self-evaluation) and by the communities.

**Step 8: Analysis and Feedback.** A report with information from both the district and communities is drafted, peer-reviewed and shared with the communities and local government. The results of the PIMA card studies are shared at the community level (where the village government can act upon them), the district and regional levels (where practical decisions that favor poor people can be influenced), and the national level (where policymaking bodies can respond to them).

Hakikazi has twice undertaken PIMA card studies and has already achieved some success in identifying problems in village development expenditures. For example, village monitoring committees and Hakikazi have brought misuse of funds to the attention of village, ward and district governments.

Hakikazi faces these challenges in implementing PIMA cards:

- In the absence of a national right to information law, access to information remains a major obstacle for Hakikazi and the local communities that implement the PIMA card process.
- Hakikazi has also found that variations in the standard of facilitation during the information collection process lead to variations in the completed PIMA cards.
- Analysis of district budgets has often been difficult and time-consuming due to their opaque and inconsistent presentation. It is also frequently questionable whether budget documents provide honest representations of what development activities are realistically possible, given the extreme financial constraints.
**TASK SHEET 5.1: EXAMINING CASE STUDIES OF BUDGET WORK USING SURVEYS**

Case Study: ________________________________________________________________

1. Briefly describe the survey used in the case study (in a few sentences only).

2. What is the purpose of this type of survey? (Think about why you would implement it, what type of information it gathers, and in what context/environment it is used.)

3. What do you think are the strengths of this type of survey?

4. What do you think are the challenges of this type of survey?
TASK SHEET 5.2: ASSESSING THREE TYPES OF SURVEY QUESTIONNAIRES

1. What are some of the similarities among the three types of survey questionnaires? [Public Expenditure Tracking Survey (PETS); Citizen Report Card (CRC); and Community Score Card (CSC).]

2. What are some of the differences among the three types of survey questionnaires?

3. Of the three types of questionnaires, is there one in particular that you think would be most useful for conducting budget monitoring in your context? If yes, please explain which one and why.
Session 12: Developing Survey Questions and Analyzing Survey Findings

1. **Facilitator Input: Developing Survey Questions**
   - **20 Minutes**
   - Use the PowerPoint file *Developing Survey Questions* to take participants through key points on how to design questions for a survey instrument (questionnaire).

2. **Task 5.3: Mini-Questionnaire Design**
   - **1 Hour**
   - Refer participants to *Task 5.5: Mini-Questionnaire Design* and *Reading 5.2: Case Study for Designing a Survey* in their Workbooks and the *National Standards for Maternal Health Care* in their Polarus Sourcebooks. They will be using all of these for this task.
   - Explain that government standards for programs are useful when designing questionnaires, because you can use the **standards or program guidelines** as a basis for asking questions and assessing different aspects of service delivery against what is required.
   - Remind them about how the sample Hakikazi PIMA Card on Health used indicators from the government’s Poverty Reduction Strategy as the basis for its questions. So **indicators for policies and programs** can be also used as the basis for designing survey instruments.
   - To design the questionnaire, participants should work in small groups. Using the information from the presentation on questionnaires, the case study on maternal health care services in Polarus (*Reading 5.2*), and the *National Standards of Maternal Health Care (Polarus Sourcebook)*, each group should first develop 1 to 3 objectives for their survey and then design a short questionnaire of 15 to 20 questions.
   - Note that participants should develop questions for the **body of the questionnaire**. For example, they don’t need to develop questions on investigator information.
   - Explain that a standard questionnaire would include many more questions, but that this exercise is just to give them practice in developing survey questions.
   - Circulate among the groups and provide support and guidance as required.
   - To support your facilitation of this task, use the **sample questionnaire on maternal health** in this Manual as a reference.
   - After participants are done with the task, ask them to gather back in plenary for a review session. For the review, ask each group to provide a brief presentation on what their survey objectives are and then provide examples of 3 to 4 questions that they developed.
   - Ask each group to write their survey objectives and the 3 to 4 sample questions on a piece of flipchart paper, so that the report-back can be done by “Gallery Walk”: each group hangs its flipchart paper on the wall to be reviewed by all of the participants, then a plenary discuss can be facilitated about what participants observed in each of the sample questionnaires.
   - You can also ask them to reflect on this brief practice of developing questions for a survey instrument. What was their experience of developing questions for a survey?
3. **Task 5.4: Group Work – Analysis of Data Tables and Documenting Findings**

- Invite the participants to turn to the data tables that appear in Module 5 of their Workbooks. Explain that these tables show data collected by HMHC by means of its CRC-inspired survey work in Swellentsia.

- There are 17 tables in total, covering a range of topics such as access to clinics, types and quality of services, cost of services, and satisfaction with services.

- Ask participants to take about 15-20 minutes on their own, noting down some of the important findings or trends they see emerging from the data tables. To this end, ask them to study each of the tables in turn, and write down their initial ideas.

- Refer participants to **Task 5.4: Survey Findings** in their Workbooks. Have them get into their Polarus groups to extract and discuss important findings from this survey data that may be used to support their budget advocacy work on maternal mortality in Sunrise State. They will do this by discussing and answering the four questions in **Task 5.4.**
READING 5.2: CASE STUDY FOR DESIGNING A SURVEY

You are a member of the Healthy Mothers, Healthy Children (HMHC) coalition in the fictional country of Polarus. At your most recent meeting of the HMHC Steering Committee, you identified the need to gather more evidence about the quality of maternal health care received at primary health clinics in the city of Swellentsia in Sunrise State. You have already made great strides in collecting budget data and physical evidence on maternal health services. You have also gathered a wealth of qualitative information through a series of focus group workshops conducted in Sunrise State. However, you realize that your advocacy message will be even more powerful if you can back it up with some reliable facts and figures about the everyday realities of accessing these services.

During the Steering Committee meeting, one of your colleagues mentioned a presentation she recently heard at an international conference on participatory governance in Polarus’ capital. The presentation was made by the Public Affairs Centre (PAC) of Bangalore, India, on their use of Citizen Report Cards to monitor the quality of public services. She was inspired by how PAC was able to use data from their surveys to effectively advocate for improvements in public services, particularly for the poor. After hearing about the Citizen Report Card, you and other Steering Committee members agreed that this type of survey would provide HMHC with useful facts and figures to enhance your budget advocacy message.

You are well aware that the main causes of maternal death in Swellentsia seem to be linked to complications arising during delivery, and the lack of basic emergency obstetric care at the clinics. Most women who had complications during delivery – or women whose family members or friends had died during delivery – complained that the clinic staff did not have the skills to assist with obstructed labour and other complications, and that the clinic didn’t have the proper drugs, for example, to treat high blood pressure (eclampsia). Some women who had to be transferred to a secondary hospital for emergency C-Sections said that their families had to find and pay for their transport to the hospital, since the clinics did not have a vehicle to take them there. A number of women, including those who had normal deliveries, complained about the lack of cleanliness in delivery rooms and shortages of medical supplies.

Some women felt that the complications they experienced during delivery could have been prevented if they had received proper antenatal care. These women said that they were not able to access the primary health clinics during pregnancy due to long distances. Some women who were able to make it to the clinics said that they were charged for services that were supposed to be provided for free. They also complained of long waits; short, superficial examinations by health workers without obstetric training; and rude treatment by health clinic staff. Women had similar experiences
with accessing and receiving postpartum care. Some women also mentioned that they had to pay bribes to clinic staff to get faster or better service.

As a member of HMHC’s Steering Committee, you raised these concerns with the Sunrise State Department of Health, who pointed out that the quality of maternal health services are ensured by the government’s National Standards for Maternal Health Care. It has assured you that it adheres strictly to the quality standards outlined in this national policy. The state health officials you have met with promised to investigate allegations of malpractice, substandard health services, or mistreatment once they are provided with hard evidence, including statistical data. As a result, you decide to conduct a survey to compare the standards outlined in the national maternal health care policy with women’s actual experiences of maternal health services on the ground.
TASK SHEET 5.3: DESIGNING QUESTIONS ON MATERNAL HEALTH SERVICES

Read the case study about the state of maternal health care services in the city of Mortalia, Sunrise State, Polarus (Reading 5.2), as well as the National Standards of Maternal Health Care in your Polarus Sourcebook.

First, develop one to three key objectives for your survey. These objectives will influence the types of questions that you develop, as you need to ensure that the questions will help you to achieve your objectives. Your objectives (and questions) should address some of the following aspects of service delivery: awareness, accessibility, usage, quality, reliability, staff behavior, satisfaction, and costs.

Second, design a short questionnaire of 15 to 20 questions to investigate and assess maternal health service delivery in Mortalia.

SURVEY OBJECTIVES:

1. ____________________________________________________________________________

2. ____________________________________________________________________________

3. ____________________________________________________________________________

BODY OF QUESTIONNAIRE:

<table>
<thead>
<tr>
<th>NO.</th>
<th>QUESTION</th>
<th>ANSWER SCALES</th>
</tr>
</thead>
<tbody>
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<tr>
<td>3</td>
<td></td>
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<tr>
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<td>Question</td>
<td>Answer Scales</td>
</tr>
<tr>
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</tr>
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<td>16</td>
<td></td>
<td></td>
</tr>
<tr>
<td>NO.</td>
<td>QUESTION</td>
<td>ANSWER SCALES</td>
</tr>
<tr>
<td>-----</td>
<td>----------</td>
<td>---------------</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>20</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
FACILITATOR REFERENCE:
SAMPLE QUESTIONNAIRE ON MATERNAL HEALTH SERVICES

I. INVESTIGATOR INFORMATION
Name of Investigator: ______________________ Starting Time: ______________________
Date: ______________________ Ending Time: ______________________

II. LEAD-IN/INTRODUCTION
Hello, my name is ______________________, and I work for Healthy Mothers, Healthy Children, a
coalition of organizations and citizens collecting information on maternal health services in
Svellentsia.
(Modify the introduction to sound as natural as possible.) Instruction to investigator: please use pencils and
circle the code where applicable and write the answers in legible handwriting in the spaces provided for responses.

III. FILTER QUESTIONS
1) Have any women in your household given birth in the last two years?
2) If yes, may I speak with her/them?

IV. DEMOGRAPHIC QUESTIONS
1) What is your name?
2) What is your age? ______ years
3) Location/Address:
4) What is your monthly household income? 1- < D 2,500
   2- D 2,501-7,000
   3- > D 7,000

V. QUESTIONS ON MATERNAL HEALTH SERVICES
GENERAL
5) Which type of health facility did you visit for maternal health services during your most recent
   pregnancy?
1- Government clinic/hospital (Skip to Q.7)
2- Private clinic/hospital
3- NGO
4- Traditional birth attendant
SAMPLE QUESTIONNAIRE ON MATERNAL HEALTH SERVICES (CONTINUED)

6) If you did not use a government clinic/hospital, what was the primary reason?
   1- Service not satisfactory
   2- Long waiting periods
   3- Doctors are not available
   4- Medicines are not available
   5- Long distance
   6- Treatment is costly
   (If respondent has not used a government clinic, the interview ends here).

ACCESSIBILITY

7) How long does it take you to travel to the government primary health clinic?
   1- Less than 30 min.
   2- 30 min. to 1 hour
   3- 1 hour to 1 ½ hours
   4- 1 ½ to 2 hours
   5- More than 2 hours

8) Which mode of transport do you use to go to the government primary health clinic?
   1- Walking
   2- Bicycle
   3- Public transportation
   4- Car

9) What was the average amount of time that you waited to see medical staff when you visited the clinic?
   1- Less than 30 min.
   2- 30 min. to 1 hour
   3- 1 hour to 1 ½ hours
   4- 1 ½ to 2 hours
   5- More than 2 hours
SAMPLE QUESTIONNAIRE ON MATERNAL HEALTH SERVICES
(CONTINUED)

HEALTH SERVICES RECEIVED DURING PREGNANCY

10) Did you receive medical care during your pregnancy at the government primary health clinic?
   1- Yes
   2- No (Skip to Q.15)

11) How many times did you visit the clinic during your pregnancy?
   1- 1 to 3 visits
   2- More than 3 visits

12) What health services did you receive when you visited the clinic during your pregnancy? (multiple responses)
   1- Physical examination (including weight, blood pressure, heart rate)
   2- Gynaecological examination
   3- Ultrasound
   4- HIV/STD testing
   5- Blood tests
   6- Nutritional supplements
   7- Tetanus vaccine

13) Were any complications detected during your pregnancy?
   1- Yes
   2- No (Skip to Q.15)

14) Were you referred to a secondary hospital for treatment of these complications?
   1- Yes
   2- No

HEALTH SERVICES RECEIVED DURING DELIVERY

15) During delivery, were you attended by a skilled birth attendant (doctor, nurse, or midwife)?
   1- Yes
   2- No
SAMPLE QUESTIONNAIRE ON MATERNAL HEALTH SERVICES
(CONTINUED)

16) Who were you attended by?
1- Doctor
2- Nurse
3- Midwife

17) How satisfied were you with the care you received from the skilled birth attendant?
1- Completely Satisfied
2- Partially Satisfied
3. Neither satisfied nor dissatisfied
4- Dissatisfied

18) What were the reasons for your dissatisfaction? (open-ended) _________________________
_____________________________________________________________________________
_____________________________________________________________________________

19) Did you experience any complications during delivery?
1- Yes
2- No (Skip to Q.24)

20) Did the primary clinic provide emergency care for these complications?
1- Yes (Skip to Q.24)
2- No

21) Were you taken to a secondary hospital for emergency care?
1- Yes (Skip to Q. 24)
2- No

22) What was the primary reason you did not receive emergency care?
1- No skilled birth attendant
2- Necessary drugs unavailable
3- Necessary medical supplies/equipment unavailable
SAMPLE QUESTIONNAIRE ON MATERNAL HEALTH SERVICES (CONTINUED)

4- No transport to secondary hospital
5- Other (Please specify: _________________)

23) What happened as a result of not receiving emergency care? (open-ended question)
_____________________________________________________________________________
_____________________________________________________________________________
_____________________________________________________________________________

HEALTH SERVICES RECEIVED AFTER DELIVERY

24) Did you receive medical care after delivery?
1- Yes
2- No (Skip to Q.29)

25) How many times did you visit the clinic after delivery?
1- 1 to 2 visits
2- More than 2 visits

26) What health services did you receive when you visited the clinic after your delivery? (multiple responses)
1- Physical examination
2- Counselling on breastfeeding
3- Contraceptives
4- Blood test for anemia
5- Nutritional supplements
6- Information on warning signs of problems

27) Did you experience any problems after your delivery?
1- Yes
2- No (Skip to Q.29)
SAMPLE QUESTIONNAIRE ON MATERNAL HEALTH SERVICES (CONTINUED)

28) Did you receive a referral to a secondary hospital?
   1- Yes
   2- No

COSTS

29) In total, how much did your household spend for maternal health services during your last pregnancy?
   1- Less than D100
   2- D200–D400
   3- More than D400

30) Did you pay any bribes for maternal health services?
   1- Yes
   2- No (Skip to Q.33)

31) For what purpose was the bribe paid? (open-ended)

_____________________________________________________________________________
_____________________________________________________________________________

32) Was it demanded or did you pay it on your own?
   1- Demanded
   2- Paid on my own

SATISFACTION

33) Overall, how satisfied were you with the maternal health services you received?
   1- Completely satisfied
   2- Partially satisfied
   3- Dissatisfied
SUGGESTIONS

34) What are your suggestions for improving maternal health services at government primary health clinics? (open-ended) _______________________________________________________________

_____________________________________________________________________________

_____________________________________________________________________________

_____________________________________________________________________________
TASK SHEET 5.4: SURVEY FINDINGS

Study the data tables on the following pages. These tables summarize the data collected by HMHC using surveys as a monitoring tool in Swellentsia. Page through the data for a few minutes to familiarize yourself with the information, then work with your HMHC colleagues to extract and discuss important findings from this survey data. Your aim will be to identify evidence that can be used to support your budget advocacy work on maternal mortality in Sunrise State.

1. What are the major findings emerging from your discussion of the survey data?

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

2. What are the implications of these findings for the maternal health status of women?

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
3. What recommendations or suggestions flow from the findings that may be an important component of your advocacy message?

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________

4. How will you communicate these findings in your final presentation? Do you plan to create tables, leaflets or a formal report? Can you use other more innovative communication tools to get your message across?

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________
**SWELLNENTSIA SURVEY: DATA TABLES**

Table 1: Nature of health facilities used during last 2 years for maternal health care

*(Figures in Percentages)*

<table>
<thead>
<tr>
<th></th>
<th>Rich</th>
<th>Middle Class</th>
<th>Poor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Government clinic/hospital</td>
<td>-</td>
<td>25</td>
<td>75</td>
</tr>
<tr>
<td>Private clinic/hospital</td>
<td>100</td>
<td>75</td>
<td>-</td>
</tr>
<tr>
<td>NGO</td>
<td>-</td>
<td>-</td>
<td>10</td>
</tr>
<tr>
<td>Traditional birth attendant</td>
<td>-</td>
<td>-</td>
<td>15</td>
</tr>
</tbody>
</table>

Number | 20 | 100 | 280

Table 2: Primary reason for not using government health facilities

*(Figures in Percentages)*

<table>
<thead>
<tr>
<th></th>
<th>Rich</th>
<th>Middle Class</th>
<th>Poor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Service not satisfactory</td>
<td>70</td>
<td>60</td>
<td>5</td>
</tr>
<tr>
<td>Long waiting periods</td>
<td>-</td>
<td>3</td>
<td>10</td>
</tr>
<tr>
<td>Doctors are not available</td>
<td>25</td>
<td>30</td>
<td>5</td>
</tr>
<tr>
<td>Medicines are not available</td>
<td>5</td>
<td>7</td>
<td>10</td>
</tr>
<tr>
<td>Long distance</td>
<td>-</td>
<td>-</td>
<td>20</td>
</tr>
<tr>
<td>Treatment is costly</td>
<td>-</td>
<td>-</td>
<td>50</td>
</tr>
</tbody>
</table>

Number | 20 | 75 | 70
SWELLENTSIA SURVEY: DATA TABLES

Table 3: Time taken to travel to primary health clinic
(Figures in Percentages)

<table>
<thead>
<tr>
<th>Time Taken</th>
<th>Middle Class</th>
<th>Poor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than 30 min.</td>
<td>80</td>
<td>10</td>
</tr>
<tr>
<td>30 min. to 1 hr.</td>
<td>15</td>
<td>50</td>
</tr>
<tr>
<td>1 hr. to 1 ½ hrs.</td>
<td>5</td>
<td>30</td>
</tr>
<tr>
<td>1 ½ to 2 hrs.</td>
<td>-</td>
<td>8</td>
</tr>
<tr>
<td>More than 2 hrs.</td>
<td>-</td>
<td>2</td>
</tr>
</tbody>
</table>

Number: 25 210

Table 4: Mode of transport to primary health clinic
(Figures in Percentages)

<table>
<thead>
<tr>
<th>Mode of Transport</th>
<th>Middle Class</th>
<th>Poor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Foot</td>
<td>-</td>
<td>15</td>
</tr>
<tr>
<td>Bicycle</td>
<td>-</td>
<td>15</td>
</tr>
<tr>
<td>Public Transport</td>
<td>20</td>
<td>70</td>
</tr>
<tr>
<td>Car</td>
<td>80</td>
<td>-</td>
</tr>
</tbody>
</table>

Number: 25 210
SWELLENTSIA SURVEY: DATA TABLES

Table 5: Average waiting time for maternal health services
(Figures in Percentages)

<table>
<thead>
<tr>
<th>Waiting Time</th>
<th>Middle Class</th>
<th>Poor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than 30 min.</td>
<td>30</td>
<td>5</td>
</tr>
<tr>
<td>30 min. to 1 hr.</td>
<td>45</td>
<td>10</td>
</tr>
<tr>
<td>1 hr. to 1 ½ hrs.</td>
<td>20</td>
<td>15</td>
</tr>
<tr>
<td>1 ½ to 2 hrs.</td>
<td>5</td>
<td>30</td>
</tr>
<tr>
<td>More than 2 hrs.</td>
<td>-</td>
<td>40</td>
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</tbody>
</table>

Number | 25 | 210

Table 6: Provision of maternal health services at primary health clinics
(Figures in Percentages)

<table>
<thead>
<tr>
<th>Service</th>
<th>Middle Class</th>
<th>Poor</th>
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</thead>
<tbody>
<tr>
<td>Did not receive antenatal care</td>
<td>-</td>
<td>25</td>
</tr>
<tr>
<td>Antenatal care (1 to 3 visits)</td>
<td>20</td>
<td>70</td>
</tr>
<tr>
<td>Antenatal care (more than 3 visits)</td>
<td>80</td>
<td>5</td>
</tr>
<tr>
<td>Did not receive postpartum care</td>
<td>-</td>
<td>35</td>
</tr>
<tr>
<td>Postpartum care (1-2 visits)</td>
<td>75</td>
<td>55</td>
</tr>
<tr>
<td>Postpartum care (more than 2 visits)</td>
<td>25</td>
<td>10</td>
</tr>
</tbody>
</table>

Number | 25 | 210
# SWELLENTSIA SURVEY: DATA TABLES

## Table 7: Antenatal care received at primary health clinics

*Figures in Percentages*

<table>
<thead>
<tr>
<th></th>
<th>Middle Class</th>
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<tbody>
<tr>
<td>Physical examination</td>
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<td>65</td>
</tr>
<tr>
<td>Gynecological examination</td>
<td>85</td>
<td>50</td>
</tr>
<tr>
<td>Ultrasound</td>
<td>75</td>
<td>45</td>
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<tr>
<td>HIV/STD testing</td>
<td>95</td>
<td>65</td>
</tr>
<tr>
<td>Blood tests</td>
<td>90</td>
<td>45</td>
</tr>
<tr>
<td>Nutritional supplements</td>
<td>75</td>
<td>50</td>
</tr>
<tr>
<td>Tetanus vaccine</td>
<td>50</td>
<td>35</td>
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Number:

<table>
<thead>
<tr>
<th></th>
<th>Middle Class</th>
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<tbody>
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<td></td>
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## Table 8: Skilled birth attendant during delivery

*Figures in Percentages*

<table>
<thead>
<tr>
<th></th>
<th>Middle Class</th>
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</thead>
<tbody>
<tr>
<td>Skilled birth attendant present</td>
<td>88</td>
<td>50</td>
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Number:

