



**Affiliated Network for Social Accountability in
East Asia and the Pacific**

THE TOOLS OF SOCIAL ACCOUNTABILITY STOCKTAKING

GETTING TO KNOW THE LAY OF THE LAND



Scanning • Scoping • Mapping • Profiling

THE TOOLS OF SOCIAL ACCOUNTABILITY STOCKTAKING

GETTING TO KNOW THE LAY OF THE LAND

The term “stocktaking” commonly refers to the physical verification of the quantities and condition of items held in an inventory as part of an audit or valuation.¹ TheFreeDictionary, on the other hand, defines stocktaking as “a reappraisal of a situation, a person, or one’s own position or prospects”. This second definition appears to go beyond business processes, emphasizing its sociopolitical value.

It is this second sense that ANSA EAP has adopted “stocktaking” as the collective term given to the tools in getting to know and understanding the social accountability situation of a specific area or sector. For ANSA EAP, stocktaking means a re-appraisal (or assessment) of a social accountability situation, including its key players and stakeholders, the processes and dynamics, the tools and methods, etc.

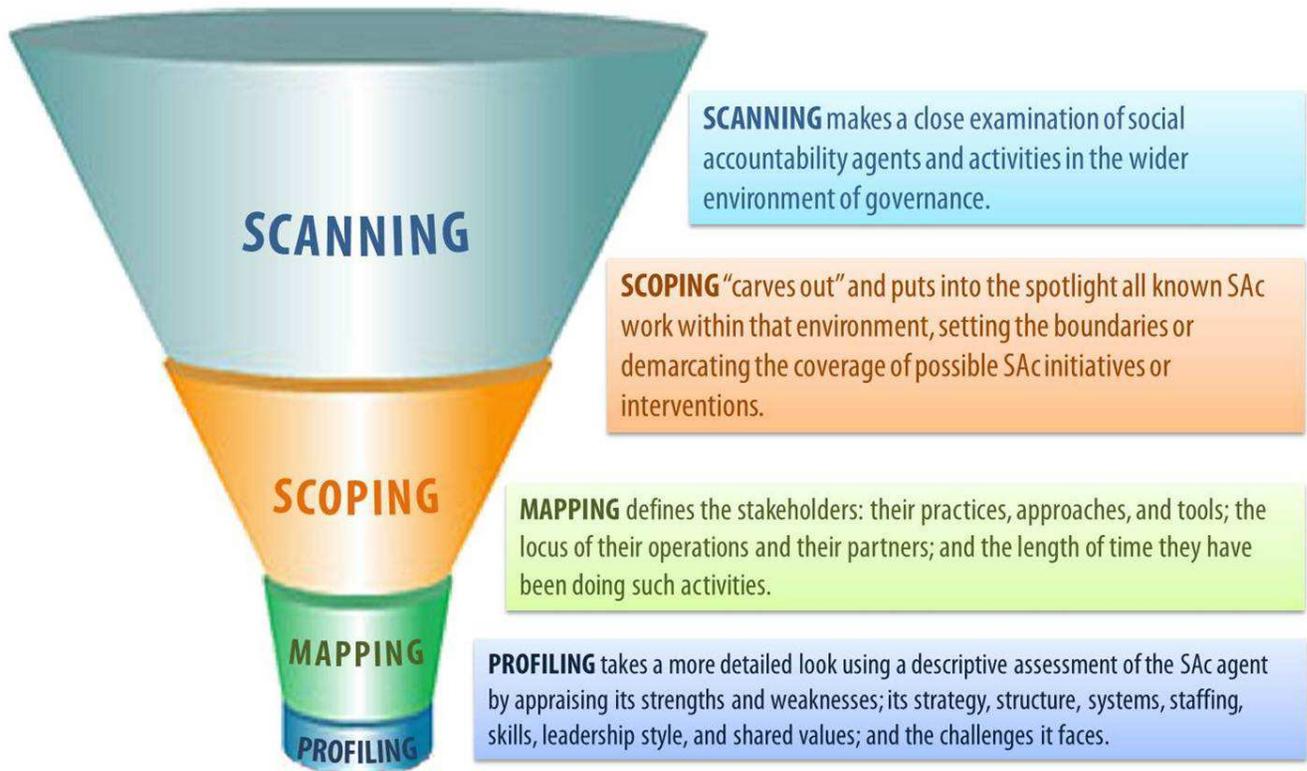
ANSA-EAP’s stocktaking framework uses four tools: **scanning**, **scoping**, **mapping**, and **profiling**. Each one, as it were, precedes and prepares the other like a funnel.

The templates serve as guides, hence the “areas of inquiry” and the “descriptors” are suggestions to help steer the investigator in scrutinizing the wider arena of social accountability. The investigator may add details and revise the items according to the goals, objectives and specific outputs of the study.

