

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, you 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 your own context, given your 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
2. Task 8.1: Is this the right tool?
3. Presentation & discussion of BIDS 2
4. Report-back & discussion: Is this the right tool?

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

STEP IN THE BI PROCESS	DESCRIPTION OF PROBLEM AREA	AUTHORIZING OFFICIAL OR AGENCY	WHICH METHOD?	SOME REQUIREMENTS
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)	<p>Quality and availability of information: Good quality secondary information is essential.</p> <p>Skills: Budget Analysis skills and Knowledge of Budget Process</p> <p>Community network: Not essential, but useful for advocacy.</p> <p>Government cooperation: Not needed, provided you can access information.</p> <p>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.</p>
			PETS	<p>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.</p> <p>Skills: Survey skills and an understanding of the budget process.</p> <p>Community network: Not essential, but useful for advocacy.</p> <p>Government cooperation: Government cooperation is absolutely essential since they have to answer survey questions and give access to records.</p> <p>Scale: Any scale in principle, but the scale is limited by the nature and availability of secondary information.</p>
II	Initiation of Spending by MDA, Payments Made & Transaction	Chief Accounting Officer at MDA	Comparing actual expenditure and primary data (Fundar)	<p>Quality and availability of information: Need quality actual expenditure information and primary information.</p> <p>Government cooperation: If there is no FOI law, government cooperation is essential to get access to primary information.</p>

STEP IN THE BI PROCESS	DESCRIPTION OF PROBLEM AREA	AUTHORIZING OFFICIAL OR AGENCY	WHICH METHOD?	SOME REQUIREMENTS
II	Recorded Initiation of Spending by MDA, Payments Made & Transaction Recorded	Chief Accounting Officer at MDA	Comparing actual expenditure and primary data (Fundar)	<p>Skills: Budget analysis skills, an ability to access information and understand primary information produced by government transactions.</p> <p>Community network: Not essential, but useful for advocacy.</p> <p>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.</p>
			PETS	<p>Quality and availability of information: Not essential</p> <p>Skills: Survey and budget analysis skills. Understand primary information produced by government transactions.</p> <p>Community network: Not essential, but useful for advocacy.</p> <p>Government cooperation: Needed to access information.</p> <p>Scale: Any scale in principle, but the scale is limited by the nature and availability of primary information.</p>
III	Procurement process	Procurement Board	Procurement monitoring (DEEM/Textbook Count)	<p>Quality and availability of information: Documents include tender and bid documents, purchase order, contract, delivery and inspection note, vendor's invoice, bills payable, stock records, etc.</p> <p>Skills: Understanding of the procurement process and documents produced in it.</p> <p>Community network: Not essential, but useful for advocacy.</p> <p>Government cooperation: Government cooperation is essential for access to information. But if there is an access to information law then not essential.</p> <p>Scale: Given its complexity, this method works best for single issues, but possible to use for larger issues.</p>

STEP IN THE BI PROCESS	DESCRIPTION OF PROBLEM AREA	AUTHORIZING OFFICIAL OR AGENCY	WHICH METHOD?	SOME REQUIREMENTS
			Social Audit	<p>Quality and availability of information: Good primary information of government transactions at local level needed.</p> <p>Skills: Understanding of primary information produced by government transactions.</p> <p>Community network: Essential</p> <p>Government cooperation: Not needed if there is FOI legislation.</p> <p>Scale: Works best at small scale (village or ward).</p>
IV	Goods/Services Provided	Vendor/Service Delivery Agency	ASER (survey) Participatory Service Delivery Assessment (PSDA)	<p>Quality and availability of information: Need information on location of facilities and the number of people that use them.</p> <p>Skills: Surveying skills</p> <p>Community network: Not essential, but useful for advocacy.</p> <p>Government cooperation: Not needed, provided you can gain access to the facilities and the information mentioned above.</p> <p>Scale: Any</p> <p>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.</p>

			<p>Citizen Report Card</p>	<p>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.</p>
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