<table>
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</tbody>
</table>

## Table 9: Type of skilled birth attendant

<table>
<thead>
<tr>
<th></th>
<th>Middle Class</th>
<th>Poor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Doctor</td>
<td>81.8%</td>
<td>14.3%</td>
</tr>
<tr>
<td>Nurse</td>
<td>18.2%</td>
<td>28.6%</td>
</tr>
<tr>
<td>Midwife</td>
<td>-</td>
<td>57.1%</td>
</tr>
<tr>
<td>Total</td>
<td>100%</td>
<td>100%</td>
</tr>
</tbody>
</table>

N = number of respondents
Table 10: Satisfaction with care provided by skilled birth attendant  
(Figures in Percentage)  

<table>
<thead>
<tr>
<th></th>
<th>Middle Class</th>
<th>Poor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Completely satisfied</td>
<td>45</td>
<td>20</td>
</tr>
<tr>
<td>Partially satisfied</td>
<td>35</td>
<td>30</td>
</tr>
<tr>
<td>Dissatisfied</td>
<td>20</td>
<td>50</td>
</tr>
</tbody>
</table>

Number 22 105

Table 11: Need for emergency maternal health services  

<table>
<thead>
<tr>
<th></th>
<th>Middle Class</th>
<th>Poor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Complications during pregnancy</td>
<td>4%</td>
<td>6.7%</td>
</tr>
<tr>
<td>Complications during delivery</td>
<td>12%</td>
<td>23.8%</td>
</tr>
<tr>
<td>Postpartum complications</td>
<td>8%</td>
<td>9.5%</td>
</tr>
<tr>
<td>Total</td>
<td>24%</td>
<td>40%</td>
</tr>
</tbody>
</table>

N = number of respondents
Table 12: Provision of emergency maternal health care to those who needed it

<table>
<thead>
<tr>
<th></th>
<th>Middle Class</th>
<th>Poor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Referral to secondary hospital for complications during pregnancy</td>
<td>100%</td>
<td>1</td>
</tr>
<tr>
<td>Emergency care provided during delivery (at clinic or secondary hospital)</td>
<td>100%</td>
<td>3</td>
</tr>
<tr>
<td>Referral to secondary hospital for postpartum complications</td>
<td>100%</td>
<td>2</td>
</tr>
</tbody>
</table>

N = number of respondents

Table 13: Reasons for not receiving emergency care during delivery
(Figures in Percentages)

<table>
<thead>
<tr>
<th>Reasons</th>
<th>Poor</th>
</tr>
</thead>
<tbody>
<tr>
<td>No skilled birth attendant</td>
<td>80</td>
</tr>
<tr>
<td>Necessary drugs unavailable</td>
<td>6</td>
</tr>
<tr>
<td>Necessary medical supplies/equipment unavailable</td>
<td>4</td>
</tr>
<tr>
<td>No transport to secondary hospital</td>
<td>9</td>
</tr>
<tr>
<td>Other</td>
<td>1</td>
</tr>
</tbody>
</table>

Number 51
## SWELLENTSIA SURVEY: DATA TABLES

### Table 14: Postpartum care provided at primary health clinic
*(Figures in Percentages)*

<table>
<thead>
<tr>
<th>Service</th>
<th>Middle Class</th>
<th>Poor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Physical examination</td>
<td>95</td>
<td>65</td>
</tr>
<tr>
<td>Counseling on breastfeeding</td>
<td>100</td>
<td>80</td>
</tr>
<tr>
<td>Contraceptives</td>
<td>85</td>
<td>55</td>
</tr>
<tr>
<td>Blood test for anemia</td>
<td>80</td>
<td>45</td>
</tr>
<tr>
<td>Nutritional supplements</td>
<td>75</td>
<td>40</td>
</tr>
<tr>
<td>Information on warning signs of problems</td>
<td>80</td>
<td>50</td>
</tr>
</tbody>
</table>

| Number | 25 | 137 |

### Table 15: Average expenditure per household for maternal health services at primary health clinic
*(Figures in Dinar)*

<table>
<thead>
<tr>
<th>Expenditure Level</th>
<th>Middle Class</th>
<th>Poor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than D100</td>
<td>-</td>
<td>55</td>
</tr>
<tr>
<td>D200 – D400</td>
<td>25</td>
<td>45</td>
</tr>
<tr>
<td>More than D400</td>
<td>75</td>
<td>-</td>
</tr>
</tbody>
</table>

| Number | 25 | 210 |
SWELLENTSIA SURVEY: DATA TABLES

Table 16: Bribes paid for maternal health services
(Figures in Percentages)

<table>
<thead>
<tr>
<th></th>
<th>%</th>
<th>Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Middle Class</td>
<td>68</td>
<td>17</td>
</tr>
<tr>
<td>Poor</td>
<td>42</td>
<td>88</td>
</tr>
</tbody>
</table>

Table 17: Level of satisfaction with maternal health services
(Figures in Percentages)

<table>
<thead>
<tr>
<th></th>
<th>Middle Class</th>
<th>Poor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overall satisfaction</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Completely</td>
<td>25</td>
<td>10</td>
</tr>
<tr>
<td>Partially</td>
<td>50</td>
<td>40</td>
</tr>
<tr>
<td>Dissatisfied</td>
<td>25</td>
<td>50</td>
</tr>
</tbody>
</table>

Number

<table>
<thead>
<tr>
<th></th>
<th>25</th>
<th>210</th>
</tr>
</thead>
</table>
MODULE 6

USING

PRIMARY INFORMATION

TO MONITOR BUDGET IMPLEMENTATION
MODULE 6  ▶ USING PRIMARY INFORMATION TO MONITOR BUDGET IMPLEMENTATION

LEARNING OUTCOMES FOR THIS MODULE

By the end of this module, participants will have:

- identified different kinds of primary budget documentation and explained what each is used for;
- recognized when primary information may be a useful tool for budget monitoring activities;
- analyzed program invoices and drawn conclusions regarding expenditures on a government program; and
- drawn some initial conclusions from analysis of program expenditure invoices to build and support a budget advocacy objective.

STRUCTURE OF THE MODULE

Sessions 13 & 14: Analyzing Program Expenditure (Proslimy Case Study)

1. Presentation on Proslimy & Provida  
   15 minutes

2. Task 6.1: Proslimy Case Study  
   2 hours, 45 min.

3. Task 6.2: Analyzing Your Findings  
   30 minutes

RESOURCES NEEDED FOR MODULE 6

- PowerPoint presentation *MODULE 6 Provida+Proslimy*
- Contract file in the Polarus Sourcebook with detailed invoices paid by the Sunrise State Department of Health to Proslimy (file includes 100 vouchers)
- Excel file for participants: *Module 6 - Proslimy Invoices (participant worksheet)* – a spreadsheet with information recorded from the 100 vouchers
- Excel file with answers for facilitators: *Module 6 - Proslimy Invoices (answer sheet)*
SESSIONS 13 & 14
ANALYZING PROGRAM EXPENDITURE (PROSLIMY CASE STUDY)
Duration of module: 3 hours and 30 minutes

<table>
<thead>
<tr>
<th>STRUCTURE OF THE MODULE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Presentation on Proslimy &amp; Provida</td>
</tr>
<tr>
<td>2. Task 6.1: Proslimy Case Study</td>
</tr>
<tr>
<td>3. Task 6.2: Analyzing Your Findings</td>
</tr>
</tbody>
</table>

- **Objective:** to provide participants with skills to monitor procurement transactions by analyzing information contained in primary procurement records maintained by the government.

1. **PRESENTATION ON PROSLIMY & PROVIDA**
   - Introduce this part of the module with a brief presentation on the Proslimy contract in Polarus, and what can be learned from the parallel experience of the Provida case in Mexico.
   - Use the slides in the PowerPoint presentation *MODULE 6 Proslimy+Provida* to support you.
   - **READING 6.1** on the Provida case provides background information to inform the discussion.

2. **TASK 6.1: PROSLIMY CASE STUDY**
   - Refer participants to **TASK 6.1: THE PROSLIMY CASE** in their Workbooks. Briefly review the background information pertaining to the Proslimy matter, as set out on the task sheet.
   - Make sure participants are aware that the file containing source documents relevant to this case is to be found in the last section of the Polarus Sourcebook. It is called **CONTRACT FILE: PROSLIMY**. The file contains 100 invoices relating to expenditures incurred by PROSLIMY. Participants will also be given an Excel spreadsheet for this exercise, which the facilitators should provide to them in advance to download onto their computers.
   - Ask participants to spend the first few minutes individually reading through the **TASK SHEET** and the case file on PROSLIMY. Then invite questions of clarification and discuss anything participants are concerned about before they start working.
   - As it is difficult for a whole group to work together on one computer, suggest that the participants first work in pairs or trios to conduct most of the investigation. They can then gather in their larger HMHC groups to discuss and interpret their findings.
3. **Task 6.2: Analyzing Your Findings**  
**30 Minutes**

- Invite participants to reconvene in their HMHC groups and to interpret the results of their investigation into the **Proslimy Case**.

- Ask participants to refer to the questions on **Task 6.2: Analyzing Your Findings**.

- The aim is to capture specific findings and evidence that are relevant to the budget advocacy objectives participants set in Module 4 for their budget advocacy work to advance maternal health.

- Circulate amongst the groups and take note of if any of their conclusions or findings are out of keeping with what can logically be deduced from analyzing the Proslimy case file. If necessary, highlight and clarify any instances where participants have misinterpreted the information in the documents.

- Facilitate a brief plenary discussion to review the participants' responses to Task 6.2.
READING 6.1: THE PROVIDA CASE

Background

In December 2002, the Mexican Congress approved an increase of 600 million pesos for women’s health in the federal budget. The president of the Budget Committee provided detailed instructions to the Ministry of Health for the distribution of these additional resources; the Budget Committee president also gave instructions that 30 million pesos should be earmarked for 10 Centers to Assist Women. Angry legislators, involved in the approval of the supplement of 600 million pesos called civil society organizations to denounce allocation of the 30 million pesos for the Centers to Assist Women – the total allocation was intended for HIV treatment and prevention, and that Centers to Assist Women were not part of the approval.

A coalition of six CSOs came together to investigate the case: Equidad de Género, Ciudadanía, Familia y Trabajo; Grupo de Información en Reproducción Elegida (GIRE); Consorcio para la Equidad y el Diálogo Parlamentario; Salud Integral para la Mujer (SIPAM); Letra S, Salud, Sexualidad y SIDA; and Fundar, Centro de Análisis e Investigación.

Drawing on Mexico’s new transparency law, they learned that the Centers to Assist Women were a front for Provida, a right-wing pro-life organization that campaigns against abortion and against the use of condoms, running counter to the Mexican government’s policies in the field of HIV/AIDS and population. The investigations also revealed that the 30 million pesos received by Provida represented 51 percent of the funds channeled through to NGOs in 2003, and was 120 times the amount that any single organization was legally sanctioned to receive. As time went by, information was sought on how the money was used by Provida. Copies of all the documents and receipts handed in by Provida to the Ministry of Health were requested and a full audit of the expenditure was conducted. It was found that 90 percent of the funds allocated to Provida had been blatantly misused.

A targeted media campaign was launched, after a request for a meeting with the health minister to discuss the issue was refused. An exclusive front page story in a leading Mexican newspaper gave rise to a persistent stream of articles and cartoons for more two months. A broader coalition of civil society groups was brought into the case: more than one thousand groups demanded government action.

The government’s internal controller conducted its own audit, which not only confirmed all of the coalition’s conclusions, but found additional administrative lapses. The Ministry of Health demanded the return of the money, and the internal controller imposed a fine of 13 million pesos on Provida. The external auditor reconfirmed the findings. Provida was asked to return the original
funds, pay the fine and it was barred from receiving public funds for a period of 15 years. Provida did not pay the fine, and the case moved to the courts, where it continues to linger — testifying to the inadequacy of the judicial process in Mexico.

**Developing an advocacy strategy: step by step**

**THE PROBLEM**

Each year a group of Mexican civil society organizations works with legislators in order to improve budget allocations for women’s programs and particular health issues. *After successfully increasing the budget for women and health for fiscal year 2003, 30 million pesos was taken from it, and given to an ultraconservative organization that works against public health policies and objectives.* This entailed several problems:

- Unlawful allocation of resources, by the President of the Budget Committee (given that the Plenary of Congress had decided differently).
- Unlawful allocation of resources to an NGO by the Ministry of Health: NGOs have to submit proposals in an open process, not be allocated resources directly.
- Wrongful application of the legal framework to give out money to NGOs, by the Ministry of Health: NGOs are allocated a maximum of 250,000 pesos — Provida got 30 million pesos.
- Opposition between public health policies and Provida’s programs.

**INITIAL COALITION**

A coalition of six CSOs came together to discuss the allocation of 30 million to Provida, as well as possible actions. *There was a strategic reason for these 6 groups to work together:*

- *Equidad de Género, Ciudadanía, Familia y Trabajo* was interested in strengthening a gender perspective in the budget, and advocate for more funds for women’s programs;
- *Grupo de Información en Reproducción Elegida (GIRE)* had a long trajectory advocating for reproductive rights in Mexico, including abortion;
- *Consorcio para la Equidad y el Diálogo Parlamentario* works with Congress on gender issues;
- *Salud Integral para la Mujer (SIPAM)* works on women’s health;
- *Letra S, Salud, Sexualidad y SIDA* works on HIV/AIDS;
- *Fundar, Centro de Análisis e Investigación* works on budget issues, including women’s health and HIV/AIDS.

All of these CSOs had one objective: to reverse the wrongful allocation of 30 million pesos to Provida.
GOALS OF THE COALITION

Short term objective: To reverse the unlawful allocation of 30 million pesos to Provida immediately.

Medium term objective: To address and correct the loopholes in the legal framework — regarding the budget discussion and approval process, and regarding the disbursement of funds by the Ministry of Health.

Long term goal: To increase the resources allocated to women’s health and HIV/AIDS.

ACCESSING RELEVANT BUDGET INFORMATION

Initial phase

- The approved budget, which was not disaggregated sufficiently to identify the 30 million pesos.
- The document wherein 600 million pesos were approved by Congress, in addition to the resources already allocated to women’s health and HIV programs.
- The letter by the President of the Budget Committee to the Minister of Health, where 30 million pesos for Provida appear for the first time.

The coalition then proceeded to request information directly from the Ministry of Health, regarding the 30 million pesos. This information was denied until it was possible to use Mexico’s new Access to Information Law, which allowed the coalition to confirm that this money had already been disbursed to Provida. Further requests illustrated that another 30 million pesos was going to be disbursed in 2004, and another 30 million in 2005, all to Provida. This encouraged the CSOs to request more information on:

- The legal framework that regulates the Ministry of Health regarding disbursement of funds to NGOs;
- The maximum amount that can be allocated to one group;
- The groups that had been benefiting from allocations during 2003 and before.

Intermediate phase

Once fiscal year 2003 reached its end, the coalition requested:

- A copy of the contract or agreement signed between Provida and the Ministry of Health;
- A copy of the financial report submitted by Provida to the Ministry of Health;
- The complete financial file of Provida, consisting of more than 6,500 copies of vouchers, invoices and others accounting for all expenditures.

Since the amount of money that was being tracked was a small portion of bigger departments, it
did not appear disaggregated in any public document. As a result, the only way to have access to this information was through formal information requests. Having this information allowed the coalition to make a thorough audit on the way Provida spent the 30 million pesos, and launch a comprehensive public campaign.

Final phase

Letters to the legislature, the auditor, the internal controller and the Ministry of Health requesting information regarding their own procedures around the Provida case, once the misuse of public funds was established.

MESSAGE AND MESSAGE DELIVERY

The first year and a half of the coalition’s work was dedicated to understanding what had happened, and to request and obtain the information that was needed to do so. Several actions around the legislature, as the place where the irregular allocation happened, took place. The impact was minimal. Almost no legislator was interested in fixing a problem that worked in their favor. The lack of clarity regarding how additional resources should be specified, and how they would be negotiated, left them ample room for political give and take. However, there were some members of the legislature who were interested in the case, and continued to support the case.

It was only until the citizen’s audit of Provida’s use of the 30 million pesos shed light on major irregularities, that a break-through into public opinion was possible. The misuse of funds was so blatant, and corruption was so evident, that a whole range of actions were planned:

a. Building a broader coalition;
b. A well-developed media strategy;
c. Meetings with the Ministry of Health;
d. Meetings with the legislature;
e. Meetings with the Internal Controller;
f. Meetings with the Superior Auditing Institute;
g. Public follow-up actions, some of them symbolic

Throughout all of these actions, the main messages remained the same:

- Provida misused public funds and had to be penalized for this;
- The 30 million pesos had to be re-integrated to HIV/AIDS funds;
- The government had to proceed according to law — both regarding Provida and the initial irregular allocation of funds in Congress.
The messengers changed according to the audience, and the specific contribution the coalition asked from each audience varied. If we look at each individual action, this becomes clear.

a. Building a broader coalition

Given that Provida is an ultra-conservative group, which had been favored with an important amount of money by a conservative government, the coalition deemed it important to have wider support to face the government. After a year and a half of pushing the case without results, confrontation seemed to be the only option. The results of the audit gave the coalition enough proof for direct confrontation. A meeting was convened to share some general results with other CSOs and request their support for a “citizen’s demand for transparency and accountability”.

Once it was clear that many groups were offended by the findings of the coalition — for many different reasons, ranging from transparency to the hypocrisy of a group that defines itself as being on the moral high ground — it was possible to go even further. In less than one week the coalition had the support of 1,000 CSOs around Mexico. Over the next month, that support exceeded 2,000 groups.

b. A well-developed media strategy

In order to reach public opinion, and turn the case into an ineludible issue for the government, mainstream media had to be won over. The coalition discussed in depth the options, and decided to target the story, as an exclusive, to three different kinds of media: a leading newspaper, a leading radio news program, and a leading TV news program.

The leading newspaper was a center right, at the time quite conservative newspaper, Reforma, which was firmly committed to the topic of transparency. Instead of going with a leftist newspaper — a natural ally to the cause — the first one was privileged because of a strategic reasoning: if Reforma published the case on front page, everybody else would have to pick it up. Proof of misuse of funds (invoices and vouchers of the purchase of expensive Mont Blanc pens, and other irregularities) were handed to the newspaper ahead of time, in order for them to conduct additional research. The radio and the TV news programs were also contacted before the date that had been established for releasing the news, in order to allow for filmed interviews, additional research and a well-prepared coverage. All released the case the same day.

The following day, the coalition called for a press conference, which was attended by all major news reporters (TV, radio and newspapers), whose interest had already been stirred up the previous day. At the press conference, CDs with a PowerPoint presentation prepared by the coalition, including scanned versions of the documents that proved irregularities, were distributed. As a result, every single reporter had all the information and documents, in order to pull out whatever
example they liked. A week later, a paid insert was published, signed by 1,000 organizations, demanding expedient actions regarding the case, framed in the terms of the main messages defined by the coalition.

In only ten days, the citizen’s audit achieved the following media coverage: more than 110 articles were published in the main newspapers, the topic was covered more than 100 times in radio news programs, and appeared more than 30 times in national TV news programs.

c. Meetings with the Ministry of Health

Before releasing the story in the media, a meeting with the Minister of Health was formally requested. The coalition obtained no answer, not even a request to wait until his filled up agenda could offer some space. As a result the public release of the case was scheduled. Once it happened, the Ministry was eager to have a meeting.

Before this meeting, with the Minister and Deputy Ministers, the coalition reconvened in order to clarify the messages, define who would speak, and what would be discussed. A memo was put together after the meeting and responsibilities were assigned in order to follow up the agreements. The Ministry of Health announced that a meeting had been hold, and also announced that further disbursements to Provida had been cancelled. They also demanded the devolution of the already spent 30 million pesos.

d. Meetings with the legislature

In a similar way, legislators were suddenly very interested in learning about the case and finding solutions to it. Several meetings happened with Congress people in the week following the public release of the information. Congress demanded actions on part of the Supreme Audit Institution, called the Minister of Health for a hearing, and approved the creation of a special commission to look into the case.

Once again, the coalition chose the strongest partners for addressing Congress, built on their capacities for developing arguments, and for supporting the meeting Congress would have with the Ministry of Health. The special commission was dismissed a month later, due to the decision of a handful of legislators — some of whom were “allies” of the initiative. In the end, the same problem than at the beginning appeared: the legislature didn’t want to investigate into the loopholes that work in their favor.
e. Meetings with the Internal Controller

The Internal Controller took the initiative in approaching the coalition. A meeting was scheduled and, as in other cases, the arguments were refined, speakers defined, and documents integrated. Irregularities were explained and dealt with in detail, in order to illustrate what the coalition found, and to express the interest in having the Internal Controller officially confirm these findings. Once the official audit finished, and the findings were confirmed and further extended with administrative irregularities, subsequent meetings took place. Again, a record was kept, follow up responsibilities were distributed among the members of the coalition, and work continued. The Internal Controller imposed a 13 million fine on Provida and barred them from receiving public funds in 15 years.

f. Meetings with the Superior Audit Institute

Once the Superior Audit Institute finished the external audit, and reconfirmed the coalition’s initial findings, a meeting was convened with the auditors of the case. Findings were discussed at length, actions were commented, and follow up activities were initiated. This happened already eight months after the public release of the information, and exemplifies the length of a normal budget process. The coalition had started working on the topic at the beginning of 2003, and by this time it was 2005.

g. Public follow-up actions, some of them symbolic

Throughout this time, it was important to keep the issue as a relevant topic in public opinion, in order to maintain the interest and pressure. To achieve this, the coalition followed one basic rule: after each meeting with high-ranking public officials, the coalition would hold another press conference, explaining what was discussed in the meeting and what agreements had been reached. This was crucial in two ways: first, to make clear that the coalition was not willing to negotiate agreements behind closed doors; second, to keep the issue current.

In addition, some symbolic activities were developed. For instance, every year a public vigil for the persons that have died of HIV/AIDS takes place. HIV/AIDS organizations have public stands and distribute information. The coalition carried a stand on the case, demanding official clarification and the devolution of the 30 million pesos for HIV/AIDS programs. A year later, while the legal process was still pending, a “citizen’s tribunal” on the case was put together, to talk about the actions the government should have taken, and that were still pending.
**TASK SHEET 6.1: THE PROSLIMY CASE STUDY**

As you know, the city of Mortalia suffers from a very high rate of maternal mortality and has received a lot of unfavorable publicity in both the state and national media on this issue. Concerned by the damage to its image, the Sunrise state health ministry initiated a high profile maternal health program in the city of Mortalia, under the banner **Proud Women of Mortalia (PWoM)**. An amount of D1 million is allocated in the state’s 2004 budget for this program in the city. Since the state health ministry faces shortages in staff, much of this money was allocated to contractors who were engaged to carry out the program on behalf of the government. The state legislature made an exception to normal government contracting procedures and directly awarded a no-bid contract to PROSLIMY, a large public sector contractor.