¹ *Stocktaking*. (2009). The American Heritage Dictionary of the English Language. NY: Houghton Mifflin.

² TheFreeDictionary. (N.d.). *Stocktaking*. Retrieved from <http://www.thefreedictionary.com/stocktaking>

ANSA EAP's SOCIAL ACCOUNTABILITY STOCKTAKING FRAMEWORK



SCANNING

WHAT IS THE TOOL?

Scanning refers to the preliminary examination of the wide arena of governance in a given area, looking for agents, processes, and activities in the context of social accountability. It can be described as a wide, sweeping search much like moving a light beam over a targeted area to gain an image of "state of play" of social accountability in terms of political and economic analysis. Scanning is a review of the interaction of political and economic processes in a society: the distribution of power and wealth between different groups and individuals, and the processes that create, sustain and transform these relationships over time.

Scanning takes a broad view of possible options and looking further into those that require a more in-depth examination. Scanning involves an initial

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identification of SAc initiatives, those entities doing SAc work, a general description of SAc tools if any, salient governance and political issues, accomplishments, and prospects.

WHAT IS THE TOOL FOR?

To provide focus, ANSA EAP uses the 4 Pillars of Social Accountability as handles. These are: (a) government responsiveness and openness, (b) organized and capable citizens, (c) access to information, and (d) cultural and context appropriateness. The information will help to:

- Identify citizens and citizen groups that engage in governance work within a specified region, country or a sector
- Explore the governance locus where SAc work is being done: its social, political, economic, cultural, and historical context that have a bearing on SAc work
- Determine and describe SAc activities and innovations

HOW IS THE SCANNING TOOL USED?

Scanning is exploratory and descriptive, utilizing the snowball approach of data collection. It uses various data gathering techniques such as desk review (online and archival/secondary documents), interviews with key informants, and roundtable discussions with experts.

Because the aim of scanning is to provide an environmental perspective, key informant interviews and roundtable discussions are optional. Data analysis is generally qualitative. Descriptive statistics is used to support qualitative analysis and for comparative purposes.

WHAT ARE THE OUTPUTS AND OUTCOMES OF THE SCANNING ACTIVITY?

A scanning documentation identifies and provides general information on the following:

- Political, economic and sociocultural description of the SAc environment
- Key SAc initiatives and activities (program, projects, agenda, etc.)
- Key actors (government and nongovernment) doing good governance and SAc work such as individuals, groups, organizations, institutions, and networks
- Approaches and methodologies used in SAc work
- SAc materials, tools and mechanisms

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WHAT IS THE SCANNING DATA FOR?

While the information gathered is broad and general, data from scanning:

- Provides SAc practitioners an initial inventory of the width and breadth of governance work in the region, country or sector
- Provides general background information on the context and issues of governance, e.g. social, political, economic, cultural, and historical information that may have a bearing on SAc work
- Provides initial information on approaches and tools used by key actors of governance work in a region, country or sector at the national and subnational levels
- As platform and source material for scoping, mapping, and profiling of SAc initiatives in a region, country, or sector.

SCOPING

WHAT IS THE SCOPING TOOL?

Scoping “carves out” information from the scanning activity and highlights all known social accountability work within that environment. Scoping sets the boundaries or demarcates the coverage of possible social accountability initiatives or interventions.

Scoping thus sets the boundaries or demarcates the coverage of possible initiatives or interventions so that the outcomes/effects could be better anticipated and are those that are most likely to be significant. It determines what should be included and excluded (what is in and what is out).

Scoping clarifies the validity of issues, the complexity of the situation, the key issues of stakeholders and end beneficiaries or users of planned products or services. Scoping helps better specify the particular context by enclosing it and seeing where values and expressions are associated in relation to the theme or focus of a SAc intervention. Scoping thus ensures that efforts will not be expended in the examination of trivial aspects, concerns and effects.

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WHAT IS THE SCOPING TOOL FOR?

Scoping identifies specific organizations and institutions engaged in social accountability. Scoping is used to:

- Draw up an inventory of organizations and institutions that actually practice SAc (identified and validated during the scanning process)
- Identify overlaps, links and collaborations among key or primary SAc agents (organizations, individuals, networks, etc.)
- Determine key issues and concerns pertaining to social accountability
- Identify and eliminate from the study those issues that are not significant to SAc, or issues that have been analyzed in previous reviews
- Deepen understanding of key factors and forces that play mediating roles in the interface between citizens groups and governments, such as one's socio-cultural, historical, and political context
- To identify cross-cutting SAc practices, approaches, tools and mechanisms

HOW IS THE SCOPING TOOL USED?