PROSLIMY submitted a budget for 312,500 Dinar to the state legislature and was awarded a D250,000 contract (each of the 10 budget categories funded in PROSLIMY’s original proposal was reduced by 20 percent – the amount of the reduction in the entire program budget). The entire amount was paid in advance to PROSLIMY, which submitted bills for D250,000 at the end of the year to the state health ministry.

In 2005, a coalition of health activists from all over the country led by HMHC began investigations on the progress achieved by the maternal mortality prevention program in Mortalia. The state health ministry informed them that most of the program is being run by contractors and that very little information on the program is available with the ministry. However, the coalition’s persistent demands for information were eventually rewarded when the ministry provided them with a copy of the original D312,500 estimate submitted by PROSLIMY to the state legislature. This information is presented in the table below.

**Contract estimates submitted by PROSLIMY**

<table>
<thead>
<tr>
<th>Sr. No.</th>
<th>Particulars</th>
<th>Amount (D)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Transport</td>
<td>12,415</td>
</tr>
<tr>
<td>2.</td>
<td>Medical equipment</td>
<td>105,560</td>
</tr>
<tr>
<td>3.</td>
<td>Publicity campaign</td>
<td>32,663</td>
</tr>
<tr>
<td>4.</td>
<td>Assistance to women</td>
<td>16,948</td>
</tr>
<tr>
<td>5.</td>
<td>Teaching and learning material</td>
<td>9,500</td>
</tr>
<tr>
<td>6.</td>
<td>Office operating expenses</td>
<td>19,585</td>
</tr>
<tr>
<td>7.</td>
<td>Meeting expenses</td>
<td>37,247</td>
</tr>
<tr>
<td>8.</td>
<td>Medicines</td>
<td>27,500</td>
</tr>
<tr>
<td>9.</td>
<td>Office rent and utilities</td>
<td>42,082</td>
</tr>
<tr>
<td>10.</td>
<td>Miscellaneous expenses</td>
<td>9,000</td>
</tr>
<tr>
<td></td>
<td><strong>Total Expenses</strong></td>
<td><strong>312,500</strong></td>
</tr>
</tbody>
</table>
No other information was provided by the state health department. The department claimed that PROSLIMY had submitted accounts of its expenditures for D250,000, but that this information ran into hundreds of pages and it was not feasible for the government to make it available.

HMHC used the Right to Information Act of 2008 to demand copies of all the accounting records submitted by PROSLIMY. After a protracted struggle in the state high court, HMHC was able to access all the information available within the health ministry. This information is available in the CONTRACT FILE: PROSLIMY in the last section of your Polarus Sourcebook.

During subsequent meetings with the health ministry, HMHC members were able to obtain some information about the nature of expenses incurred by PROSLIMY during the execution of the contract. This information includes the following:

- PROSLIMY staff attended two conferences organized by the health ministry and paid for their travel (including air travel) to these meetings from the contract fees.
- PROSLIMY organized several public educational meetings throughout the year at which pregnant women were invited to attend courses on maternal mortality prevention strategies.
- PROSLIMY operated a mobile hospital unit (ambulance), which was equipped with medical equipment. The mobile unit travelled extensively through the region and provided medical services to pregnant women.
- PROSLIMY distributed nutritional food and clothes to pregnant women during medical camps that were organized in different regions throughout the year.
- PROSLIMY undertook a public campaign through newspaper advertisements and radio commercials to heighten public awareness on maternal mortality issues.

**STEPS TO COMPLETE**

Sift through the financial information obtained for the Sunrise State Department of Health and complete the following tasks:

1. Record 5 to 10 invoices obtained from the Sunrise State Department of Health onto a computer spreadsheet. The remaining 90 to 95 vouchers have already been entered for you in a spreadsheet that will be loaded onto your computers by the facilitators.
2. Categorize each invoice entered in the spreadsheet under budget categories, using the same 10 budget categories as were utilized by PROSLIMY. Prepare a summary of the actual expenditures under each of these 10 budget categories.

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3. Categorize the invoices chronologically into four quarters of the year and note down any spending patterns you become aware of.

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4. Calculate the percentage of each expenditure category against the total expenditure. What does this tell you about PROSLIMY’s spending priorities?

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5. Carefully scrutinize all invoices in terms of three important value-for-money factors:
   a. economy (could the expenditure have been undertaken at a lesser expense?)
   b. efficiency (were maximum outputs being achieved from minimum inputs?); and
   c. effectiveness (did the expenditure deliver its intended results?).

Record any anomalies that you notice in a voucher on the spreadsheet that contains the details of each voucher entry.

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6. Further, scrutinize all invoices for procedural irregularities. In Polarus, all invoices (whether maintained by the private sector or public sector) are required to be printed at a government printing press. Each invoice is given a unique identification number and is valid for a period of two years from the date of issuance (which is also printed on the invoice). The invoice contains the name of the vendor and the vendor’s address and government identification number (issued for tax identity purposes). The buyer’s name, address, and tax identity number is also printed on the invoice. The invoice should also contain details of the sale transaction. Use this and other
information to check whether invoices in the PROSLIMY file contain any information that indicates falsification and/or fraud. Record any anomaly that you notice in a voucher on the spreadsheet that contains the details of each voucher entry.
TASK SHEET 6.2: ANALYZING YOUR FINDINGS

Reflect on what you have learned from your investigations into the sub-contracting of PROSLIMY to deliver components of the Proud Women of Mortalia program. Consider the following questions:

1. What are the three or four main findings of your investigations?

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2. What are the implications of these findings for women in Sunrise State, especially those who are pregnant or in the post-partum period? What do your findings indicate about the government's intentions and performance in improving maternal health?

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3. Look back to the budget advocacy objective that you defined in Module 4. List all of the specific findings from the PROSLIMY case that you can use to sharpen/refine your budget advocacy objective and provide evidence on the maternal health crisis in Sunrise State.

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MODULE 7

USING
SECONDARY INFORMATION
TO MONITOR BUDGET IMPLEMENTATION
MODULE 7 ❖ USING SECONDARY INFORMATION TO MONITOR BUDGET IMPLEMENTATION

LEARNING OUTCOMES FOR THIS MODULE
By the end of this module, participants will have:

- recognized why and how organizations analyze secondary budget information to support their advocacy interventions;
- defined some key terms and phrases relevant to budget documents and budget monitoring;
- identified and read different kinds of secondary budget information;
- explained the types of activities that can be undertaken to monitor budget implementation using secondary information;
- described the different phases of the budget oversight process;
- outlined the roles of oversight bodies in monitoring budget implementation; and
- used audit reports, legislative committee reports, and the reports of ministries/departments/agencies (MDAs) to evaluate the performance of MDAs/service providers.

STRUCTURE OF THE MODULE

Session 15: How do CSOs use secondary information for monitoring?
1. Task 7.1 Experiences of monitoring budget implementation 25 minutes
2. Plenary discussion: Different ways of using secondary information 20 minutes
3. Task 7.2: Definitions game 60 minutes

Session 16: A closer look at budget oversight
4. Facilitator input: The oversight process 20 minutes
5. Task 7.3: Reporting and oversight roles in Polarus 40 minutes
6. Individual Reading 7.1: HMHC & the Department of Health 10 minutes
7. Plenary work session - Task 7.4: What do the figures say? 35 minutes

Session 17: Investigating departmental performance
8. Task 7.5: Analyzing the Department of Health’s Annual Report 30 minutes
9. Plenary discussion: What are the discrepancies? 15 minutes
11. Plenary discussion: Which explanation is supported by this evidence? 15 minutes
Session 18: Investigating departmental performance (continued)

12. Task 7.7: What does the Legislative Committee Report reveal? 30 minutes

13. Gallery walk: What explanation is supported by this evidence? 15 minutes

14. Role Play: How can we use this information for advocacy? 60 minutes

**RESOURCES NEEDED FOR MODULE 7**

- Flipchart paper and markers
- Definitions Cards: 1 full set of 20 terms and 20 definitions for each group (printed and cut out)
- Three flipchart stands
- Post-it notes or cards and adhesive
- Mock or real microphone for the role play
SESSION 15
HOW DO CSOs USE SECONDARY INFORMATION FOR MONITORING?
Duration of session: 1 hour and 45 minutes

<table>
<thead>
<tr>
<th>STRUCTURE OF THE SESSION</th>
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<tbody>
<tr>
<td>1. Task 7.1 Experiences of monitoring budget implementation</td>
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<tr>
<td>2. Plenary discussion: Different ways of using secondary information</td>
</tr>
<tr>
<td>3. Task 7.2: Definitions game</td>
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1. TASK 7.1: EXPERIENCES OF MONITORING BUDGET IMPLEMENTATION 25 MINUTES

- **Aim:** for participants to draw from their own budget work experience to consider how they have used secondary information in the past, while also allowing them to exchange information and insights with other participants.

- Introduce this module by clarifying, if necessary, what is meant by ‘secondary information’ in the context of this workshop. Clarify that secondary information includes a wide range of documents generated by government or other role-players, which have a bearing on the implementation of government programs or policies, and which present, amalgamate and/or comment on primary budget information. Some examples of secondary information in this context are budget reports, audit reports, portfolio committee reports, annual reports of departments, research papers conducted by academics, evaluations undertaken by donor organizations, and so forth.

- Explain that during the course of Module 7, participants will practice using some kinds of secondary information in Polarus to further tackle the problem of maternal mortality in Sunrise State. But before they set off for Polarus again, this first exercise invites them to briefly take stock of and share what they already know about the secondary information terrain.

- Ask participants to gather together with two or three others they have not had much opportunity to work with yet during the workshop.

- In these small buzz groups, ask them to share their stories and experiences of using secondary information. More specifically, what experiences do they have in:
  - Accessing and using information from government Ministries, Departments and Agencies.
  - Using information from and engaging with Legislative Committees who are tasked with oversight of departments or sectors they are or were monitoring.
  - Using information from and engaging with Supreme Audit Institutions.
  - Using any other examples of secondary information for monitoring budget implementation.
• Refer participants to **TASK SHEET 7.1** in their Workbooks. Besides the questions above, the task sheet also asks them to discuss how they overcame challenges encountered in accessing or using secondary information for monitoring.

• After approximately 20 minutes, call the participants back to the plenary gathering.

2. **PLenary discussion: Different ways of using secondary information**

   **20 MINUTES**

• Invite two or three participants to share their experiences of using secondary information.

• Ensure you consider and discuss each of the role-players referred to in **Task 7.1**.

• Draw attention to any interesting patterns emerging from the discussion. For example, note if organizations have focused more attention on information from government departments in the past, and have given less or no attention to legislative and/or audit reports.

• Briefly explore when and why different kinds of secondary information may be more relevant and useful in different contexts.

• Pose the following question for discussion in plenary: How can the impact of budget advocacy work be strengthened by using more and/or varied sources of secondary information?

• Explain that there is not enough time in this module to explore all the various kinds of secondary budget information in depth. As a result, the bulk of this module will focus mostly on secondary information generated by oversight institutions, namely the legislatures and auditor-general.

• In preparation for this, the next exercise introduces the participants to some key terms and definitions they will need and use during the rest of the module.

3. **Task 7.2: Definitions game**

   **60 MINUTES**

• **Aim**: For participants to get to know some key terms used in budget monitoring and oversight.

• Ask the participants to play this game in their Polarus CSO groups.

• Give each group a set of Budget Monitoring Definitions Cards. There should be two colors of printed cards for each group: 20 cards with key terms printed on them (in one color), and 20 cards with definitions (in another color).

• Explain that the groups have around 30 minutes to match all the key terms with their definitions.

• When a group believes it has completed the matching exercise correctly, they should all stand on their chairs and shout “Hakuna Matata!”

• The facilitator will then check their combinations, and if they are correct, they will be announced champions of the MBI definitions game, and win prizes as well. If they are not correct, they will be disqualified and the game will continue for the other groups.
If no teams have shouted *Hakuna Matata!* after 45 minutes, call a halt to the game and discuss the correct answers in plenary. Give prizes to the team that had the most correct matches. In fact, all the teams get something!

Participants can record the correct matches in their Workbooks, on **TASK SHEET 7.2: BUDGET MONITORING DEFINITIONS.**

**ANSWERS TO TASK 7.2**

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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<tbody>
<tr>
<td>Accrual accounting</td>
<td>A form of accounting that records fund flows at the time economic value is created, transformed, exchanged, transferred or extinguished.</td>
</tr>
<tr>
<td>Appropriation</td>
<td>An authority granted under a law by the legislature to the executive to spend public funds, up to a set limit, for a specific purpose.</td>
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<tr>
<td>Audit opinion</td>
<td>It is given by an auditor at the end of an audit investigation.</td>
</tr>
<tr>
<td>Budget execution process</td>
<td>This begins once the legislature has enacted the budget law, and mandates the executive to collect revenue and spend public funds according to the allocations contained in that law.</td>
</tr>
<tr>
<td>Cash accounting</td>
<td>A form of accounting that records only cash payments/receipts and records them at the time they occur.</td>
</tr>
<tr>
<td>Disclaimer of audit opinion</td>
<td>It is issued by the auditor when s/he is unable to arrive at an opinion regarding the financial statements taken as a whole, due to fundamental uncertainty.</td>
</tr>
<tr>
<td>Economic classification</td>
<td>The categorization of expenditures (or expenses) and financial assets into categories which emphasize the economic nature of the transactions involved – for example: salaries, interest, transfers.</td>
</tr>
<tr>
<td>Emphasis of matter</td>
<td>A separate paragraph of an audit opinion in which the auditor points out unusual or important matters that are necessary to a proper understanding of the financial statements.</td>
</tr>
<tr>
<td>Financial management</td>
<td>The legal and administrative systems and procedures put in place to permit government ministries and agencies to conduct their activities so that the use of public funds meets defined standards of probity, regularity, efficiency and effectiveness.</td>
</tr>
<tr>
<td>Financial statements</td>
<td>These are prepared by a reporting entity to communicate information about its financial performance and position.</td>
</tr>
<tr>
<td>Functional classifications</td>
<td>The categorization of expenditures (or expenses) and financial assets according to the purpose for which the transactions are undertaken.</td>
</tr>
<tr>
<td>Gross domestic product</td>
<td>An aggregate measure of production, equal to the sum of the gross values added of all residents engaged in production (plus any taxes, and minus any subsidies on products not included in the value of the outputs).</td>
</tr>
<tr>
<td>Performance measurement</td>
<td>Assessment of the efficiency and effectiveness of a program or the activities of an organization through an examination of the relevant inputs, processes, outputs and outcomes.</td>
</tr>
</tbody>
</table>
### Procurement
The process whereby a government buys something, including the identification of what is needed, determining who should supply the need, and ensuring delivery of what has been bought.

### Public Accounts Committee
A group of representatives within a legislature which is formally mandated to scrutinize and oversee the financial management of public resources.

### Qualified audit opinion
This is given when an auditor disagrees with or is uncertain about one or more items in the financial statements that are material but not fundamental to an understanding of the statements.

### Unauthorized expenditure
Money that was spent for purposes other than for which it was allocated, or expenditure in excess of what was allocated.

### Unqualified audit opinion
This is given when an auditor is satisfied in all material respects that the financial statements have been prepared using acceptable accounting practices, and that they comply with statutory requirements and disclose all relevant material matters.

### Virement
The process of transferring an expenditure provision from one line-item to another during the budget year.

### Warrant
A release of all or (more commonly) a part of the total annual appropriation on a quarterly or monthly basis that allows a line ministry or spending agency to make commitments.
SESSION 16
A CLOSER LOOK AT BUDGET OVERSIGHT
Duration of session: 1 hour and 45 minutes

<table>
<thead>
<tr>
<th>STRUCTURE OF THE SESSION</th>
<th>Duration</th>
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<tbody>
<tr>
<td>4. Facilitator input: The oversight process</td>
<td>20 minutes</td>
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<tr>
<td>5. Task 7.3: Reporting and oversight roles in Polarus</td>
<td>40 minutes</td>
</tr>
<tr>
<td>6. Individual Reading 7.1: HMHC &amp; the Department of Health</td>
<td>10 minutes</td>
</tr>
<tr>
<td>7. Plenary work session - Task 7.4: What do the figures say?</td>
<td>35 minutes</td>
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4. FACILITATOR INPUT: THE OVERSIGHT PROCESS 20 MINUTES

- Use the PowerPoint file *MODULE 7 Secondary Information* to give participants an overview of the oversight process, as well as the various models of Supreme Audit Institutions.
- Field questions of clarification, and explain that Polarus follows the Westminster model of audit institutions.

5. TASK 7.3: REPORTING & OVERSIGHT ROLES IN POLARUS 40 MINUTES

- **Aim:** participants have a chance to apply what they just learnt about the oversight process to the Polarus context. This also serves as a foundation for the exercises to follow in this Module.
- Ask participants to familiarize themselves with the following information in their Polarus Sourcebooks:
  - The section called ‘Legislation governing oversight in Polarus’ in Chapter 2 (page 15).
  - The extracts from the Public Finance Management Act in Chapter 5 (page 30)
  - The regulations regarding financial reporting in Polarus (page 35).
- After reading the relevant materials, participants should gather in their Polarus CSO groups and complete the questions on **Task Sheet 7.3: Reporting and Oversight Roles in Polarus** in their Workbooks.
- After 20 minutes, circulate to all the groups and ask each group to write up one of the following roles and responsibilities on a sheet of flipchart paper:
  - **Group A:** In Polarus, the Sunrise State Department of Health has the following responsibilities when it comes to reporting...
Group B: In Polarus, the Legislatures and their Committees must exercise oversight over the Sunrise State Department of Health by...

Group C: In Polarus, the Office of the Auditor-General must exercise oversight over the Sunrise State Department of Health by...

Group D: When monitoring a government department, oversight institutions should be on the look-out for...

- Ask the groups to display their completed sheets of flipchart paper on the training room walls.
- Facilitate a ‘gallery walk’ report-back: Invite all the participants to circulate and read what the other groups have written up.
- If necessary, correct any inaccuracies or misunderstandings in what the groups have written up, and add any important points that may have been omitted.
- Explain to participants that the information they have just written up represents the legal framework or context within which they are working in Polarus. They should keep these roles on responsibilities in mind as they now proceed with the challenge of addressing the maternal mortality situation in Sunrise State.

6. INDIVIDUAL READING 7.1: HMHC & THE DEPARTMENT OF HEALTH  
10 MINUTES

- Ask participants to spend a few minutes reading carefully through the next installment in their HMHC case study. It appears as READING 7.1 in their Participants’ Workbooks.
- While participants and reading, set out three flipchart stands in the training room. Display one of the three ‘explanations’ given in the Reading on each of the stands.
- Before proceeding to the next exercise, ask the participants which of the three explanations about the budget implementation problems of the health department in Sunrise State they think is most convincing. Ask them to give a show of hands for each one, or alternatively, ask them to go and stand in front of the flipchart stand that displays the explanation they most support.
- Give one or two people a chance to motivate why they have chosen one explanation above another, but do not let the debate continue for more than a minute or two.
- Point out that at this stage, the participants can only really have hunches about the budget implementation problems in Sunrise State health department. The rest of this Module will be all about gathering evidence to shed light on which problems are most severely contributing to the high maternal mortality rate in Sunrise State – and more importantly, to begin uncovering what has to be addressed in order to solve these problems.
- Also note that there may be more than one explanation for the maternal health problems in
Sunrise State. It could be that all three of the theories on the flipchart stands are true, and that there are even more additional factors contributing to the situation. The only way to find out is to gather and analyze more information.

7. **Plenary Work Session – Task 7.4: What do the figures say?**

**35 MINUTES**

- **Aim:** to illustrate to participants how budget figures can be used to investigate a development problem further, and establish the meaning of “underspending” and why it is problematic. A secondary aim is to acknowledge the broad range of enquiry that could be conducted using expenditure data in secondary documents, and to clarify what will be covered (and not covered) in this workshop.

- Ask the participants to think back to the role-play they did in Module 2, when they interviewed the various government officials about the maternal mortality situation in Sunrise State. Remind them that they were left with a number of possible budgetary causes contributing to the development problem of poor maternal health care.

- Invite one or two participants to re-state some of the budgetary causes that emerged during the Module 2 role play (or refer back to the flipchart paper where these were written down). For ease of reference, these could have included any or all of the following (amongst others):
  - The Sunrise State Department of Health does not have enough funds to deliver adequate maternal health services;
  - The Sunrise State District Health Services program is under-spending or wasting money.
  - Too little is being spent on training skilled birth attendants and/or on allocations to salaries for skilled birth attendants at primary health clinics.
  - There is corruption in the procurement of goods and services by the DHS program.
  - The performance of contractors responsible for supplying obstetric medicines and equipment is not being monitored and managed effectively by the Sunrise State Department of Health.

- Note that from **Reading 7.1**, the participants now have some additional information (or opinions) about how the problem of poor maternal health services is manifesting in practice in the implementation of service delivery. The challenge now is to begin making sense of how these practical problems being experienced at the service delivery point can be tracked back to one or more specific budgetary causes.
Knowing which budgetary causes are contributing to poor service delivery is essential for effective budget advocacy. Without understanding the causes, you cannot motivate for an effective solution, and a desired course of action.

Against this background, ask participants to turn to Task Sheet 7.4: What do the figures say? in their Workbooks. Explain that this will be a plenary work session.

Participants will also need to look at the State Spending Data and Health Budget Data in Sections 8 & 9 of their Polarus Sourcebooks (pages 60 – 70). Alternatively, they could access these figures on their laptops in the Polarus Master Data 2010 (Tabs 7, 21, 22 & 24).

Draw the link back to TASK 7.3, where participants learnt that all government departments, including the Department of Health in Sunrise State, is obligated to report on how it spends its funds. So a useful step in any budget advocacy project is to go and see what the available budget figures say about the department or program you are monitoring.

Lead the participants through the questions one by one in plenary. In each case, give them a chance to respond and invite individuals to volunteer answers, before correcting or discussing them as you proceed. Model answers are provided below.

After completing this exercise in plenary, point out to participants that there are literally dozens of exciting calculations one can do using budget figures such as these. This is what participants learn to do when they attend the IBP’s General Intermediate Training workshop.

Undertaking extensive budget analysis is therefore one way of using secondary information to gather insight into the budget implementation process. In this module of the workshop, the focus will not fall on doing further calculations, although participants should feel free to use the budget data provided to support their advocacy group work as they see fit.

Instead, the investigation in this module will now compare what the Sunrise State Department of Health was reporting for 2008, with what the Oversight institutions found when they scrutinized the department’s expenditure for the same year.

**Answers to Task 7.4**

1. The State Spending tables on pages 60 to 62 of the Polarus Sourcebook:
   a) What years do they cover? **2005 and 2008**
   b) Why are there two tables for 2005?

   _One gives budgeted figures and the other gives actual audited figures._
c) What is the difference between the two sets of figures for 2005?

*The budgeted figures are what the government was planning to spend. The actual audited figures reflect what funds were actually spent.*

2. The correct figures for:

a) How much did Sunrise State budget for health in 2005? **1,811,000,000 Dinar**

b) How much did Sunrise State spend on health in 2005? **1,766,000,000 Dinar**

c) How much did Sunrise State budget for health in 2008? **4,027,000,000 Dinar**

*Make sure all the participants have the right number of zeros.*

3. The Maternal Health-related expenditures on pages 63 and 64: Note these figures are based on research commissioned by NGOs in Sunrise State. Why do you think it would have been necessary to commission such research?

*It is often difficult to track a specific development problem or target group through government budgets. This is the case when it comes to maternal health in Polarus. There is no separate maternal health program in the larger health budget. Instead, spending on women who are receiving maternal health care is spread across several programs and budgets. So unless a government department collects the disaggregated data you need, it will take some dedicated research to try and establish exactly which expenditures ended up being spent on the issue you are monitoring. Even then, it is not always possible to extract the figures you need. Therefore the need to advocate for specific categories of disaggregated data is often an essential component of effective longer-term budget work.*

4. The Maternal Health-related expenditures in Sunrise State on page 64:

a) The total amount budgeted for maternal health-related services in 2005? **94,789,000 Dinar**

b) The total amount actually spent on maternal health-related services in 2005? **73,309,000 Dinar**

*Ensure that all participants have the right number of zeros.*

c) If you compare these two figures, what do you notice?

*There is a big discrepancy between the amount budgeted and the amount actually spent. This is called underspending, and when you undertake more in-depth budget analysis, it is often expressed as a percentage.*

d) Is this a problem? If so, why?

*Underspending is a serious budget problem. When you notice extensive or*
repeated underspending on a given program or service, it often points to a lack of capacity, on the part of the implementing agency or responsible department, to operationalize projects and services. This may be due to poor management, a shortage of skills or other human resources, poor coordination with other programs, or other systemic problems that make it difficult to implement projects or deliver services. Underspending can also indicate poor planning, for example if a department overestimated the need for a service, or based its budget projections on poor data or faulty assumptions.

5. Look at the health budgets on pages 65 to 67. Can you tell from these whether Sunrise State is spending enough on health? Explain your answer.

It is impossible to tell from these budgets alone whether Sunrise State is spending enough on health. “Enough” is a relative term. You need to ask: Is Sunrise State spending enough on health relative to other states, or relative to the need for health services in Sunrise State, or relative to accepted international standards. Answering these questions would need further analysis and information. For example, if you knew how many people there are in each state, you could compare per capita spending on health and draw some conclusions.
SESSION 17
INVESTIGATING DEPARTMENTAL PERFORMANCE
Duration of session: 1 hour and 45 minutes

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<tr>
<td>11. Plenary discussion: Which explanation is supported by this evidence?</td>
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8. TASK 7.5: ANALYZING THE DEPARTMENT OF HEALTH’S ANNUAL REPORT 30 MINUTES

- **Aim**: for participants to practice extracting relevant information from government documents, and analyze what it reveals about a particular development problem.

- Ask participants to work in their Polarus CSO groups. They should begin by reading the extract from the 2008 Annual Report of the Sunrise State Department of Health. This appears in Section 10 of the Polarus Sourcebook (page 75).

- The questions to discuss in this group exercise are set out on **Task Sheet 7.5: Analyzing the Department of Health Annual Report** in the Participants’ Workbooks.

- After 25 to 30 minutes, ask the participants to reconvene together in the training room.

9. PLENARY DISCUSSION: WHAT ARE THE DISCREPANCIES? 15 MINUTES

- Facilitate an informal report-back on the three questions raised in **Task Sheet 7.5**.
  - Focus attention especially on the third question.

- The main points which should emerge from the discussion:
  - The department’s apparent commitment to improving maternal health care through the initiation of the ‘Saving Mothers, Saving Babies’ project may provide an important leverage point for budget advocacy.
  - The explanations given for under-spending in the District Health Services and Emergency Medical Services programs are very vague. These should be key issues to follow up on.
  - The issue of staff shortages and questions around the qualification requirements for birth assistants is critical. This is a decision-making and recruitment process which the CSOs could try to influence through their advocacy.
The stated ‘turnaround’ in Emergency Medical Services is at odds with other accounts of access to emergency care. The informant introduced to the group by the Polarus Times journalist, as well as the maternal health statistics in the Polarus Sourcebook bear out the fact that too few maternal health cases are successfully referred for emergency care in Sunrise State. This may be the single most significant factor contributing to the high maternal mortality rate.

10. **Task 7.6: What does the 2008 Audit Report reveal?** 45 minutes

- **Aim:** to give participants an opportunity to extract relevant information from an audit report and consider what it reveals about a particular development problem.

- For this exercise, participants again work in their Polarus CSO groups. Invite them to read the Audit Report prepared by the Auditor-General’s Office of Polarus and submitted to the Sunrise State legislature regarding the 2008 financial statements of the Sunrise State Department of Health. This appears in Section 10 of the Polarus Sourcebook (page 84).

- The questions to discuss in this group exercise are set out on **Task Sheet 7.6: What does the 2008 Audit Report reveal?** in the Participants’ Workbooks.

- Hand out some large post-it notepads or some plain cards (around 6-8 should be enough) to each of the groups. Ask them to write their responses to Question 3 on the cards. Each card should have a different point. So for example, if a group can see a connection between the problem of poor data records concerning staff qualification and leave (as highlighted in the Audit Report) and the reports of birth assistants not being adequately skilled or on duty, this represents one point and should be written on its own card.

- After 40 minutes, ask the participants to reconvene together in the training room.

11. **Plenary Discussion: Which explanation is supported by the evidence?** 15 minutes

- Facilitate a report-back on **Task 6.4**, focusing especially on the connections made by the groups in Question 3. As facilitator, your primary aim during this report-back is to check that participants are able to see the links between the budgetary and management problems highlighted in the audit report, and how these could be manifesting in practical ways during service delivery.
• Make sure everyone can see the three flipchart stands with the three explanations for the maternal mortality crisis in Sunrise State, as given by the three mock characters in Reading 7.1.

• Ask the participants to consider whether any of the points they wrote up on the cards in response to Question 3 of Task 7.6 could be used as evidence to support any of the arguments presented on the three flipchart stands.

• Invite the participants to come up and attach any of their cards to support any of the explanations. This can be done by sticking the relevant post-it note or card up on the flipchart sheet/stand displaying the explanation they think it supports.

• Briefly discuss and review their findings, confirming where the participants have drawn strong and reasonable connections.

• Note that when CSOs (in the “real world”) undertake budget monitoring, they often repeat many cycles of gathering information, scrutinizing that information and considering how it can be used as evidence to support an argument. The more secondary documents you consult, the more layers or pieces of supporting evidence can be added to your advocacy message. You may not end up using every bit of information with every audience, but having a fuller picture of the problem strengthens your ability to diagnose and recommend a solution that can really have the desired impact.
SESSION 18
INVESTIGATING DEPARTMENTAL PERFORMANCE
(CONTINUED)
Duration of session: 1 hour and 45 minutes

STRUCTURE OF THE SESSION

<table>
<thead>
<tr>
<th>Task</th>
<th>Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>12: Task 7.7: What does the Legislative Committee Report reveal?</td>
<td>30 minutes</td>
</tr>
<tr>
<td>13. Gallery walk: What explanation is supported by this evidence?</td>
<td>15 minutes</td>
</tr>
<tr>
<td>14. Role Play: How can we use this information for advocacy?</td>
<td>60 minutes</td>
</tr>
</tbody>
</table>

12. TASK 7.7: WHAT DOES THE LEGISLATIVE COMMITTEE REPORT REVEAL?
30 MINUTES

- **Aim**: For participants to follow the oversight process further by studying a legislative committee report, as another example of a secondary information source that can be used for budget advocacy around a particular development problem.

- Ask the participants to read the Resolutions & Recommendations of the Sunrise State Portfolio Committee on Health, Oversight Report 2008. It appears in Section 10 of the Polarus Sourcebook (page 88).

- This exercise is again a group task, to be conducted in their Polarus CSO groups. The questions to be addressed are similar to the previous exercise, and appear in the Participant’s Workbooks on Task Sheet 7.7: What Does the Legislative Committee Report Reveal?

- Again make sure that all the groups have post-it notes or cards to write up their responses to Question 3.

- After 15 minutes of discussion time, circulate amongst the groups to make sure they have begun writing up their points onto cards.

13. GALLERY WALK: WHAT EXPLANATION IS SUPPORTED BY THE EVIDENCE?
15 MINUTES

- When the groups have completed their discussions of the Legislative Committee Report, invite them to add any additional cards or post-its emerging from Task 7.7 to any of the explanations on the three flipchart stands.

- Ask all the participants to circulate and revisit the three explanations at their own pace, and take stock of all the information they have now clustered under the different arguments or issues.

- This can be a reflective time for participants to think through their findings or you could use this
time as facilitator to consolidate the main points emerging from the group discussions. (However, the following role play will provide you with an opportunity to see how well the participants have understood and internalized the last two learning objectives of this module).

14. ROLE PLAY: HOW CAN WE USE THIS INFORMATION FOR ADVOCACY? 60 MINUTES

- **Aim**: to use the information gleaned from secondary documents about a government department to build an argument concerning service delivery and back it up with evidence.

- Ask the participants to imagine that they are back in Polarus, and that the Sunrise State Portfolio Committee on Health is holding public hearings. As member organizations of the Healthy Mothers, Healthy Children coalition, the participants’ CSO groups all have the opportunity to make an oral submission to the Committee about the maternal health situation in Sunrise State.

- Invite the groups to take 15 minutes to prepare what they will say to the Portfolio Committee.

- They will have a maximum of 7 minutes per group to make their submissions. The groups should:
  - Choose one critical problem contributing to poor maternal health care to focus on rather than trying to cover all the various aspects.
  - Make use of the evidence gathered from secondary information sources in this Module to back up their argument.
  - Explain the problem, recommend a solution, and propose what action they would like the Committee to take.

- After 15 minutes preparation time, urge the groups to gather together. Ask the facilitation team or one or two of the groups to play the role of the Portfolio Committee members, while each of the Polarus CSO groups has a chance to make their oral submission.

- Be strict about keeping the submissions to no more than 7 minutes per group. In this role play, the emphasis is not on providing a comprehensive analysis of the issue and its budgetary causes. The aim is rather to encourage the participants to think strategically about how they can use the information they have gathered for advocacy. They should show that they understand the role of the Legislative Committee as an oversight body, and not an implementing agency.

- When all the groups have made their submissions, provide an opportunity for constructive feedback. Draw attention to examples of how they chose their information strategically and used
evidence effectively for advocacy to this particular target group. Give suggestions on how participants could improve at:

- diagnosing the budget causes contributing to a development problem;
- identifying appropriate solutions; and
- defining a desired course of action that the target audience could take.

- At the end of the Module, participants spend 30 minutes working on their budget advocacy projects in their own country contexts.
TASK SHEET 7.1: EXPERIENCES OF MONITORING BUDGET IMPLEMENTATION

In buzz groups, discuss the following questions:

1. What experiences have you had of accessing and using secondary information from:
   - Government Ministries, Departments, and Agencies?
   - Legislative Committees who are tasked with oversight of the departments or sectors that you are focusing on?
   - The Supreme Audit Institution in your country?

2. How have you used secondary information from these role players to support your budget advocacy work?

3. What challenges have you faced in accessing or using secondary information, and how did you overcome these challenges?

NOTES

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## TASK SHEET 7.2: BUDGET MONITORING DEFINITIONS

Choose one of the terms in the box below to match each of the definitions in the table.

<table>
<thead>
<tr>
<th>Definition</th>
<th>Key Term</th>
</tr>
</thead>
<tbody>
<tr>
<td>This is given when an auditor disagrees with or is uncertain about one or more items in the financial statements that are material but not fundamental to an understanding of the statements.</td>
<td>Functional classification, Disclaimer of audit opinion, Appropriation</td>
</tr>
<tr>
<td>An authority granted under a law by the legislature to the executive to spend public funds, up to a set limit, for a specific purpose.</td>
<td>Appropriation, Public Accounts Committee</td>
</tr>
<tr>
<td>It is given by an auditor at the end of an audit investigation.</td>
<td>Audit opinion, Audit opinion</td>
</tr>
<tr>
<td>A form of accounting that records only cash payments/receipts and records them at the time they occur.</td>
<td>Cash accounting, Economic classification, Financial statements, General accounting, Warrant</td>
</tr>
<tr>
<td>The process of transferring an expenditure provision from one line-item to another during the budget year.</td>
<td>Appropriation, Warrant, Virement</td>
</tr>
<tr>
<td>It is issued by the auditor when s/he is unable to arrive at an opinion regarding the financial statements taken as a whole, due to fundamental uncertainty.</td>
<td>Audit opinion, Appropriation, Emphasis of matter, Financial statements, Virement</td>
</tr>
<tr>
<td>A form of accounting that records fund flows at the time economic value is created, transformed, exchanged, transferred or extinguished.</td>
<td>Economic classification, Financial statements, Performance measurement, Warrant</td>
</tr>
<tr>
<td>A separate paragraph of an audit opinion in which the auditor points out unusual or important matters that are necessary to a proper understanding of the financial statements.</td>
<td>Financial management, Financial management</td>
</tr>
<tr>
<td>Definition</td>
<td>Key Term</td>
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<tr>
<td>---------------------------------------------------------------------------</td>
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</tr>
<tr>
<td>An aggregate measure of production, equal to the sum of the gross values</td>
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<tr>
<td>added of all residents engaged in production (plus any taxes, and minus any</td>
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<tr>
<td>subsidies on products not included in the value of the outputs).</td>
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<tr>
<td>These are prepared by a reporting entity to communicate information about</td>
<td></td>
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<tr>
<td>its financial performance and position.</td>
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<tr>
<td>The categorization of expenditures (or expenses) and financial assets</td>
<td></td>
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<tr>
<td>according to the purpose for which the transactions are undertaken.</td>
<td></td>
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<tr>
<td>This begins once the legislature has enacted the budget law, and mandates</td>
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<tr>
<td>the executive to collect revenue and spend public funds according to the</td>
<td></td>
</tr>
<tr>
<td>allocations contained in that law.</td>
<td></td>
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<tr>
<td>Assessment of the efficiency and effectiveness of a program or the activities</td>
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<tr>
<td>of an organization through an examination of the relevant inputs, processes,</td>
<td></td>
</tr>
<tr>
<td>outputs and outcomes.</td>
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<tr>
<td>The process whereby a government buys something, including the</td>
<td></td>
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<tr>
<td>identification of what is needed, determining who should supply the need,</td>
<td></td>
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<tr>
<td>and ensuring delivery of what has been bought.</td>
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<tr>
<td>A group of representatives within a legislature which is formally mandated</td>
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<tr>
<td>to scrutinize and oversee the financial management of public resources.</td>
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<tr>
<td>Money that was spent for purposes other than for which it was allocated,</td>
<td></td>
</tr>
<tr>
<td>or expenditure in excess of what was allocated.</td>
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<tr>
<td>This is given when an auditor is satisfied in all material respects that</td>
<td></td>
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<tr>
<td>the financial statements have been prepared using acceptable accounting</td>
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<tr>
<td>practices, and that they comply with statutory requirements and disclose all</td>
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<tr>
<td>relevant material matters.</td>
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<tr>
<td>The legal and administrative systems and procedures put in place to permit</td>
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<tr>
<td>government ministries and agencies to conduct their activities so that the</td>
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<tr>
<td>use of public funds meets defined standards of probity, regularity, efficiency</td>
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<tr>
<td>and effectiveness.</td>
<td></td>
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<tr>
<td>The categorization of expenditures (or expenses) and financial assets into</td>
<td></td>
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<tr>
<td>categories which emphasize the economic nature of the transactions</td>
<td></td>
</tr>
<tr>
<td>involved – for example: salaries, interest, transfers.</td>
<td></td>
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<tr>
<td>Definition</td>
<td>Key Term</td>
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<td>---------------------------------------------------------------------------</td>
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<tr>
<td>A release of all or (more commonly) a part of the total annual appropriation on a quarterly or monthly basis that allows a line ministry or spending agency to make commitments.</td>
<td></td>
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</tbody>
</table>
TASK SHEET 7.3: OVERSIGHT ROLES IN POLARUS

Read the following sections of the Polarus Sourcebook:

- The “Legislation governing oversight in Polarus” in Chapter 2 (page 15).
- The extracts from the Public Finance Management Act in Chapter 5 (page 30)
- The regulations regarding financial reporting in Polarus (page 35).

a) In Polarus, what responsibilities do Ministries, Departments, and Agencies have in terms of reporting on their budgets and performance?

b) In Polarus, how are the Legislatures and Legislative Committees required to exercise oversight over government departments?
c) In Polarus, what are the responsibilities of the Auditor General with regard to oversight over government departments?

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d) When they oversee the budget implementation of government departments, what should the oversight institutions be on the look-out for?

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READING 7.1: HMHC & THE DEPARTMENT OF HEALTH

The Healthy Mothers, Healthy Children coalition has welcomed your organization into the network, and expressed excitement that you are willing to undertake some budget monitoring research to strengthen the campaign in Sunrise State. The secretariat of the Coalition has asked you to investigate what is happening in the health service delivery process to cause such a high maternal mortality rate in the city of Mortalia.

To inform your budget monitoring of the Sunrise State health department and its implementation of maternal health care in Mortalia, you have met with a number of role-players with an interest in the health sector and asked them what they think is causing the high incidence of maternal mortality. Your aim has been to gain a broad sense of the obstacles and weaknesses in maternal health service delivery. So far you have found out the following.

First, you met with a senior researcher at Sunrise State University, who works in the Health Systems Research Unit (HSRU). This academic organization has undertaken some in-depth research of the problems experienced at three primary health clinics and two secondary hospitals, and conducted interviews with various medical experts in the field. The senior researcher summarized their findings like this:

There simply aren’t enough skilled birth attendants on duty at primary health clinics to provide maternal health services. Our research shows that even those nurses who are present are not necessarily qualified in obstetric care.

Next, you met with a Member of the Sunrise State Legislature, a veteran MP and one of the stalwarts of the women’s movement in Polarus. She is a member of the APSP Opposition Party, as well as the Legislature’s Portfolio Committee on Health, and has been known to take a special interest in maternal care and child health. She gave you the following perspective:
The problem is clear, my friends. With the rapid urbanization Mortalia has experienced, we now have a drastic shortage of clinics in the city. The governing party has promised to build more health facilities, but as always they have let us down. They should explain this to the women of Sunrise State!

You also managed to set up a meeting with a journalist who works for the Polarus Times, who has a reputation for investigative reporting on health issues. He agreed to introduce you to one of his sources, an ex-employee in the state primary health system in Sunrise State. She was willing to share her experiences with you, on condition of anonymity, and told you this:

It's the ambulance services: they hardly ever came when we needed them. Also, many of the drivers were charging private fees for transporting patients. I saw families paying bribes to get a wife or daughter from the clinic to a hospital in an emergency. They are a law unto themselves, those ambulance drivers.

***

Which of these explanations is true? Who is right about the main service delivery problems undermining maternal health in Mortalia?

Remember there could be more than one set of factors contributing to the poor implementation of maternal health care in Sunrise State.

However, in order to advance your budget advocacy, you need specific and accurate information to back up any claims you make about the problem and desired solution to improve maternal health.
TASK SHEET 7.4: WHAT DO THE FIGURES SAY?

1. Look at the State Spending tables on pages 60 to 62 of the Polarus Sourcebook.
   a) What years do they cover? 
   b) Why are there two tables for 2005? 
   c) What is the difference between the two sets of figures for 2005? 

2. Write down the following figures:
   a) How much did Sunrise State budget for health in 2005? 
   b) How much did Sunrise State spend on health in 2005? 
   c) How much did Sunrise State budget for health in 2008? 

3. Look at the Maternal Health-related expenditures on pages 63 and 64. Note these figures are based on research commissioned by NGOs in Sunrise State. Why do you think it would have been necessary to commission such research?

4. Study the Maternal Health-related expenditures in Sunrise State on page 64. What was:
   a) The total amount budgeted for maternal health-related services in 2005? 
   b) The total amount actually spent on maternal health-related services in 2005? 
   c) If you compare these two figures, what do you notice? 
   d) Is this a problem? If so, why?
TASK SHEET 7.4: WHAT DO THE FIGURES SAY? (CONTINUED)

5. Look at the health budgets on pages 65 to 67. Can you tell from these whether Sunrise State is spending enough on health? Explain your answer.

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TASK SHEET 7.5: ANALYZING THE DEPARTMENT OF HEALTH’S ANNUAL REPORT

Read the extract from the 2008 Annual Report of the Sunrise State Department of Health. It appears in Section 10 of the Polarus Sourcebook. Then discuss these questions in your group.

1. What are some of the achievements claimed by the Sunrise State Department of Health for the 2008 financial year?

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2. If this Annual Report was your only source of information about the health sector in Sunrise State, what impression would you have of maternal health care in the state?

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3. What information in this Annual Report gives you cause for concern and might be important for your budget advocacy?

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TASK SHEET 7.6: WHAT DOES THE 2008 AUDIT REPORT REVEAL?

Read the report prepared by the Auditor-General’s Office of Polarus and submitted to the Sunrise State Legislature regarding the 2008 financial statements of the Sunrise State Department of Health. It appears in Section 10 of the Polarus Sourcebook. Then discuss the following questions as a group.

1. What problems are raised in the Audit Report?

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2. Which of the problems you listed above could be contributing to inadequate maternal health care in Sunrise State?

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3. For each problem highlighted in the audit report that you decide is relevant, explain how it could be undermining effective service delivery to women in need of maternal health care. Write each point on a separate card handed out by the facilitator. For your own records you can also capture your ideas in the space provided on the following page.
TASK SHEET 7.6: WHAT DOES THE 2008 AUDIT REPORT REVEAL? (CONTINUED)

How problems highlighted in the Audit Report could be contributing to poor maternal health care in Sunrise State:

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TASK SHEET 7.7: WHAT DOES THE LEGISLATIVE COMMITTEE REPORT REVEAL?