While scoping is exploratory and descriptive in nature like scanning, it provides a more detailed output in terms of defining and setting the boundaries of organizations or institutions that practice SAc. It is a more focused use of the SAc 4 Pillars to frame, investigate, collect, and analyze information. Scoping utilizes the documentation provided by the scanning activity as a primary source of information and as a starting point for an in-depth gathering of data. Like scanning, this activity is conducted through:

- Desk review (online and archival/secondary documents)
- Interviews with key informants
- Roundtable discussions with experts
- Data validation by experts (usually through a workshop)

Data analysis is generally qualitative. Descriptive statistics is used to support qualitative analysis and for comparative purposes.

WHAT ARE THE OUTPUTS AND OUTCOMES OF THE SCOPING ACTIVITY?

The main output is a scoping documentation framed from the perspective of the SAc Four Pillars. It provides information on the following:

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- An inventory of citizen and government groups that actually practice SAc
- An overview of factors and forces that mediate the dynamics of and interface between citizens groups and government, bringing into focus the region, country, or sector’s sociocultural, historical, and political context
- A general description of SAc practices, approaches, tools and mechanisms that are prevalent in the region, country or sector

WHAT IS THE SCOPING DATA FOR?

The scoping information is useful because of the following:

- Provides a general back-ground of SAc initiatives in the region, country or sector
- More specific than scanning; mapping identifies and brings into focus organizations and institutions actually practicing SAc
- Situates the practice of SAc in the sociocultural, historical, and political context of the region, country or sector
- Identifies the general SAc agenda and issues
- Provides general information and trends on each of the SAc Four Pillars

Broadly, the scoping information facilitates one’s knowledge regarding the following:

- Enriching SAc knowledge in a region, country or sector
- Identifying and establishing networks and other entry points for SAc work
- Establishing general trends in the data thus allowing for a more accurate rendering of thematic patterns
- Locating and planning initiative or intervention in light of the emerging agenda and issues facing SAc

MAPPING

WHAT IS THE MAPPING TOOL?

Mapping deepens the scoping results by identifying and describing the stakeholders and their practices, approaches, and tools; specifying the locus of their operations and their partners; and determining the length of time they have been doing good governance activities.

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Mapping provides a more comprehensive appreciation of the spread, intersects and links of information gathered from the more basic information gathered from the “getting-to-know-you” questions of who are doing SAc in the scanning and scoping activities. In a mapping exercise the question asked is – what exactly are the agents/actors/stakeholders doing; how long they have been doing it, where they are doing it, how they are doing it, in what manner and by what means, etc.

Mapping likewise addresses the question of context by looking at the organization or institution’s sociocultural, historical, and political milieu in a more detailed manner. Mapping here is considered as a more integral “next step” to scoping. (However, it must be noted that both scanning and scoping activities often involve some type of mapping and profiling of stakeholders or key drivers of SAc.)

WHAT IS THE MAPPING TOOL FOR?

Mapping aims to provide a more detailed description and indepth analysis of SAc initiatives in the context of the region, country or sector’s sociopolitical, historical, and cultural milieu.

- To provide a detailed description and indepth analysis of SAc practices per organization/institution (and across organizations/institutions), specifically focusing on key stakeholders and partners (including their understanding of SAc), historical evolution, approaches and methodologies, and tools and mechanisms
- To identify and establish patterns, themes, and trends as a result of data analysis
- To identify emerging issues and concerns related to SAc work
- To systematically use the SAc Four Pillars as a “filter” to collect and analyze data:
 - * An enabling environment (policy context and government champions)
 - * Organized and capable citizens groups
 - * Access to information
 - * Context and culture
- To initially identify and define elements, opportunities, and entry points for SAc networking and capacity-building

HOW IS THE MAPPING TOOL USED?

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The mapping process uses the scoping output as a platform to investigate further and in more detail SAc initiatives in a region, country or sector. Outputs from review of literature (secondary source of data) are utilized to investigate and generate new data, as well as to probe and validate information, using key informant interviews and focus group discussions. Data analysis looks for patterns, themes, and categories – thus providing a deeper understanding of SAc initiatives in the region, country or sector.

As with scanning and scoping, the initial results of a mapping study are likewise subjected to validation involving key stakeholders, usually in a workshop setting.

WHAT ARE THE OUTPUTS AND OUTCOMES OF THE MAPPING ACTIVITY?

A mapping documentation that provides detailed information and analysis on:

- Who are doing SAc, what exactly they are doing, how long they have been doing it, where they are doing it, who they are doing it with, in what manner, and by what means
- The organization or institution’s sociocultural, historical, and political context in a more detailed manner
- Identified patterns, themes, and trends as a result of data analysis
- Detailed information and analysis from the perspective of the SAc Four Pillars framework
- Emerging issues and concerns related to SAc work
- Elements, opportunities, and entry points for SAc networking, advocacy, and capacity-building

WHAT IS THE MAPPING DATA FOR?