Read the 2008 Oversight Report of the Sunrise State Portfolio Committee on Health. It appears in Section 10 of the Polarus Sourcebook. Then discuss the following questions as a group.

1. What problems are raised in the Portfolio Committee’s Oversight Report?

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2. Which of the problems you listed above could be contributing to inadequate maternal health care in Sunrise State?

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3. For each problem highlighted in the legislative committee report that you decide is relevant, explain how it could be undermining effective service delivery to women in need of maternal health care. Write each point on a separate card. For your own records you can also capture your ideas in the space provided on the following page.
TASK SHEET 7.7: WHAT DOES THE LEGISLATIVE COMMITTEE REPORT REVEAL? (CONTINUED)

How problems highlighted in the Oversight Report of the Portfolio Committee could be contributing to poor maternal health care in Sunrise State:

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MODULE 8

MATCHING PROBLEMS TO METHODS & TOOLS
MODULE 8   MATCHING PROBLEMS TO METHODS & TOOLS

LEARNING OUTCOMES FOR THIS MODULE

By the end of this module, participants will have:

• recognized that each monitoring tool is appropriate and suited to specific situations and problems in budget implementation;
• identified which monitoring tool(s) would work best in a range of different scenarios; and
• explained which tools are most feasible to use in their own contexts, given their development priorities, budget problems, and organizational capacity.

STRUCTURE OF THE MODULE

Session 19: Review of tools for monitoring budget implementation

1. Group brainstorm: Monitoring tools and methods 15 minutes
2. Task 8.1: Is this the right tool? 30 minutes
3. Presentation & discussion of BIDS 2 20 minutes
4. Report-back & discussion: Is this the right tool? 30 minutes

RESOURCES NEED FOR MODULE 8

• Flipchart paper and markers
• Budget Implementation Diagnostic Sheet II (BIDS II)
SESSION 19
REVIEW OF TOOLS FOR MONITORING BUDGET IMPLEMENTATION
Duration of session: 1 hour and 35 minutes

<table>
<thead>
<tr>
<th>STRUCTURE OF THE SESSION</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Group brainstorm: Monitoring tools and methods</td>
<td>15 minutes</td>
</tr>
<tr>
<td>2. Task 8.1: Is this the right tool?</td>
<td>30 minutes</td>
</tr>
<tr>
<td>3. Presentation &amp; discussion of BIDS 2</td>
<td>20 minutes</td>
</tr>
<tr>
<td>4. Report-back &amp; discussion: Is this the right tool?</td>
<td>30 minutes</td>
</tr>
</tbody>
</table>

1. GROUP BRAINSTORM: MONITORING TOOLS AND METHODS  15 MINUTES

- Introduce this Module by explaining that the purpose of the next session is to gain a broader perspective of the budget monitoring terrain. During Modules 5, 6, and 7, participants immersed themselves in the nuts and bolts of how to use three specific tools. Now it is time to take a step back, and take a bird’s eye view of the different monitoring tools and methods.

- Invite participants to brainstorm a list of tools and methods for monitoring budget implementation, including – but not limited to – the tools examined during this training workshop.

- Write up all their contributions on flipchart paper, without editing tools that are similar, or are duplicated under different names.

- Lead a brief discussion of the various types of tools on the list. Draw attention to different labels that are sometimes used to refer to the same monitoring activities (for example, “community scorecards” and “participatory service delivery assessments” are essentially similar methods known under different names).

- Discuss and clarify overlaps and real differences, for example between community scorecards and citizens’ report cards. Emphasize again that certain generic skills – like survey design skills – can be used across a number of tools.

- Draw the brainstorm to a close by confirming that there are many diverse tools out there being used by CSOs to monitor the budget terrain. This is currently a very vibrant field, and new methods are constantly being improvised, developed and customized in dozens of different countries. So given the wide array of possible tools, ask the group how they think civil society groups can best go about choosing which tool(s) to use.
2. **TASK 8.1: IS THIS THE RIGHT TOOL?** 30 MINUTES

- **Aim:** for participants to begin thinking strategically about the relevance and appropriateness of different monitoring tools for different needs and contexts.

- Refer participants to turn to **TASK 8.1: IS THIS THE RIGHT TOOL?** in their Workbooks.

- Working in pairs or small groups, ask them to read through the scenarios and decide in each case whether the organizations concerned selected the right tool to address the problem they were trying to impact on.

- Without proceeding to a report-back, call participants together and explain that the following presentation may shed further light on the exercise.

3. **PRESENTATION & DISCUSSION OF BIDS 2** 15 MINUTES

- Invite participants to turn to the **BIDS 2** table in their Workbooks. Briefly explain and discuss the contents of the table.

4. **REPORT-BACK & DISCUSSION: IS THIS THE RIGHT TOOL?** 30 MINUTES

- Ask participants to return to **TASK 8.1** and give some further thought to the exercise.

- Against the background of the **BIDS 2** table, give them a few more minutes to reconsider their answers.

- Then add another dimension to the exercise by asking participants to indicate, where they think the organization in the scenario chose the wrong tool, which alternative tool the organizations should have selected instead.

- Facilitate a brief plenary discussion about each of the three scenarios, inviting participants’ to volunteer responses from the floor.
TASK SHEET 8.1: IS THIS THE RIGHT TOOL?

SCENARIO A

In 2006 a major flood destroyed 17 villages in northeast Uganda. The government launched a major program to deliver food aid to the affected villagers. The food aid never reached most of intended beneficiaries. A few months later, a community-based organization with strong ties to local communities in the region decided to review the situation. They decided to implement a Citizens’ Report Card Survey to identify the flow of food aid from the central government to the final recipients.

Is this an appropriate choice of tool? Please explain why or why not.

SCENARIO B

In 2000 the government of a small country in Southeast Asia signed a major international declaration to improve the standards of health care in the country and ensure that all pregnant women and children had free access to primary health care within 20 kms of their homes within a decade. A national health policy research institute decided to track the government’s achievements in 2005. They undertook a social audit to assess the procurement procedures being followed by the government in the construction of health care clinics.

Is this an appropriate choice of tool? Please explain why or why not.
SCENARIO C

In the 1990s, the education sector in a country in Latin America faced a major crisis. The Department of Education, responsible for delivering education services to approximately 18 million students, was accused of extensive corruption. Instances of corruption were especially severe in the procurement of textbooks. At least three forms of corruption were suspected: officials were awarding overpriced contracts to unqualified bidders, suppliers were not honoring their contracts (many textbooks remained undelivered even after the government had paid for them) and some vendors were providing books of poor quality. In response, a national coalition of grassroots organizations began to monitor audit reports. They published a leaflet ranking the Department of Education against the other departments in the country, based on the amount of questioned expenditures identified in the audit reports of these departments.

Is this an appropriate choice of tool? Please explain why or why not.
# Budget Implementation Diagnostic Sheet (BIDS) II

## Matching Problems to Methods

<table>
<thead>
<tr>
<th>Step in the BI Process</th>
<th>Description of Problem Area</th>
<th>Authorizing Official or Agency</th>
<th>Which Method?</th>
<th>Some Requirements</th>
</tr>
</thead>
</table>
| I                      | Transfer of funding from Revenue Fund to Ministry, Department, or Agency (MDA) | Treasury or Finance Ministry; Comptroller | Comparing budgets to actual expenditure and audit findings (PSAM) | **Quality and availability of information:** Good quality secondary information is essential.  
**Skills:** Budget Analysis skills and Knowledge of Budget Process  
**Community network:** Not essential, but useful for advocacy.  
**Government cooperation:** Not needed, provided you can access information.  
**Scale:** Depends on the extent to which data is disaggregated. Therefore this approach works best at national, provincial or local government level, but not locality or village level. |
| II                     | Initiation of Spending by MDA, Payments Made & Transaction | Chief Accounting Officer at MDA | Comparing actual expenditure and primary data (Fundar) | **Quality and availability of information:** This method should be used if you have some secondary information that can be supplemented with further information from interviews.  
**Skills:** Survey skills and an understanding of the budget process.  
**Community network:** Not essential, but useful for advocacy.  
**Government cooperation:** Government cooperation is absolutely essential since they have to answer survey questions and give access to records.  
**Scale:** Any scale in principle, but the scale is limited by the nature and availability of secondary information. |

*Note:* MDA stands for Ministry, Department, or Agency.
<table>
<thead>
<tr>
<th>Step in the BI Process</th>
<th>Description of Problem Area</th>
<th>Authorizing Official or Agency</th>
<th>Which Method?</th>
<th>Some Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>II</td>
<td>Recorded Initiation of Spending by MDA, Payments Made &amp; Transaction Recorded</td>
<td>Chief Accounting Officer at MDA</td>
<td>Comparing actual expenditure and primary data (Fundar)</td>
<td>Skills: Budget analysis skills, an ability to access information and understand primary information produced by government transactions. Community network: Not essential, but useful for advocacy. Scale: Given its complexity, this method works best for single issues, programs or projects, but possible to use for larger issues. Also depends on the disaggregation of data. Therefore this approach works best at national, provincial or local government level, but not locality or village level.</td>
</tr>
<tr>
<td>III</td>
<td>Procurement process</td>
<td>Procurement Board</td>
<td>Procurement monitoring (DEEM/Textbook Count)</td>
<td>Quality and availability of information: Not essential Skills: Survey and budget analysis skills. Understand primary information produced by government transactions. Community network: Not essential, but useful for advocacy. Government cooperation: Needed to access information. Scale: Any scale in principle, but the scale is limited by the nature and availability of primary information.</td>
</tr>
<tr>
<td>STEP IN THE BI PROCESS</td>
<td>DESCRIPTION OF PROBLEM AREA</td>
<td>AUTHORIZING OFFICIAL OR AGENCY</td>
<td>WHICH METHOD?</td>
<td>SOME REQUIREMENTS</td>
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|                        |                             |                               | Social Audit | Quality and availability of information: Good primary information of government transactions at local level needed.  
|                        |                             |                               |              | Skills: Understanding of primary information produced by government transactions.  
|                        |                             |                               |              | Community network: Essential  
|                        |                             |                               |              | Government cooperation: Not needed if there is FOI legislation.  
|                        |                             |                               |              | Scale: Works best at small scale (village or ward).  
| IV                     | Goods/Services Provided     | Vendor/Service Delivery Agency | ASER (survey) Participatory Service Delivery Assessment (PSDA) | Quality and availability of information: Need information on location of facilities and the number of people that use them.  
|                        |                             |                               |              | Skills: Surveying skills  
|                        |                             |                               |              | Community network: Not essential, but useful for advocacy.  
|                        |                             |                               |              | Government cooperation: Not needed, provided you can gain access to the facilities and the information mentioned above.  
|                        |                             |                               |              | Scale: Any  
|                        |                             |                               |              | Combination: This method can indicate, but not give the reasons for a problem. Therefore it combines well with analyses of budgets and policies that can pinpoint the reason for survey trends.  


| Citizen Report Card | Quality and availability of information: Some demographic information needed.  
Skills: Surveying skills  
Community network: Not essential, but useful for advocacy.  
Government cooperation: Not needed  
Scale: Any  
Combination: This method can indicate, but not give the reasons for a problem. Therefore it combines well with analyses of budgets and policies that can pinpoint the reason for survey trends. |
MODULE 4

BUDGET ADVOCACY

(PART II)
MODULE 4 ❖ BUDGET ADVOCACY (PART II)

LEARNING OUTCOMES FOR THIS MODULE

The first part of Module 4 was already presented on Days 2 and 3 of the training workshop. During these four sessions (7-10), participants learned how to:

✓ describe the key elements of an advocacy strategy;
✓ develop a strategic budget advocacy objective;
✓ recognize the relevance and importance of developing a budget advocacy strategy;
✓ link budget analysis to an advocacy strategy;
✓ appreciate the importance and potential of alliances and coalitions in budget advocacy work;
✓ summarize the requirements for building effective coalitions and alliances; and
✓ identify potential allies for budget advocacy work;

By the end of the next set of sessions in this module, participants will have:

• highlighted the importance of using the media for an advocacy campaign;
• recognized the value of different types of media for advocacy work, including traditional mass media and community-based media;
• explained various techniques for gaining media attention;
• formulated a clear budget advocacy message;
• framed advocacy messages for different audiences; and
• prepared and delivered basic budget advocacy presentations.

STRUCTURE OF MODULE 4 (PART II)

Sessions 20-21: Media and Communications

1. Energizer: Eliminating jargon 15 minutes
2. Brainstorm & discussion: Why work with the media? 30 minutes
3. Discussion: the changing media environment 10 minutes
4. Task 4.10 ■ Media strengths & weaknesses 30 minutes
5. Media wheel: Matching message to audience 20 minutes
6. Task 4.11 ■ Practicing media skills 60 minutes
7. Input on importance of message development 35 minutes

Sessions 22-27: Presentation Preparation, Implementation, and Feedback

1. Task 4.12: Budget Advocacy Planning for HMHC 30 minutes
2. Task 4.13: Bringing It All Together–A Budget Advocacy Plan for HMHC 9 hours
3. Group Work Presentations & Feedback (5 groups) 2 hours, 30 min.

RESOURCES NEED FOR MODULE 4 (SESSIONS 22-27)
- Flipchart paper, markers, and tape
- Post-It notepads (2 colors)
- Polarus Sourcebook
- Advocacy Presentation Feedback Forms
SESSIONS 20 & 21

MEDIA AND COMMUNICATIONS

Duration of these sessions: 3 hours and 20 minutes

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<td>4. Task 4.10 ■ Media strengths &amp; weaknesses</td>
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1. **ENERGIZER: ELIMINATING JARGON** 15 MINUTES

- In plenary, ask participants to identify the common jargon words that they all use regularly in the course of their work. (Some examples are: facilitation, capacity building, stakeholders, grassroots, etc).
- Divide groups into pairs by asking participants to cross the room to the person opposite them.
- Each person should have a turn, explaining his or her job, as if talking to someone at a party. But they’re not allowed to use any of the identified jargon words. The person not talking should “beep” the other person, every time a jargon word is used. It’s a great exercise in learning how to explain oneself in simple, everyday language.

2. **BRAINSTORM & DISCUSSION: WHY WORK WITH THE MEDIA?** 30 MINUTES

- **Aim:** to explore why it is important to work with the media to achieve advocacy goals.
- Introduce the brainstorm by posing the question: **WHY WORK WITH THE MEDIA?**
  Before inviting responses from the group, briefly frame the question with the points outlined below.
- The media play a key role in today’s society, and no advocacy or communications campaign can hope to succeed without media exposure. With any campaign, there are usually three possible objectives – usually one or more of these:
  - To inform/educate.
  - To change attitudes/beliefs.
  - To change behavior.
- These objectives are progressively more difficult to achieve. It is easier to inform and educate, than to change attitudes and beliefs. It is very, very difficult to change behavior through the media — as has been shown, for example, with campaigns to prevent the spread...
of HIV/AIDS.

- For an organization involved in budget advocacy work, this means that media campaigns will be good for creating awareness of budget-related issues and perspectives. However, to change behavior – such as the decisions of policy-makers, or the votes of legislators, it is not enough to use the media alone – media activities will need to be part of a broader, integrated advocacy campaign.

- Next ask participants to brainstorm reasons for working with the media. Write their responses up on flipchart paper. Use the information on the following page to discuss the theme further.

- If any of the following reasons below did not emerge from the discussion, add them to the list:

  ➢ **To put across your perspective on the budget.** On budget day, the government will try to put the most positive spin on the budget, opposition parties will find something to criticize, and a range of people and organizations will have their say. Your organization will have its own view, based on your own analysis and on the key issues you are concerned about. Unless you are able to get your views into the media, they will go unnoticed. The more frequently and prominently you can get your issues and views into the media, the more likely it is that policy makers will feel pressured to respond to them.

  ➢ **To hold the government accountable.** Your research may show that the budget figures don’t add up, or that a key program is unaffordable, or that resources for schools are disappearing before they get to their destination. Once you get this information into the media, those responsible for these problems will know that the game is up, and that they are being watched – not only by you, but now by the public in general. An often-cited example comes from Uganda, where increased public access to information was shown to reduce corrupt capture of public funds from 80 percent in 1995 to less than 20 percent in 2001.

  ➢ **To influence policy makers directly and indirectly.** It is possible that key decision makers such as the Finance Minister rethink certain issues and make changes in the budget after coming across your research and opinions in an influential publication or program (South Africa’s Trevor Manuel has acknowledged at least hearing the views of callers who contributed to a radio program slot called “tips for Trevor.”) But change is more likely to happen indirectly – your media exposure provides vital information or motivation to a broad range of citizens and/or civil society groups, who in turn engage in advocacy activities.

  ➢ **To set the agenda.** In communication circles there’s a very famous line that goes like this: “The media may not be very successful in telling people what to think, but they are stunningly successful in telling people what to think about.” This is the idea that the media determine the issues that the public thinks about and talks about. This is almost common sense: if the media don’t cover a story, nobody knows about it and nobody talks about it. The opposite is also true – once an issue receives high levels of media coverage, it is on everybody’s lips. One of the key aims of your work with the media may well be simply to put an important budget-related issue firmly onto the public agenda. Journalists are bombarded by faxes and emails from business and vested interests. Nobody will start talking about the need to improve delivery of government grants, or pay attention to the problem of rural poverty, unless you can get these issues into the media.

  ➢ **To frame the way in which an issue is discussed.** Framing refers to the perspective from which an issue or problem is viewed. Framing is often used in persuasive messages in an effort to link an issue with people’s key beliefs or values. For example, evaluations of a government budget may differ widely, depending on people’s perspectives and beliefs. One person may value efficiency – so if a budget shows careful use of money to achieve
particular aims, it will be seen as successful. Another person may value equity: this person will welcome a budget that helps reduce inequality, even if it means sacrificing some efficiency. Often the aim of your work with the media will be to influence the frame through which people view budget policy and implementation. Everyone may agree that education is important and that many schools are under-resourced. You may want to ensure that the debate focuses on how existing funds can be better spent, rather than on the need to allocate more money to education.

➢ To ensure journalists ask the right questions. Sometimes your work with the media can be invisible to the public, but still produce powerful results. Most journalists are not comfortable with figures and research by journalism educators has repeatedly shown that a shockingly large number of journalists (even those who are experienced & well-educated), are useless with numbers. Shockingly, many do not even understand basic concepts such as “average” or “percentage.” By providing them with background briefings, training, and basic analyses, you can help ensure that they do a better job of reporting on the budget, and ask better and more probing questions when they interview the decision-makers. In budget work, one often finds that economic and budget issues are framed in the media from the perspective of business, or the elite. For example, headlines in newspapers after budget day will often focus on the tax implications for corporations, or the likely impact on foreign investment – since these aspects are important to the wealthier readers that most newspapers want to attract. Because these aspects of the budget receive a lot of focus in the elite media, policy makers feel pressured to respond to these concerns. Since issues of poverty generally get much less media attention, one can only speculate how public discussion of the budget and economic policy might shift, should newspapers carry big front page headlines highlighting the budget’s changes to old age pensions or the prices of staple foods, and the implications for the poor.

● Note: Participants will find all this information in READING 4.6 • INTRODUCTION TO MEDIA in their Workbooks.

3. DISCUSSION: THE CHANGING MEDIA ENVIRONMENT 10 MINUTES

● Introduce the theme of this input by suggesting that the media sector is getting increasingly diverse and complex.

➢ New technologies have meant that it’s easier to produce media, and easier to access a wide range of media.

➢ We are also seeing a dramatic change in how news is made – the model of the authoritative, trustworthy news institution is breaking down, as internet and cell-phone technologies make it possible for ordinary people to produce news.

➢ We’ve seen the rise of citizen journalism, blogs, media-sharing portals, and the like. These have dramatic implications for the ways in which the media influence public discussion, and policy-makers.

➢ For example, videos posted onto YouTube are powerful lobbying tools.

➢ Likewise, in a number of countries, bloggers have come to exert a great deal of influence among the mainstream media, and thus in political life. It is important to keep up to date with these developments, and to constantly find innovative and effective ways to respond.

● Each type of medium has its strengths and weaknesses, and you need to bear these in mind.

● Ask participants what kinds of media are most common in their countries, for budget work specifically. Is it, for example, live performance, radio, television, magazines, newspapers? Allow around 5 minutes for this discussion.
4. Task 4.10 ■ Media Strengths & Weaknesses

30 Minutes

- **Aim:** for participants to distinguish between different media and begin to examine the appropriateness of each.

- Prepare three flipcharts, with the following headings: Print, Radio, Television. Note: This exercise can be expanded to include other examples of media as well. For example, you could add flipcharts for Street Plays, Campaign Songs, Puppet Shows, Slogans & Banners, and so forth.

- Distribute two different colors of flashcards or pieces of paper. One color will be for ‘strengths’, the other for ‘weaknesses’.

- Ask participants to write up on the color flashcards or paper, the strengths and weaknesses of each of the media. Allow them around 10 minutes to do so.

- Ask participants to stick their responses up on the appropriate flipchart.

- As soon as most of the contributions are pasted up, ask participants to walk to each of the flipcharts to read the contributions of the other participants.

- Facilitate a brief plenary discussion to draw together the various strengths and weaknesses. Look out for the points highlighted below and plug the gaps where necessary.

- Encourage participants to record the ideas emerging from this discussion on Task 4.10 ■ Media Strengths & Weaknesses.

- Look out for the following points on the flipchart contributions:

**Print** (and serious newspapers in particular)

- good for very technical information
- good for detailed arguments
- good for putting matters on record. People can keep print material for reference purposes and re-read it in case they don’t understand, or miss details.
- If an organization has a budget, and wish to communicate a lot of rather detailed information, it could consider paying for a special insert in a major newspaper.

**Radio**

- good for immediacy and interactivity (such as participating in a live call-in show where you can take calls and respond to queries), and for painting the broad strokes.
- not very good for complex detailed information – such as long lists of figures.
- If listeners to radio aren’t able to grasp something the first time, it’s too late – it’s gone.
- People usually listen to the radio while doing other things, so they are easily distracted, and cannot concentrate on details.

**Television**

- good for visual and emotional impact.
- Television viewers tend to react emotionally according to whether you come across well as a person, look competent and trustworthy and so on, and less to the content of what you say.
5. **MEDIA WHEEL: MATCHING MESSAGE TO AUDIENCE**

20 MINUTES

- **Aim:** to understand how to tailor an advocacy message for different audiences, and to consider the challenges faced when packaging messages for different audiences.

- Introduce the theme that it is essential to tailor the content of your message to suit the target audience. The participants have already had some practice with this in Session 24 (Investigating Departmental Performance in Module 7).

- Highlight the points below before initiating the media wheel activity:
  - To communicate with finance officials, for example, it is important to show an understanding of how things work – procedures in the finance department, financial and other constraints government faces, the way in which decisions are made. Finance officials regularly get bombarded by wish-lists presented by all sorts of individuals and groups. They are used to filtering these out. They know there are many competing needs and claims – they are more likely to listen to someone who shows they understand this, and who offers solid, evidence-based arguments to back up their proposals.
  - It is also helpful to link value-based arguments to pre-existing requirements and legal frameworks. For example, “according to the Constitution government is obliged to provide education for children”, rather than “it is morally wrong to deprive children of their education”.
  - If the intention is to reach the broader public, in order to motivate people to join a campaign, or pressure decision-makers, then simpler, punchy messages are needed. Emotional messages are also important for this group.

- Ask participants to arrange themselves in two circles – one inner and one outer circle. Each person in the inner circle should face a partner on the outer circle.

- The people in the inner and outer circles will take turns to take on the role of particular audience members. In each pair, one person will have a scenario to pose to the other player. For example, he or she might say to the participants on the inner circle:
  “You are the executive director of the HMHC network and you are in an interview at 5pm on national radio the day after the national budget has been released. The interviewer has just asked you: Has maternal health received its fair share of the budget in this year’s national budget. You have 1 minute to respond”.

- The target audience does not interrupt, nor asks questions.

- After one minute, ask the inner circle to move one step to the right.

- The outer circle then has to explain to the new face in front him another scenario. After 1 minute, ask the inner circle to again take one step to the right.

- Inner circle participants always move to the right; outer circle participants remain still.

- Repeat until all the scenarios are complete.
**SCENARIO #1: INNER CIRCLE**

Your organization has organized a press conference to release the research findings of a report that investigated government’s allocation and expenditure of additional funds to homes for children and for the elderly. Last year, government made an additional allocation to these homes that were in need of financial support. On investigation, your organization discovered that these allocations were made to homes, but that these homes were registered in the names of family members in the Department of Welfare – responsible for the disbursement of these funds. On further investigation, you discovered that these homes do not exist. During your press conference you provide this information, and demand that government investigates the problem. And, your organization demands that if the investigation shows mismanagement of funds, then the officials should be charged, the money returned and reallocated to the homes.

You are the lead researcher for this research. As you leave the press conference, a journalist from an independent TV station confronts you and asks: **“Would you say that government is corrupt and does not care about needy children and the elderly in our country?”**

*You have one minute to respond to journalist.*

**SCENARIO #2: OUTER CIRCLE**

Your organization is a part of an advocacy coalition that has publicized the mismanagement of funds by a top official in the Ministry of Health. The official has allegedly used USD 10 million of donor funds targeted for HIV/AIDS to renovate his house, buy two new Mercedes Benz, buy a holiday home in the south of France, buy property in the country and invest in multinational companies.

You organization was first alerted to this story by another top official in the Ministry of Health, who was the friend of the top official who allegedly used this funds for personal use. The story has received media attention across the country. As the advocacy head of the coalitions, you have been invited to an interview on national radio – “Affairs of the Nation” at 7:30 a.m. on a weekday. The interview starts with a short introduction to the story, and then the interviewer asks: **“How reliable is the source of your information. I’ve been told that these two officials had a fall out, and this is the way the other one got revenge. What proof do you have?”**

*You have one minute to respond to interviewer.*

**SCENARIO #3: INNER CIRCLE**

Your organization is a part of an advocacy coalition that has publicized the mismanagement of funds by a top official in the Ministry of Health. The official has allegedly used USD 10 million of donor funds targeted for HIV/AIDS to renovate his house, buy two new Mercedes Benz, buy a holiday home in the south of France, buy property in the country and invest in multinational companies.

You organization was first alerted to this story by another top official in the Ministry of Health, who was the friend of the top official who allegedly used this funds for personal use. The story has received media attention across the country. As the advocacy head of the coalitions, you have been invited to an interview on community radio – this community was one of the targeted areas to receive the funds because of its high level of HIV infections. The show is at 3:00 on a Saturday afternoon. The interview starts with a short introduction to the story, and then the interviewer asks: **“Our community is angry. We need the money. People are suffering, dying. Government just does not care about us. Do you agree that the official should be locked up?”**

*You have one minute to respond to interviewer.*
SCENARIO #4: OUTER CIRCLE
Your organization has just released the findings of a report that investigated government’s allocation and expenditure of additional funds to homes for children and for the elderly. Last year, government made an additional allocation to these homes that were in need of financial support. On investigation, your organization discovered that these allocations were made to homes, but that these homes were registered in the names of family members in the Department of Welfare – responsible for the disbursement of these funds. On further investigation, you discovered that these homes do not exist.

As the lead researcher of this research, you have been invited to a roundtable discussion on national television on the program “Tell it like it is” on Sunday evening at 7:00. At the roundtable there is a budget official from the department responsible for the homes, and the secretary general from the party in power is participating, too. After a short introduction to the story, the interviewer turns to you and asks: “What do you propose should happen to those officials who took the money?”

You have one minute to respond to journalist.

6. TASK 4.11 ■ PRACTICING MEDIA SKILLS

- **Aim:** to practice writing and developing advocacy messages for different media.

- **Explain:** that this activity finds the participants back in Polarus, as staff members of the HMHC Network. This time, their aim will be to hone the skills with which they interact with the media to advance their advocacy message. The instructions are set out in TASK 4.11 ■ PRACTICING MEDIA SKILLS in their Workbooks.

- **There are two versions of the task sheet.** The HMHC groups should receive different instructions, although it is fine for more than one group to work on the same set:

  - **One group** is asked to write an op-ed to the editor of the Polarus Times, raising central points in their own advocacy campaign. The letter should be written in active tense and be no longer than 200 words. Letters should not include NGO-speak or jargon.

  - **Another group** is asked to write a press release for general release to the media, in which they make their key advocacy points about maternal health. The press releases should be written in active tense, with one thought per sentence. Key points should be made right at the top. There should be a headline that is attention-grabbing. The release should avoid NGO-speak or jargon. There should be a date, and a contact person listed at the bottom.

- **Alert participants to the sample press releases in READING 4.8 SAMPLE MEDIA in their Workbooks.**

- **Allow at least 40 minutes for the groups to produce their media.** During this time (or after the session, if necessary) meet with each group for about 10 minutes, to provide feedback and discuss their work.

- **Ask the groups to display their media outputs on the training room wall, and invite all the participants to circulate and have a look during lunch time or a tea break.**

- **In providing feedback to the groups, facilitate discussion on whether each communication contained the three important ingredients of an effective advocacy message, namely:**
- Did it identify a clear **problem**?
- Did it propose a realistic **solution**?
- Did it set out a desired course of **action**?

7. **INPUT ON IMPORTANCE OF MESSAGE DEVELOPMENT** 35 MINUTES

- Confirm again how important it is for participants to make sure that the budget advocacy messages they develop contain a clear problem statement, a proposed solution and a desired course of action.

- Framing the advocacy issue and solution is a key factor in advocacy. To frame the issue presents a clear solution and spells out the actions. The frame puts your message in the best terms possible for a particular audience and a particular environment.

- A well framed message answers the following questions:
  - Who is affected?
  - Who are the players involved?
  - What hooks can I use?
  - What pictures and images communicate the message framed in this way?
  - What is this story really about?

- Provide the following example as a way of illustrating different ways to frame an issue:
  a. An infant left sleeping in his crib was bitten repeatedly by rats while his 16-year old mother went to cash her welfare check.
  b. An eight-month old South-End boy was treated yesterday after being bitten by rats while sleeping in his crib. Tenants said that repeated request for extermination had been ignored by the landlord. He claimed that the tenants did not properly dispose of their garbage.
  c. Rats bit eight-month old Michael Burns five times yesterday as he napped in his crib. Burns is the latest victim of a rat epidemic plaguing inner-city neighborhoods. A Public Health Department spokesperson explained that federal and state cutbacks forced short-staffing at rat control and housing inspection programs.

- The three frames above emphasize different aspects of the story:
  a. The first version emphasizes the age and actions of the mother, and therefore suggests that the problem is irresponsible teenagers having babies. The solution would be discouraging irresponsible behavior.
  b. In the second version, the issue is a landlord-tenant dispute about responsibility for garbage. The solution depends on the readers’ perspective. Some readers will say there must be stronger enforcement of landlords’ responsibilities. Other will say that the laws must make it easier for a landlord to evict tenants.
  c. Only the third version looks at larger issues such as cuts in the budget for basic services affect low-income communities.


- Hooks for messages include making an unexpected announcement, or using dramatic human interest, controversy, or special events.
READING 4.5: INTRODUCTION TO MEDIA

WHY WORK WITH THE MEDIA?

The media play a key role in today’s society, and no advocacy or communications campaign can hope to succeed without media exposure. In any campaign, there are usually three possible objectives, and most campaigns pursue some combination of them:

- To inform and educate;
- To change attitudes and beliefs; and
- To change behavior.

These objectives are progressively more difficult to achieve. It is easier to inform and educate than to change attitudes and beliefs. It is extremely difficult to change behavior through the media, as has been demonstrated, for example, by campaigns to prevent the spread of HIV/AIDS.

For an organization involved in budget advocacy work, this means that media campaigns will be good for creating awareness of budget-related issues and perspectives. However, to change behavior — for example, changing the decisions of policy makers or the votes of legislators — it is not enough to use the media alone. Media activities need to be part of a broader, integrated advocacy campaign.

THE CHANGING MEDIA ENVIRONMENT

The media sector is becoming increasingly diverse and complex, and audiences are fragmenting. In most countries, the days are gone when you could get a story on national radio or TV or into a major newspaper and be assured that most people would see or hear it. At the same time, new technologies mean that it’s easier to produce media and to access a wide range of media. There’s digital TV with hundreds of channels, cell phones, new radio stations, and the Internet. We are also seeing a dramatic change in how news is made and disseminated: the model of the authoritative, trustworthy news institution is breaking down, as Internet and cell phone technologies make it possible for ordinary people to produce and share news. We have seen the rise of citizen journalism, blogs, and media-sharing portals, among others.

Another key trend is technological convergence. You can now watch TV and listen to the radio on your cell phone, read newspapers online, surf the Internet on your TV with the aid of a special set-top box, make phone calls from your PC, record audio using your phone or MP3 player, and reach a wide audience by posting podcasts, photos, or videos on the Internet. These have dramatic implications for the ways in which the media can influence public discussion and policy makers. Likewise, in a number of countries, bloggers have come to exert a great deal of influence on the mainstream media and thus
on political life. It is important to keep up-to-date with these developments and to constantly seek innovative and effective ways to respond to them.

**TYPES OF MEDIA**

Here is a (non-comprehensive) list of various types of media and various ways of classifying them. One could go further and break things down according to types of content and format. It is also important to consider the types of audiences reached by each type of media. All of these factors must be considered when planning a media campaign.

**Newspapers**
- national
- regional
- community/neighborhood
- daily vs. weekly
- “serious” vs. tabloid

**Magazines**
- from beauty to celebrity to sports to news and current affairs
- weekly, monthly, bimonthly, and quarterly
- local, regional, national, and international

**Radio**
- commercial vs. public service and community
- local, regional, national, and international
- various language services
- international broadcasters (BBC World Service, Radio France Internationale–RFI, Radio Netherlands, Voice of America, etc.)

**Television**
- free (broadcast) vs. subscription (cable/satellite)
- local/regional vs. national and international

**Live Performance**
- community-based educational drama
- industrial theatre
Internet and Social Media

- blogs
- e-mail newsletters
- citizen media and file-sharing portals (e.g., YouTube, Instagram, Pinterest)
- online newspapers, magazines, and radio stations
- organizational websites
- social media sites (e.g., Facebook, LinkedIn, Twitter)
- podcasts
- mobile phones
  - text messaging (SMS)
  - mobile Internet
  - mobile phone applications ("apps")
  - interactive services such as instant polling and SMS-searchable databases
  - downloadable content (e.g., ringtones, videos, etc.)
  - mobizines (mobile "magazines")

Differentiating Audiences

It is important to identify your key audiences and then target them through the appropriate media. Common sense goes a long way, but it is also worthwhile to do some research on the audiences of the various publications and broadcast outlets you are thinking of targeting. These days, almost all media organizations have their own websites, and one can usually find useful facts and figures there, such as target audience, audience size, and so on.

Here are some examples of audiences and media that an organization involved in applied budget work might want to target:

- **Finance officials**: weekly financial magazines, business newspapers, business inserts in major newspapers, opinion pages of major newspapers, current affairs programs, and talk shows on national radio. The Internet is becoming an increasingly important medium for this group. Weekly financial magazines are beginning to place increasing emphasis on their online versions, and some influential business and financial media operate solely online (for example, the South African-based Moneyweb): “We have decided to invest more on the Internet because that is where the market is going,” according to Rikus Delport, editor, Finweek, quoted in The Media magazine, February 2007, South Africa. It would also be important to target influential bloggers or columnists for online publications.
• **Other NGOs/CSOs:** specialist development publications; development supplements in newspapers or magazines; key websites or portals (e.g., The Communication Initiative Network, Development Gateway, and SANGONeT in South Africa).

• **The general public:** mass circulation newspapers; radio stations, particularly community radio stations and public radio stations with substantial news and talk content; TV stations with news and public affairs programs.

**MATCHING MEDIUM TO CONTENT**

Each type of medium has its strengths and weaknesses, and you need to take these into consideration.

• **Print** (serious newspapers in particular) is good for very technical information, detailed arguments, and putting matters on record. People can keep print material for reference purposes and reread it if they need to check the details or if they didn’t understand all of the issues the first time through. If you have conducted a budget analysis and wish to communicate a lot of rather detailed information, you might consider paying for a special insert in a major newspaper.

• **Radio** is good for immediacy, for providing general information about an issue, and for interacting with the public (for example, through a live call-in show where you can take calls and respond to queries). It’s not very good for presenting complex, detailed information such as long lists of budget figures. The downside of radio is that if listeners aren’t able to grasp something the first time they hear it, it’s too late. People usually listen to the radio while doing other things, so they are easily distracted and cannot concentrate on details.

• **Television** is good for visual and emotional impact. Television viewers tend to react more according to your appearance of competence and trustworthiness and less according to the content of what you say.

• **The Internet** and other technologies, such as e-mail and cell phones, are good for immediacy, interactivity, and advocacy. They can be used very effectively to coordinate like-minded groups, build international support, and mobilize activists.

**MATCHING CONTENT TO AUDIENCE**

It is also important to tailor your content to the audience you are trying to reach. If you wish to communicate with finance officials, for example, it is important to demonstrate an understanding of how things work, for example, procedures in the finance department, financial and other constraints faced by government, the way in which decisions are made, etc. Finance officials are regularly
bombarded by wish lists presented by all sorts of individuals and groups, and they are used to filtering these out. They know there are many competing needs and claims; therefore, they are more likely to listen to people who show that they understand these constraints, and who offer solid, evidence-based arguments to back up their proposals.

It is also helpful to link values-based arguments to pre-existing requirements and legal frameworks — for example, “according to the Constitution the government is obliged to provide education for children,” rather than “it is morally wrong to deprive children of their education.”

If you wish to reach the broader public, in order to motivate people to join a campaign or to pressure decision makers, then simple, punchy messages are needed. Emotional messages are also an important way of reaching a general audience.
READING 4.6: GUIDELINES FOR WORKING WITH MEDIA

A. TECHNIQUES FOR GAINING MEDIA ATTENTION

Make Press Calls

It is important to maintain regular contact with key journalists. Telephone conversations can be very effective in promoting a story or responding to an event or previous news coverage. Be sure to find out what the various deadlines are and to call journalists when they are not under immediate deadline pressure (this varies greatly across medium and outlet). You can greatly increase the likelihood of getting exposure if you follow up an e-mail or fax with a telephone call to ensure the journalist or editor has received or taken note of your message.

It is useful to understand the key role players:

- **Editors** are the senior editorial decision makers, but they are often caught up in management and policy issues and may not be very involved in day-to-day story assignments.

- **Sub-editors** are essentially copy editors. They check facts, grammar, and spelling, and they help lay out pages. They are not involved in news gathering.

- **News editors** are responsible for day-to-day decisions on which stories will be covered and for assigning journalists to cover stories. These are key contact people for any organization seeking news coverage.

- **Journalists/reporters** go out and interview people and cover the news. It is important to identify these key journalists and build relationships with them.

- **Specialist reporters** focus on thematic areas such as economics, finance, health, etc. It is particularly important to build relationships with reporters who specialize in areas that are of particular concern to your organization.

- **Producers (radio and TV)** are responsible for decisions on program or bulletin content, setting up interviews, etc. There is generally a hierarchy of producers, and it is important to find out which producer is the right one to talk to.

It is also important to understand the news or content cycle of the media organizations that you interact with – for example, to know what their deadlines are – to ensure that you are able to get press releases to them in time and that you schedule your press conferences at times when most journalists are able to attend. When you want to talk to journalists, it is generally best to call in the mornings (for dailies) and early in the week (for weeklies). For current affairs programs on radio and television, be sure to call well ahead of the program’s broadcast time – unless you have dramatic, breaking news to
share. Magazines are usually prepared well in advance of publication date (often months to weeks ahead), so it’s essential to contact them ahead of time.

**Distribute Press Releases**

There are no hard and fast rules about how often press releases should be issued, but it is important to issue a press release only when you have something new to say. They should not be sent out so often that journalists begin to see them as clutter. There is an art to writing press releases, and they should be written more or less as you would like to see the story reported. Bear in mind that newsrooms are usually under-resourced and that the media often use press releases “as is,” in unaltered form. You should include a good mix of facts and figures, as well as ready-made quotes that can be easily lifted out of the press release and repeated in the media.

**Hold Press Conferences When Called For**

According to *A Media Relations Handbook for Non-Governmental Organizations*¹, there are only two reasons to have a press conference: 1) when you are communicating information that is so complex that you need to interact with journalists in order to ensure clarity and 2) when you intentionally want to dramatize your announcement. When holding a press conference, timing and location are everything. A senior newspaper editor in Cape Town, South Africa once told a group of police service communications officers that he is far more likely to send a journalist to a press conference if it is within walking distance or just a short drive from the paper’s offices. Also, press conferences should be held at times when most journalists are not on or nearing deadline (unless it is very important breaking news that cannot wait).

**Stage Events**

Journalists tend to report on events, not issues. For example, journalists in Southern Africa have often been criticized for their tendency to report on conferences. However, this can be used to advantage by an organization seeking to get an issue into the media: invite journalists to conferences on key issues and line up interesting people to be interviewed. Marches, protests, exhibitions, festivals, parades, competitions, and the like are all good ways to generate media attention. It is important that events provide plenty of visual interest.

**Participate in Talk Shows**

Talk shows on radio and increasingly on TV are an excellent way to generate and influence discussion of your issue. Talk show producers are constantly looking for new and interesting ideas, so it can be a good idea to contact them, suggest talk show topics, and also offer one or two people as studio guests. Alternatively, you can call in during existing live programs to get a point across.

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Write Letters to the Editor
Letters to the editor can be a very effective way of getting a point across, particularly in response to articles or opinion pieces that have recently appeared in a particular publication. Some political parties make a regular practice of getting staff members to write letters to newspapers, under the pretext of being ordinary members of the public.

Contribute Op-Ed Articles
Many newspapers regularly publish opinion articles contributed by members of the public such as academics and NGO staff. It is important to understand the audience and style of each publication and to communicate with opinion page editors well before the desired date of publication, as most papers receive many more contributions than they could ever publish.

Provide Background Information and Briefings
It can be a good idea to hold informal media briefings, such as a breakfast or lunch, where a small group of journalists is invited to meet and talk with one or two experts on an issue. Such meetings have the two-fold benefit of helping journalists become more informed about an issue and building relationships between journalists and an organization.

A number of organizations also seek to promote improved coverage of specific issues by developing background material such as issue summaries, toolkits, and answers to frequently asked questions. For example, in South Africa the organization IDASA developed a website called “Word on the Street,” which provided background material to journalists covering local government in South Africa. (The website is no longer active, here is an article about “Word on the Street”: http://www.ngopulse.org/article/idasa-web-resource-targets-community-media). The London-based organization Panos has a site called i-Witness (panos.blogs.com/iwitnesses), which contains toolkits to help journalists understand issues related to the Information Society.

Be a Good Source
- **Be available:** Establishing a relationship with journalists is a two-way street. If you expect them to pay attention to you and to cover your issue, you need to be available when they need you. If you are helpful and available when a journalist needs a quick quote just before deadline or some complex matter explained, they will be more likely to lend you a sympathetic ear when you need a favor.
- **Be credible:** Journalists need to be able to trust their sources. It is important to be sure that all information provided to the media is accurate. Often, it can be helpful to tell reporters where they can go to get the story substantiated. Do not speak on issues that you do not know enough about, even if pressured to do so.
• **Don’t become an annoyance:** Do not harass journalists or call them too often. They will start to find ways to avoid you. Be as persuasive as you can be, but if a journalist turns you down, learn to take no for an answer and don’t become rude or nasty. There are many stories competing for attention, and many reasons why a newspaper or radio station might not be able to carry your story on any particular day.

**Come Up With Interesting News Angles for Regular Events or Calendar Dates**

There are many calendar dates throughout the year that can potentially be used to publicize your issue – for example, national public holidays and internationally recognized days such as International Women’s Day, International AIDS Day, Human Rights Day, etc. Journalists are often looking for new angles for stories on or around such calendar dates. Bear in mind that coverage related to regular dates tends to be planned well in advance so communicate with potential media outlets far ahead of the desired publication or broadcast date.

**Be Aware of the News Cycle and the Budget Cycle**

It is important to think strategically and to time advocacy activities, including media exposure, so that they can have the most impact. If you want to influence the content of the national budget, it is important to engage in media activities during the budget planning phase, which is well before the day of the budget speech in the legislature. By the time the budget has been announced, it is too late. Of course, at that time you may want to add your comments on the budget and evaluate it, but if you want to bring about changes in allocations, you will have to begin working towards the next budget. Once the budget vote has been passed in the legislature, it is a good time to highlight issues such as spending capacity and obstacles in service delivery. Around the auditing and reporting period, you would probably want to focus your messages on issues of financial management in government departments.

**How Does a Small Budget Advocacy Organization Get Into the National News?**

• It can be difficult for a small local-level organization to gain national media attention, but it is not impossible. First, appearance is everything. If you put out professional press releases, use e-mail and the Internet intelligently, and show that you know what you are talking about by providing solid analysis and credible information, no one need know that your organization is small in size or has its headquarters in a small town. Many a successful media campaign has been run by one dedicated person with a computer and a fax machine.

• Use the techniques for getting media attention that are outlined above. If you can get into the minds of journalists, think like they do, and then present stories and news angles that grab them, you will have a high degree of success.
• Focus your advocacy on actions and events and not processes and ideas. To most journalists, news is something that happens, that can be seen or heard, and that occurs at a specific time and place. Marches are news. Workshops are almost never news. A research survey is not news — but an event where a high-profile person announces dramatic research findings is news. A book is not news — but a book launch where a panel of prominent speakers are discussing issues raised by the book may be. The following is a good example of a newsworthy event: a South African business advocacy organization struggled to get media attention until it staged a huge event in which business leaders walked across South Africa in relays.

• Finally, be sure that your messages deal with issues of national concern. If you do highlight local issues and concerns, be sure to link these to and show how they have an impact on issues that are prominent on the national agenda.

B. WRITING A MEDIA (PRESS) RELEASE

• Press releases should appear on your organization’s stationery, so that they appear professional and so that the organization’s name, logo, and contact information are clearly visible. Press releases should try to cover all of the classic questions that journalists are taught to ask in relation to an issue that they are covering: who, what, when, where, why, and how.

• Press releases should have a short, informative heading and should be written in a way that immediately grabs the reader’s attention. It can be very effective to compose press releases according to the so-called “inverted triangle” format: the most important information in the initial paragraph(s) with the least important information lower down (such as more in-depth details and the background of the organization).

• For example, below are two possible opening paragraphs to a press release outlining the results of a research survey. The second is likely to have more impact than the first:

1) “The Budget Policy Group has published the results of an extensive survey on the impact of cash grants on vulnerable communities. The survey was carried out in six Southern African countries and involved interviews with over 2,000 respondents in each country. It reveals several problems with respect to the government grant system…”

2) “New research by the Budget Policy Group shows that 2 million poor people in Southern Africa are not accessing government grants. The research reveals that, despite government efforts to register eligible grant recipients, most poor people find it difficult to fulfill all of the requirements…”
• The second example gets right into the key findings of the research and has a much greater chance of grabbing a journalist’s attention. In the first example, after the first paragraph you still don’t know what the research findings were.

• Provide brief and attention-grabbing quotes within the body of the press release and attribute them to organizational spokespersons. For example, “The BPG’s research director, Blessings April, explains, ‘We hope this report will lead governments to reconsider the administrative requirements that potential grant beneficiaries have to fulfill.’”

• Standard information about the organization should be included at the end of the press release, such as the organization’s mission and key background details.

• Once a press release is distributed (by fax, e-mail, or other means), it is important to follow up with a phone call to key journalists and editors to make sure the release has been received and that it is noticed.

• It is important to include a release date (and embargo details if applicable), along with the name of a contact person and associated telephone numbers and e-mail addresses to enable journalists to follow up if they want further information.

C. GUIDELINES FOR PRESS CONFERENCES

• Press conferences should be held only on rare occasions. Journalists are busy and will not attend a press conference unless the matter is especially important or dramatic. As a rule of thumb, only hold a press conference when the issues are so complex that you need to provide detailed explanations and interact with journalists directly in order to ensure that all questions are dealt with. A press conference can also be held when you want to intentionally dramatize an announcement.

• Press conferences should be held as close to most media organizations’ offices as possible and at times that take into account the deadlines of the key media in which you want your conference to appear.

• At the press conference, make a register of journalists who attend. This will help you to track which reporters and media outlets are actually interested in your issue, as well as provide you with useful contact names and numbers. The register can also be used to identify which media should be monitored afterwards in order to track coverage.

• Press kits should be prepared beforehand and handed out to reporters. These should contain hard copies of all statements or speeches to be made at the press conference as well as any useful background information. This material should come in the form of press-friendly briefing sheets rather than long academic papers. It can also be a good idea to provide a CD or DVD containing
photographs, background material, and short audio and video clips. However, it is important to investigate beforehand what technology the invited media outlets have access to so as to ensure that you provide material in the most useful format.

- It is a good idea to have two or three speakers, so that journalists can gather a variety of quotes and perspectives. However, there should not be too many speakers so that journalists feel their time is being wasted for the sake of letting organizational office holders feel important. Be sure to allow enough time for questions from the floor.

- It can be a good idea to provide opportunities for media to interview individuals who are affected in some way by your issue. For example, at a press conference to announce the results of research into the number of gun-related deaths in South Africa, the organization Gun Free South Africa arranged for some people who had lost family members to gun violence to be present to tell their stories. This provided powerful emotional content and gave a human face to the statistics presented in the research.

D. GUIDELINES FOR INTERVIEWS

- Ahead of any interview, it is critical to understand the purpose of the interview. If the interview was requested by a journalist, it is important to find out the purpose of the interview, when and where it will appear, the length (size of story, number of words, time in minutes), when and where the interview will take place, and the name of the interviewer.

- For television and radio, it is important to know whether the interview will appear live or be pre-recorded (and probably edited beforehand).

- It is advisable to settle on no more than three key points that you wish to get across during any specific interview and to stick to these. For television and radio news and current affairs programs, answers to questions should generally be short and to the point, around 20 to 40 seconds. Answers should never exceed a minute.

- It is very important to prepare key quotes or “sound bites” that are catchy and effective. The standard sound bite used during a radio news bulletin usually lasts about 12 seconds. During a current affairs report, perhaps 30 seconds to a minute. Television news sound bites are also short at 10 to 15 seconds. So prepare punchy, memorable quotes of various lengths — 10 to 12 seconds, 30 seconds, and 60 seconds — that encapsulate a key point that you want to make. A well-known example of a memorable sound bite is from the famous O.J. Simpson trial in the mid-1990s: “If the glove doesn’t fit, you must acquit!”

- Language should be kept clear and simple. Steer away from excessively complex arguments and too many facts and figures. Two or three well-chosen statistics can be used very effectively. It is
important to think about the simplest ways of getting figures across. For example, say “five out of every ten people” rather than “fifty percent of the population.” Similarly, it is a good idea to use descriptive language and images and metaphors that will resonate with the audience. For example, you might say “If we compared income to buildings, the income of the poorest Brazilians would be a doll’s house, 2 cm high, while the income of the richest would be a skyscraper reaching from the earth to the moon.” It is always a good idea to provide one or two concrete examples to illustrate each key point being made, particularly if the points are relatively abstract issues of process or policy.

- It is important never to become irritated or aggressive. When faced with a negative question, deal with it truthfully and then go on to emphasize a positive point. During live interviews it is generally possible to steer the focus back to one of your predetermined key points, even if the interviewer begins to focus on areas that you do not wish to discuss. For example, in response to a negative or critical question, you might say, “Well, our critics do say that, but that is not the real issue. The real issue is . . .”

- Practice and preparation are critical. It is a good idea to rehearse with a colleague beforehand and to anticipate possible negative questions and pitfalls. It is also a good idea to have someone record all interviews and listen to them afterwards in order to identify mistakes or areas for improvement.

E. GUIDELINES FOR MAKING PRESENTATIONS

- Presentations are crucial. Whether you are addressing journalists at a press conference or members of the parliamentary health committee, you need to be able to get your message across clearly and effectively. Remember also that the members of your audience hear many presentations – yours needs to stand out so that they remember it. Here are some tips:

**PREPARATION**

- Your presentation starts long before you stand in front of your audience. Preparation is crucially important.
- Objectives: be clear about what you want to achieve, or what you want to convey to your audience.
- What do you want them to remember? Think about ways to make your key message stick.
- Engage your audience by building on what they already know -- use familiar reference points.
- Make it important to your audience – put yourself in their shoes and think about why they should care about your issue.
- People remember firsts and lasts – pay attention to the end and the beginning.
- Give them reason to listen: break their pattern – present the unexpected.
- Have a strong, clear ending.

ENSURING IMPACT
- Plan your words, one idea per sentence.
- Use active verbs.
- Paint pictures: SHOW, don’t tell.
- Use the power of visual communication – use graphics, photographs, and maps to help your audience understand your research and what it means.
- Everyone has a preferred sense for learning -- make use of the five senses as much as possible.
  Use visuals and audio if you can.

DELIVERY
- Take control of the room. You must be in charge.
- Start with energy: show enthusiasm.
- Position yourself in the same area as your visual aids – don’t make your audience divide their attention between a screen and you.
- Keep looking forwards – always focus on your audience – don’t have your back to them while you stare at the screen.
- Signpost important points. You can literally say, “now this next point is very important!”
- Consider the wider environment – are there noises outside the room, are people too cold or too hot? Often, if you briefly acknowledge distracting factors, the audience will be able to put the distraction out of their minds and refocus on you.
- Pay attention to your voice: clarity, projection, pace, and pauses.
- Make eye contact with your audience.
- If possible, handle questions and answers before your ending – then wrap up with a strong take-home message – a definite, clear climax.

VISUAL AIDS
- If you use PowerPoint, use it effectively (see below).
- Remember PowerPoint is just one possible tool among many. You don’t have to use it.
- Think about using other types of visual aids, such as Flipcharts, Whiteboards, and others. Be creative.
- Have handouts for your audience.

USE POWERPOINT EFFECTIVELY
- PowerPoint can be a powerful tool, but too often it is used badly, putting audiences to sleep.
- You don’t want your audience focused on the screen and not on you. Your slides should support you, not take over.

- *Don’t* write your presentation using PowerPoint. Prepare and structure your presentation and only *then* go to PowerPoint and think about how you can use slides to support your presentation.

- Keep slides simple. *Less is more!* Leave the detailed notes for the handouts. One idea per sentence. Short sentences. Maximum three sentences per slide. Some of the most effective slides can consist of just one word. Or an image.

- Be sure that any graphs and other illustrations with your budget information is clear: it can be understood and interpreted at first glance.

- Avoid busy backgrounds, fancy colors, and other visual gimmicks. Plain black on white is often the best. Every element should support your message, not detract from it.

- Don’t be a disembodied voice in a darkened room, with everyone just staring at your slides.

- Continually bring your audience’s focus back to you. You can use the “W” key to make the screen go white, or the “B” key to make it go black.

- Remember that the most memorable speeches in history were given without slides. Winston Churchill, Martin Luther King, and Nelson Mandela never used PowerPoint!
READING 4.7: SAMPLE MEDIA

SAMPLE PRESS RELEASE 1: DRAFT RELEASE

Speaking Up for Those in Pain

Hospices across the globe will be celebrating World Hospice and Palliative Care Day on 11 October 2008. In Bedlamistan we have a strong hospice presence with 74 member hospices dotted all over the country and 54 development sites.

Hospice is a philosophy, not a building, as many people think. The philosophy holds that a person with a life-limiting illness is on a special journey and has a unique set of rights. Palliative care is the active expression of this philosophy — a special brand of holistic care that provides quality of life, dignity in death, and support in bereavement.

Most hospices operate through home-based care by visiting clients and their families in their homes. Some hospices are fortunate enough to have inpatient units, where clients can be admitted for respite, pain control, or terminal care.

According to research, one of the main fears that a dying person has is dying in PAIN.

This year, the theme for World Hospice and Palliative Care Day is “Palliative Care: A Human Right.” The Hospice and Palliative Care Association of Bedlamistan wants to highlight the right of the terminally ill to access medication for pain control. Legislation currently prohibits trained palliative care nurses from prescribing scheduled medications, and access to the correct medicines is difficult for many of our clients. We are actively advocating for this to be changed, so that our clients can have their pain addressed adequately and in a timely manner by trained, professional staff.

Hospices are nonprofit organizations that rely on fundraising activities. Their services are provided free of charge.

Please support the local hospice in your area by volunteering your time or expertise, donating goods to their charity shops, or making a financial contribution.

For more information, go to www.worldday.org or call the Hospice and Palliative Care Association of Bedlamistan at 012-345-6789.
SAMPLE PRESS RELEASE 2: IMPROVED RELEASE

“Pain relief is a human right – let nurses prescribe,” says hospice association.

The Hospice and Palliative Care Association of Bedlamistan (HPCA) is calling for health care legislation to be changed to enable trained nurses to prescribe scheduled pain-control medication.

The call comes as HPCA and its 74 member hospices join hospices around the globe to mark World Hospice and Palliative Care Day on 11 October 2008. The theme this year is “Palliative Care: A Human Right.”

HPCA believes it is the right of people with life-limiting and life-threatening illnesses to be free of pain. However, many patients struggle to gain access to the correct pain-control medicines.

Giving trained palliative care nurses the right to prescribe scheduled medication would go a long way toward alleviating this problem. HPCA CEO Dr. Liz Gwyther says, “The lack of doctors in hard-to-reach rural areas of Bedlamistan means that prescriptions for pain-killing drugs are difficult to obtain, leaving patients in unnecessary pain. Enabling trained nurses to prescribe this very safe and routine medication would alleviate untold misery.”

According to research, one of the main fears a dying person has is dying in pain. But today it is possible to control pain effectively with drugs that are safe to use and that have few side effects.

Hospice is a philosophy and an approach to care — not a building, as many people think. The philosophy holds that the person with a life-limiting illness is on a special journey and has a unique set of rights. Palliative care is the active expression of this philosophy — a special brand of holistic care that provides quality of life, dignity in death, and support in bereavement.

Most hospices operate through home-based care by visiting clients and their families in their homes. Some hospices are fortunate enough to have inpatient units, where clients can be admitted for respite, pain control, or terminal care.

Hospices are nonprofit organizations that rely on fundraising activities. Their services are provided free of charge.

For more information please contact: name of contact person, telephone, and e-mail address

See also www.worldday.org.
The new MPs fund: Lessons from Kenya?

Recently, Tanzanian Members of Parliament (MPs) visited Kenya to learn from their counterparts about the operations of their Constituency Development Fund (CDF). Since 2003, Kenya has been operating a CDF under which all MPs receive funds to initiate development projects in their constituencies.

There are concerns in Kenya about the CDF. In its current formulation, the CDF violates the constitutionally required division of powers among branches of government. Under the CDF, MPs (through their nominees, who are private employees) execute works within their constituencies, and report actual expenditures incurred on CDF programmes to designated district and national government offices.

As with all public expenditures, CDF accounts are subsequently verified by the legislature. This creates a situation in which the legislature is verifying CDF accounts managed by legislators – thereby violating the principle of checks and balances and separation of powers between the executive and the legislature.

Furthermore, the CDF risks diverting MP attention from core tasks. The MPs may be too busy managing CDF monies to exercise their role of scrutinising and holding the executive to account. MPs may also let government off the hook provided government does not question the MPs’ use of the CDF. Finally, the risk of creating parallel uncoordinated systems that causes duplication and wastage is real.

For these reasons, the CDF is a poor idea in principle. Instead of establishing a CDF in Tanzania, it would be better to strengthen local government systems. However, the Parliament is likely to go ahead and establish the CDF. In this case, it would help to take lessons from the Kenyan experience.

First, CDFs must be constructed so that the rules pertaining to project eligibility are rigorous and enforceable. While each Kenyan MP is technically allowed to implement only 20 projects in a year, some MPs have been creative in their enumeration of projects. MPs have classified 10 or more classrooms construction projects in different schools as one project or similarly classified the construction of several health centers as one “health center” project for the purposes of the CDF.

Second, district officials should be provided with adequate resources to enable them to support the CDF projects executed utilising funding provided to the MPs. In Kenya, districts typically suffer from an acute shortage of technical personnel, particularly engineers, and are often unable to effectively monitor actual CDF expenditures.

Third, CDFs must be structured to require a thorough accounting of project funds. Due to poor record-keeping by CDF managers (who are nominated by MPs), reports developed under the Kenyan CDF often record amounts advanced for individual projects rather than the amounts that were actually expended.

However, if actual expenditures are not accounted for, it is impossible to hold either local officials or MPs responsible for any irregularities that may exist in CDF projects or for the results achieved by actual CDF expenditures.

Fourth, CDF funds should be expended only once. In Kenya, though most budget authorisations are valid for just one year, CDF monies do not lapse at the end of the year; unspent funds are available for expenditure in subsequent years. Thus, there is no incentive for an MP to spend CDF money in a timely fashion. An MP can even save CDF monies for later expenditure (as in an election year).

Fifth, CDF monies should be expended within an overall district planning process. In Kenya, apart from supporting bursaries, CDF monies can only be spent on infrastructure projects (such as construction of schools, health centers, etc.).

CDF funds cannot be spent on operational costs (such as salaries for teachers, procurement of medicines at health centers, etc.). Poor coordination between the district and national planning and budgeting processes (through which operational costs are budgeted) and the CDF planning process can lead to situations in which, for example, hospitals are constructed but not functional since staffing costs were not provided in the district budgets.

Finally, the CDF program should guarantee a citizen’s right to practical and meaningful information on the projects funded through the programme.

The Kenyan CDF law does not contain any provisions guaranteeing the public’s right to access information on the programme. Thus, constituents are denied a legal basis on which to demand project records (including accounting records) from the CDF managers, which further limits public accountability for CDF monies.

If implemented, Tanzanian MPs should structure the CDF law in Tanzania so that it does not suffer from the problems experienced in Kenya. Only then will we have a reasonable chance to ensure these funds truly meet the needs of wananchi.

Vivek Ramkumar is a Program Officer with the International Budget Project.

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A handout is a hand up

Needs of the poor should be seen as an economic asset, not a burden

Comment

John Book
Brett Davidson

It may be anaesthetic to the donor community, but cash really is king. Pledges like those of seed, food and fertility support made at the recent World Food Summit are like band-aids for the 500 million Africans living on less than a dollar a day.

In contrast to these emergency, band-aid measures, there is a growing body of evidence showing that social protection, in the form of regular, predictable cash transfers to the most vulnerable groups in society, are remarkably effective. Some of this evidence comes from South Africa, where study after study show pensions and grants have a measurable impact on health and nutrition in recipient households. Other evidence comes from a plethora of pilot projects in neighbouring countries.

Aside from health benefits, cash transfers have enabled beneficiaries to acquire assets such as livestock and seed, freed children to attend school (rather than having to engage in trade or begging to assist their families to survive) and bolstered local economies and markets (also boosting food production by providing incentives to small-scale farmers).

But, even with all this solid evidence, policy-makers and donors remain sceptical.

In South Africa, there is resistance to expanding the grants system, while in neighbouring countries international donors procrastinate by continuing to demand more evidence and more pilots.

For their part, governments in Southern Africa refuse to consider "handouts" or continue to insist that social protection is unfavourable. Ultimately, however, the question is not one of affordability but of political will.

In 2004, for example, Lesotho's government instituted an old-age pension against the advice of international financial institutions. To make it more affordable, it made the grant amount fairly small and the age of eligibility fairly high at 70. Today, up to 77,000 pensioners and a quarter of all households benefit from the monthly grant of R300. The pension is so popular that it curtailed crime and reduced political suicide for the ruling party.

Lesotho shows that when there is political will, the money can be found. Surely, social protection needs to take priority over arms deals, new Parliament buildings, and any number of wasteful vanity projects?

The real question is not whether we can afford to implement or expand social protection, but whether we can afford not to. Unless we urgently implement policy options which address the needs of the poor in a manner that alleviates rather than aggravates the situation, and in a way that respects the poor as an economic asset rather than a social burden, there could be catastrophic consequences.

There are consequences for social, economic and political stability, of which recent episodes of civil unrest experienced across the continent from Senegal to South Africa may be only a glimpse.

We may, as one leading politician put it, be on the verge of a "food revolution".

John Book is programme manager for the regional hunger and vulnerability programme (RHVP). Brett Davidson is a media consultant for RHVP.

Contributors’ guidelines: Each week the M&G receives at least 10 contributions to its opinion pages. Articles have the best chance of publication if they are between 750 and 800 words; anything longer must be exceptionally brilliant and word perfect. Topical issues are likely to grab our attention, and we will not consider articles that require a report in other newspapers. Provocative and persuasive argument wins over dictators every time; style and wit are triumphs over politics. The opinion pages are planed and laid out on the Friday before publication, though exceptions can be made.
SAMPLE LETTER TO THE EDITOR

Education unit looks like a hit squad

Published Oct 05, 2008 in Times LIVE (www.timeslive.co.za)

Every thinking SA teacher should welcome the offer of additional educational support and training (“School inspectors return, but they’ll be nicer this time,” September 28).

Naledi Pandor’s proposed National Education, Evaluation and Development Unit is, however, to be treated with the greatest skepticism. The “development” part is fine, the “evaluation” part remains cause for alarm.

After 40 years’ service in education, I’ve been either subjected to or helped to devise every teacher evaluation system known to man and none of them has worked.

More than this, they have left the teachers who suffered them feeling cheated, confused and embittered.

The minister’s super-unit, apparently answerable to her alone, is to swoop down on schools, evaluate the personnel and present a report based on the evidence of the fleeting visitation. So what’s changed between this and the old-style “panels of inquisition”?

Pandor’s unit is, moreover, to be beefed up to the extent that it has the right, summarily, to fire useless principals and teachers.

The question is — by what means can a working teacher be reasonably and fairly evaluated?

Some teachers are brilliant in the classroom and nonentities in the extramural sphere.

Trust me, innumerable attempts to make sense of an unworkable system have failed. The answer is that to be of any value, evaluation has to be painstaking, discerning and co-operative.

With teachers’ jobs on the line, not to mention salary adjustments, the proposed unit’s function would boil down to that of an educational hit squad, eliminating the underperforming and attempting only the most superficial professional assessment of the rest. — Neil Veitch, Cape Town
SAMPLE CARTOON ABOUT THE PROVIDA CASE IN MEXICO

The caption reads:

PENS AND THONGS...

“By the way: I already need another ‘donation’ from a philanthropic organization...”
READING 4.8: SOME KEY MEDIA TERMS

**Blogs and bloggers:** The word “blog” is an abbreviation of “web log.” It is basically a journal or diary kept online so that it can be read by anyone using the Internet. Entries are usually presented in reverse chronological order, with the most recent entries on top. Blog entries often contain links to other blogs or websites. There are millions of blogs on the Internet, most of which are read by a small group of the blogger’s friends and family members. However, certain bloggers have become very influential in their fields. In the United States, key bloggers are read as avidly as the major daily newspapers, and their views and opinions can have widespread political impact. In Egypt bloggers were jailed for expressing anti-government views. For a good introduction to blogging and numerous examples of blogs, see www.blogger.com.

**Citizen journalism:** Some good examples are All Voices (www.allvoices.com) and OhmyNews International (http://international.ohmynews.com/).

**Mobizines:** Mobizines are magazines that can be downloaded onto cell phones. They have gained popularity particular among younger people.

**Op-ed pages:** The opinion and editorial pages of a newspaper. These pages usually contain the newspaper’s own “leader” article expressing views on one or two of the major issues of the day, columns by regular columnists, and one or more opinion articles contributed by outside contributors (e.g., business people, politicians, academics, and NGO staff).

**Podcasts:** Podcasts are audio or audio-visual files that can be downloaded and then listened to or viewed on PCs; personal music players, such as the iPod and other MP3 players; and some cell phones. Some blogs take the form of podcasts, but podcasts can also be radio programs, documentaries, commentaries, and film trailers. An example of a newspaper’s podcasts can be found at www.mg.co.za/multimedia/podcast.

**Press conference:** A conference to which members of the media are invited, called by an individual or organization for the purpose of making an important announcement.

**Press release:** A notice sent to members of the media announcing a specific item of news (an upcoming event, important new research findings, etc.) or expressing an opinion on a key issue of the day.

**Sound bite:** Sound bites are short audio clips that journalists use in television and radio news reports.
## READING 4.9: COMMUNITY-BASED MEDIA

<table>
<thead>
<tr>
<th>STRATEGY</th>
<th>SCENARIO IN WHICH COMMUNITY-BASED MEDIA PROVED EFFECTIVE</th>
</tr>
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<tbody>
<tr>
<td>Slogan-shouting</td>
<td>One of the most enduring slogans used by MKSS activists is “Mazdoor Kisan Shakti Sangathan Zindabad, Zindabad,” which translates to “Long Live MKSS.” In 2001, during a public hearing held at Lasani (a village in Rajasthan), discussions got heated and two speakers almost came to blows. Precisely at the moment when things looked like they were about to get out of hand, Lal Singh (an MKSS activist) loudly cried out “Mazdoor Kisan Shakti Sangathan,” to which the other MKSS activists responded by shouting “Zindabad, Zindabad.” This effectively turned the audience’s attention away from the two speakers who in turn lost interest in their fight and regular discussions were quickly resumed.</td>
</tr>
<tr>
<td>Band</td>
<td>MUHURI uses the services of a good local band to assist the organization in reaching out to large audiences. The band sings songs and slogans accompanied by drums and trumpets to generate interest in MUHURI’s public events. During a public hearing in Changamwe (a constituency in Mombassa), two speakers almost came to blows over a particularly contentious issue. On a signal from MUHURI activists, the band started playing its theme song, which effectively drowned out the voices of the men fighting and immediately reduced tension levels at the venue.</td>
</tr>
<tr>
<td>Pamphlet &amp; Silent Rally</td>
<td>During an MKSS public hearing in Jhalawar (a district in Rajasthan), a coterie of local contractors and officials decided to attempt to prevent MKSS activists from conducting a public hearing in their area by using scare tactics. They mobilized local thugs to beat up several MKSS activists. When their actions were reported to the local police, instead of apprehending the thugs, the police blamed MKSS for causing problems and discouraged them from holding the public event. The head of the local administration warned MKSS against using any incendiary slogans or speeches during its public events in that location. The MKSS responded to these events by organizing a silent rally during which dozens of MKSS activists marched silently and distributed pamphlets to residents stating their message.</td>
</tr>
<tr>
<td>Identity-Building</td>
<td>MKSS activists greet each other by holding up their right hand (bent at the elbow) with the right fist clenched and saying “Zindabad” or “Long Live” to each other. This greeting allows MKSS activists to build a joint identity.</td>
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<tr>
<td>Street Play</td>
<td>MKSS activists have developed a number of street plays, which are used to accompany campaigns that the organization initiates. For example, after communal riots broke out in the state neighboring Rajasthan (and threatened to spill over into Rajasthan), MKSS activists developed a street play that called for communal harmony and linked this message to an ongoing campaign that had as its objective a demand for an act to guarantee employment to the rural poor.</td>
</tr>
<tr>
<td>Sit-in</td>
<td>In the early 1990s, MKSS activists demanded information on public works from the government. After repeatedly being denied labor payment records for these public works that would have shown that local laborers had been denied their rightful earnings, the MKSS decided to organize a sit-in in front of the local government’s office. One morning, 50 MKSS activists surrounded the concerned official’s office and staged a sit-in. No one was allowed to enter or exit the office until the officials agreed to give MKSS the information they requested. The officials responded by calling the police, who beat MKSS activists with their batons. Though the MKSS had to disperse as a result of its protest, the event initiated the right to information campaign in India.</td>
</tr>
<tr>
<td>Puppet show</td>
<td>In 2008, Shankar, an MKSS activist, was invited to speak at a UN conference promoting women’s rights. Also in attendance at the event was the UN’s Secretary General. Shankar, who is a puppeteer, staged an unscripted performance during which he asked the Secretary General to explain why monies sent by the UN to poor localities never reached these localities. It is difficult to imagine how such a relevant question could have been posed directly by a person at the protocol-conscious UN. However, Shankar and his puppet did the unthinkable!</td>
</tr>
<tr>
<td><strong>Petition</strong></td>
<td>During MUHURI’s public hearing in Changamwe, local residents listed out several complaints that pointed towards a lack of transparency, accountability, and opportunities for public participation in the expenditure of local development funds. Toward the close of the hearing, MUHURI activists turned these complaints into a list of demands for improvement in the management of local funds. These points were written onto a large white cloth and MUHURI requested that local officials present at the event signal their support for these demands by signing the white cloth. The local Member of Parliament was initially unwilling to sign the petition (he was against one of the demands written on the cloth demanding the public’s right to information). However, when his name was announced on the microphone, he had no choice but to sign the cloth. If he had done otherwise, he would have lost face in front of local residents ahead of a crucial election.</td>
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<tr>
<td><strong>Mascot</strong></td>
<td>MUHURI’s communication team uses giant puppets to attract attention during its public events. One member of the organization’s team holds up a 10-foot tall mask and costume appearing as a traditional African man. He then dances to the tune of the band’s music and goes from street to street attracting attention wherever he goes. This puppet show is especially popular with local children, who throng by the hundreds the moment they see the giant.</td>
</tr>
<tr>
<td><strong>Song</strong></td>
<td>Both the MKSS and MUHURI have used songs to convey their organizations’ messages very effectively. MKSS and MUHURI change the lyrics of popular songs to convey the message of their respective campaigns. Since the tunes are quickly recognized by local residents, they are able to join in the songs.</td>
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TASK SHEET 4.10: MEDIA STRENGTHS & WEAKNESSES

What are the strengths and weaknesses of each of the following types of media?

PRINT

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RADIO

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TELEVISION

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TASK SHEET 4.11: PRACTICING MEDIA SKILLS

Write a letter to the editor of the Polarus Times to raise central points in your own advocacy campaign.

*Your letter should be written in the active tense and should be no longer than 200 words. Try not to use NGO jargon in your letter. Make your own points about the maternal health situation in Sunrise State and recommend solutions.*
Write a press release for general release to the media, in which you make your key advocacy points about maternal health.

Your press release should be written in the active tense, with one thought per sentence. Key points should be made right at the top. Include a headline that is attention-grabbing and avoid NGO jargon in your press release. There should be a date, and a contact person listed at the bottom. The press release should somehow refer to the issues recently covered in the Polarus Times – as a way of hooking the release to an issue currently in the news.
SESSIONS 22-27
PRESENTATION PREPARATION, IMPLEMENTATION, AND FEEDBACK

Duration of these sessions: 10 hours, 30 minutes (6 sessions)

STRUCTURE OF THE SESSIONS

1. Task 4.12: Budget Advocacy Planning for HMHC 30 minutes
2. Task 4.13: Bringing It All Together – A Budget Advocacy Plan for HMHC 7 hours, 30 min.
3. Group Work Presentations & Feedback (5 groups) 2 hours, 30 min.

1. TASK 4.12: BUDGET ADVOCACY PLANNING FOR HMHC 30 MINUTES

- **Aim:** for participants to consolidate what they have learned in Module 4 and create a framework to continue applying these skills and knowledge as they proceed with the rest of the workshop.

- Refer participants to **TASK 4.12: BUDGET ADVOCACY PLANNING FOR HMHC** in their Workbooks. Explain that this is an **Extended Assignment** which they will continue to work on as they proceed through the next Modules.

- Consolidate and clarify the following points:
  - By now, participants all know in which HMHC group they are working.
  - In their HMHC groups, they have already defined a budget advocacy objective (This was done in **Task 4.6**). This budget advocacy objective provides the strategic ‘guiding light’ for the groups to develop the rest of their advocacy strategies and to prepare their final budget advocacy presentations.
  - Because the budget advocacy objective is so important, groups will have a chance today to review, refine and adjust their objectives. This is the first step in **Task 4.12**.
  - Over the next four modules, the participants will be learning about different tools and methods for gathering evidence to support an advocacy strategy. As they proceed with this, they will be collecting facts and figures, information and insights about maternal health in Sunrise State, which they will use to build out their advocacy messages.
  - All the while, they should also be thinking about how this new information shapes the main message they want to get across, and also what media they will use to communicate their final budget advocacy messages. Each group must use one mass-based media tool (Opinion Article, Press Release or Letter to the Editor) and one community-based media tool (Play or Puppet Show, Radio program, or Banner and Song) in their final presentations.

- Explain that the groups have the rest of the day, as well as overnight, to make sure their foundations are in place for the extended HMHC assignment.
2. Task 4.13: Bringing It All Together – A Budget Advocacy Plan for HMHC

This task will be presented during the morning of the last day of the workshop. Participants will start planning their presentations from session 30 on the second last day.

- This task pulls together all the parts of the training workshop. The specific aims of the task are for participants to:
  - Articulate the budget objectives of the advocacy strategy for HMHC.
  - Frame a clear and compelling message for their budget advocacy strategy.
  - Interpret and integrate the evidence they have gathered about the maternal health situation in Sunrise State and use it to support their advocacy message.
  - Identify messengers and actions for an advocacy strategy.
  - Suggest roles other organizations can play as part of a coalition working to support the goals of an advocacy plan.
  - Use media effectively and creatively to get their budget advocacy message across.
  - Present their findings to a selected target audience in an accessible and engaging manner.

- Draw participants’ attention to Task 4.13 ■ Bringing It All Together in their Workbooks. Explain that this is not a new task altogether: Instead the worksheet provides guidelines to help them draw together and finalize their extended HMHC group work activities. Therefore participants will draw on the following material they are already familiar with:
  - The basic information about maternal health in the Polarus Sourcebook.
  - The organizational profile of HMHC in the Polarus Sourcebook.

- They should also review and integrate the work they completed on:
  - Task Sheet 4.6: A SMART Advocacy Objective for HMHC
  - Task Sheet 4.11: Practicing Media Skills
  - Task Sheet 4.12: Budget Advocacy Planning for HMHC
  - Module 5: Using Surveys
  - Module 6: Using Primary Information
  - Module 7: Using Secondary Information

- Based on their reflection, invite participants to work through the steps set out on Task 4.13: Bringing It All Together. The task, which is explained in full in their Workbooks, asks them to develop and prepare:
  - An advocacy strategy for HMHC; and
  - A presentation of 10 to 15 minutes on identified aspects of their strategy for one (or two) target audience(s).

- As members of the research and advocacy planning team for HMHC, the groups are asked to develop an advocacy strategy for the organization. The strategy is meant to highlight the role of government budgeting in the maternal health situation in Sunrise State.

- Each group has to set out a budget advocacy strategy, and present all the evidence, analysis and
materials necessary to drive the strategy.

- Each group will present its findings to one (or possibly two) target audience(s). Assign one or more audiences for each group (rather than asking all the groups to present to the legislative committee, for example, or for everyone to conduct a media conference). The possible target audiences could include:
  - The Sunrise State Legislative Committee on Health.
  - A media conference
  - The Directorate of Policy and Planning for Health at national level.
  - The Director-General of Health & Family Welfare in Sunrise State, and her executive team.
  - The trade union of health workers and midwives in Sunrise State.
  - Civil society groups in the SeDeN network which HMHC hopes to convince to support their advocacy campaign.

3. GROUP WORK PRESENTATIONS & FEEDBACK

(5 GROUP PRESENTATIONS – 30 MIN. EACH FOR PRESENTATION & FEEDBACK)

- **Aim:** to consolidate all the learning of the course, and to provide constructive feedback to them in a way that deepens and strengthens their capacity for budget advocacy work.
- It is always useful to load all the presentations onto the presentation laptop before starting the round of presentations. Groups will present for 10 minutes each – be strict about time.
- Before the presentation, refer participants to the GROUP PRESENTATIONS: FEEDBACK FORM in their Workbooks. You may also choose to distribute loose copies of the feedback forms and/or to have some extras available.
- Again, consider the division of roles during the presentations. Here are two options:
  - Of the two groups not presenting, ask one group to act as the designated audience to whom the presenting group is directing their communication. Ask the other group not presenting to act as friendly and supportive ‘feedback’ providers, using the FEEDBACK FORMs to record their comments.
  - Ask both groups not presenting to act as the audience for the presenting group. Then after each presentation, take a five minute break when all the participants ‘step out of role’. Those who have acted as members of the audience now reflect on the group’s performance, and complete the FEEDBACK FORMs.
- However you choose to divide the roles, the most important outcome is for all the groups to complete their presentations in front of a mock audience, and to receive at least one round of constructive feedback.
- Allow 15 minutes for questions from the participants not presenting, and from the facilitators. Give the participants the opportunity to ask questions before the facilitators have a turn. It is usually useful to have two rounds of two questions from the participants – with a limit of one question or comment per participant, and a request for participants to keep it short.
- The facilitators should provide feedback on the group presentations in relation to:
a. Presentation style and strategy
- How well did the group use its human resources strategically to work as a team?
- Did the group introduce its presenters and outline their respective roles and responsibilities?
- Generally, has the group made a compelling case?

b. Advocacy and Analysis
- How well did the group use information and numbers to state its case?
- Is it clear from the presentation what the objectives of the strategy are?
- How well has the group framed their message for their target audience(s) in a compelling way?
- Is the information provided credible and accessible for the target audience(s)?
- Did the group use their opportunity to build relationships with the target audience?

c. Relevance
- Was the information presented relevant and well-targeted to the audience?
- Was there too much superfluous information? Did the group present information to the audience that the audience would obviously know already?
- Was it clear how the audience could use the information and take action to support the objectives of the advocacy strategy?
**TASK SHEET 4.12: BUDGET ADVOCACY PLANNING FOR HMHC**

- **Aim:** for participants to apply what they have learned in the Budget Advocacy Module to a more detailed scenario in Polarus, which will form the basis of extended group work activities progressing throughout the rest of the workshop.

- Refer participants to their Polarus Sourcebooks, which provides information about the organization HMHC and ask them to read it if they have not already done so. Explain that they will now all become active staff members of HMHC.

- Working together with their CSO “colleagues,” the participants are to complete the following steps in order to define a SMART objective for HMHC:

1. Work with the other members of your group to develop a **SMART** Budget Advocacy Objective for HMHC. Follow the following steps:
   
   a. List the information that you already have for your SMART objective.

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   b. What information do you still need to develop your SMART objective?

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c. Begin to fill in the picture for the key components of a budget advocacy strategy for HMHC.

**OBJECTIVE:**

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**AUDIENCES:**

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**MESSAGE:**

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**MESSAGE DEVELOPMENT:**

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2. Look back to the budget advocacy objective you defined for HMHC. Take a few minutes to review, refine and adjust this objective in the light of everything you have learnt in this module. Recapture your budget advocacy objective below, making sure there is absolute consensus in the group. As members of HMHC, our budget advocacy objective is:

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3. Based on what you learned in Module 2: Defining the Problem, what do you think are the budget problems underlying the maternal health situation in Sunrise State?

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4. Which role players are responsible for each of the budget problems you identified above?
5. Which part(s) of the **budget execution process** do you need to monitor more closely to find out more about the maternal mortality problem in Sunrise State?

6. What kind of evidence would be most useful to support your budget advocacy objective?

7. Who could be partners or allies in your research & advocacy?
TASK SHEET 4.13: BRINGING IT ALL TOGETHER

As a member of the research and advocacy planning team for HMHC, you have been asked to consolidate your organization’s budget advocacy strategy. The strategy should allow the HMHC to highlight how government budgeting impacts on the maternal health crisis in Sunrise State.

**The aims of this task are to:**

- articulate clear budget advocacy objectives for the HMHC;
- frame a compelling advocacy message about maternal health in Sunrise State that is suited to your audience(s);
- interpret and integrate the evidence you have gathered about the maternal health situation in Sunrise State and use it to support your advocacy message;
- identify messengers and actions for an advocacy strategy;
- suggest roles other organizations can play as part of a coalition working to support the goals of an advocacy plan; and
- present your findings to a selected target audience in an accessible and engaging manner.

The audience(s) you will direct your presentation to: ________________________________.

**GUIDELINES FOR DEVELOPING A BUDGET ADVOCACY STRATEGY**

1. Identify the potential issues that your advocacy strategy will focus on.
2. Identify the strategic objectives of your campaign. Remember to make it SMART.
3. Identify the budget implementation problems having an impact on the issues, and the relevant government policy or policies. Remember to relate this back to 1.
4. State the solution you propose to these problem(s).
5. Develop your message, and select appropriate messengers and actions/activities to put your strategy into practice. Repeat this for each audience you are directing your message to.
6. Who are your partners to build your coalition? State how they will support your strategy.
7. Explain in more detail how problems/weaknesses in the budget implementation process contribute to the situation/issues you are trying to address.
8. Extract relevant evidence from the following investigations you conducted:
   - On women’s experiences with maternal health services in Swellentsia based on the findings of a Citizen Report Card (Module 5);
   - On the expenditure made by the Sunrise State Department of Health under the Proslimy
contract (Module 6); and

- On the performance of the Sunrise State Department of Health (Module 7).

9. Consolidate your findings and decide how you will structure and express your argument:

- Spell out any assumptions made in the investigations above and/or the findings flowing from them.
- List the conclusions that can be drawn from your findings.
- Illustrate your findings with graphs, tables and/or other illustrations that would help get your ideas across.

10. With your findings in mind, refine your advocacy strategy if necessary, and identify any new allies that would be of particular value in achieving your advocacy goals and objectives.

**For the presentation:**

11. Decide who (in the HMHC network or elsewhere in Polarus) would be most appropriate to address your designated audience(s). This is your messenger.

12. When making your presentation consider:

- What do you want from your audience(s) and how can they give it to you?
- How can you use different media tools to communicate your advocacy message?
- Is your information credible?
- Is your information relevant to the audience(s)?
- Are you making a compelling case?
- Use this opportunity to build relationships so that your strategy is supported.
- Be specific about what you are advocating for, suggest ways in which the problem can be overcome, and show a plan of how the solution could be achieved.

13. Prepare a 10-minute presentation to state your message, give evidence to support your message, and recommend specific actions.

14. Your targeted audience(s) will have 10 minutes to ask questions and give feedback.
**BUDGET ADVOCACY PRESENTATION ✶ FEEDBACK FORM**

In a spirit of supportive, constructive and honest feedback, give your perspective on the following aspects of the other group’s presentation.

<table>
<thead>
<tr>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. How effectively did this group use budget analysis to back up their advocacy message?</td>
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<td>4. How logical was this group? Did their conclusions make sense and hang together?</td>
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<tr>
<td>5. How well did this group use different media tools to get their advocacy message across?</td>
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<tr>
<td>6. Did this group make clear what they wanted their audience to do now to improve the situation?</td>
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Other comments:
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BUDGET ADVOCACY PRESENTATION ❖ FEEDBACK FORM

In a spirit of supportive, constructive and honest feedback, give your perspective on the following aspects of the other group’s presentation.

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USEFUL RESOURCES TO SUPPORT FACILITATION OF MODULE 4 (BUDGET ADVOCACY)


7. Case studies on the IBP website and articles in IBP Newsletters ([www.internationalbudget.org](http://www.internationalbudget.org)) that illustrate how civil society organizations have used a variety of budget advocacy strategies to make concrete changes at the local, regional, and national levels in their countries.
EVALUATION, CERTIFICATION, & CLOSURE
SESSION 28
EVALUATION, CERTIFICATION, & CLOSURE

Duration of session: 1 hour and 5 minutes

LEARNING OUTCOMES FOR THIS MODULE

By the end of this session, participants will have:

- provided feedback on the workshop, training materials, and their learning experience;
- evaluated and closed the workshop;
- begun building a new network of budget advocates with their fellow participants; and
- gained a sense of accomplishment through their participation in the workshop.

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<th>STRUCTURE OF THE SESSION</th>
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1. COMPLETING EVALUATION QUESTIONNAIRES 20 MINUTES

- Ask participants to complete evaluation questionnaires, which they received in the first session of the workshop.
- After 20 minutes, collect questionnaires from all the participants.
- Please hand over or scan and send the evaluations to the designated IBP host facilitator.

2. DEVELOPING & BUILDING A NETWORK OF BUDGET ADVOCATES 30 MINUTES

- **Aim:** to consolidate a sense of connectedness amongst the participants and facilitators, and to provide a useful metaphor for talking about the network relationship.
- Ask participants and facilitators to arrange themselves, with their chairs, in a closed circle.
- Explain that the ball of string will be passed or thrown to one participant or facilitator at a time.
- You can start by holding onto a piece of string and then passing it to someone in the circle. When you pass the ball of string say something complimentary/positive about the person whom you are passing the string to, for example, “Alicia, I admire your leadership skills and ability to organize.” Alicia (probably says thank you) then holds onto a piece of string and passes the ball onto another person in the circle.
- Continue until everyone is connected and holding onto a piece of string, and the ball has been
returned to the facilitator. Each person will receive the ball of string once only.

- Be mindful of persons who have not received the piece of string — this usually becomes evident, and sometimes awkward, when 5 or so persons are still left. Gently point out who has not yet received the string.

- As soon as the ball has been returned to you, ask people to start pulling gently onto their string and to follow how this changes the connection, the web and network that the group has created.

- Explain, that similarly, after everyone has returned to their work and their countries, the network that has been created through this workshop will only continue by us nudging each other and communicating to remind ourselves of the work that we can achieve.

- Ask participants to drop the string and pass onto the facilitator.

### 3. Certification & Closure 15 MINUTES

- Congratulations! You have successfully completed the IBP Workshop on Monitoring Budget Implementation.

- Hand over certificates to participants one by one.

- Some participants like having their pictures taken when they receive their certificates.

- And then, there will probably be lots of group picture requests, too!