The mapping information is useful because of the following:

- Provides a detailed and in-depth information on SAc initiatives in the region, country or sector
- Gives a clearer picture of who is actually practicing SAc, why it is doing it, how long, where, etc. using the Four Pillars of SAc framework
- Provides entry points for SAc networking, advocacy, and capacity-building

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- Starting point for detailed profiling of institutions and organizations doing SAC work

PROFILING

WHAT IS THE PROFILING TOOL?

Profiling takes a more detailed look using a descriptive assessment of the mapping questions, investigating the makeup of specific social accountability agents and intermediaries (organizations or institutions doing social accountability work) by appraising its strengths and weaknesses; its strategy, structure, systems, staffing, skills, leadership style, and shared values³; and the challenges it faces.

A profile can also provide information on the level of interest that organization members may have in being actively involved in a SAC undertaking and their preferred method of engagement. The understanding provided by profiling can assist in the development of an engagement strategy and lead to more effective projects and programs as these are tailored to the needs and characteristics of the people involved.

Another important element in profiling is the capacity assessment of the agents, lead partners or stakeholders of SAC.

WHAT IS THE TOOL FOR?

Profiling aims to assess the strengths and weaknesses of specific SAC agents targeted or considered as part or partner of the planned undertaking or SAC initiatives (projects or programs). The objectives are:

- To assess the strengths and weaknesses of specific SAC agents to undertake SAC work in terms of strategy, structure, systems, staffing, skills and competencies, leadership style, and shared values
- To provide information that can assist in the development of an engagement plan to influence key stakeholders for the purpose of program or project implementation

³ This refers to the McKinsey 7S Framework, which is often used as an organizational development diagnostic framework and management tool. See, for example, "Mindtools", in http://www.mindtools.com/pages/article/newSTR_91.htm

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- To provide information on the agent’s social and economic characteristics, its networking capabilities, and social infrastructures that it provides
- To provide information on the level of interest (and where possible, commitment) of organization members and stakeholders to undertake SAC work and preferred method of engagement
- To identify the capacity building agenda for SAC stakeholders or specific groups or clusters of actors

HOW IS THE TOOL USED?

The profiling process uses the scoping and mapping outputs as its sources as well as platforms to investigate specific agents (organizations and institutions) that are possible ANSA-EAP partners. Outputs from review of literature are utilized to examine and generate new data, as well as to probe and validate information, using key informant interviews and focus group discussions. Archival and secondary data from the targeted organizations are used to provide a more complete picture.

The initial results of the profiling study undergo a validation workshop with the organization or institution’s stakeholders.

Another method is the use of a capacity assessment focused on predetermined set of competencies or capacities required for specific SAC work.

WHAT ARE THE OUTPUTS AND OUTCOMES OF THE PROFILING ACTIVITY?

A documentation describing the capacity and, conversely, the capacity needs of SAC agents, which are considered as potential partners and collaborators of ANSA EAP in undertaking SAC initiatives. The documentation provides the following information about the organization or institution:

- An assessment of the strengths and weaknesses to undertake SAC work in terms of strategy, structure, systems, staffing, skills and competencies, leadership style, and shared values
- Information that can assist in the development of an engagement plan to influence key stakeholders for the purpose of common partnership interests

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- Information on the agent’s social and economic characteristics, its networking capabilities, and social infrastructures that it provides
- Information on the level of interest (and where possible, commitment) of organization members and stakeholders to undertake SAc work and preferred method of engagement

WHAT IS THE PROFILING DATA FOR?

The profiling data provides a detailed and indepth assessment of the capacities of the targeted SAc agent (organization or institution) that can assist in the development of common partnership SAc undertakings.

Specifically, the profiles have the following benefits:

- Mapping of environmental and organizational issues
- Facilitate in the design of a capacity building program based on the needs of the organization or institution
- As entry points for engagement, networking and capacity building
- Facilitate in the conduct of planning of programs and projects

TEMPLATE FOR SOCIAL ACCOUNTABILITY SCANNING

This template is a tool for scanning the social accountability environment within the bigger context of governance. The information generated and gathered is intended to examine the bigger societal environment within which social accountability is embedded.

The template is a guide, hence the “areas of inquiry” and the “descriptors” are suggestions to help steer the investigator in scrutinizing the wider arena of social accountability. The investigator may add details and revise the items according to the goals, objectives and specific outputs of the study.

The objectives of scanning are:

1. To explore the locus and context where SAc work is being done, e.g. the social, political, economic, cultural, and historical aspects that have a bearing and impact on SAc work
2. To identify and gather information on citizens groups that engage in governance work in a region, country or a sector at the national and sub-national levels
3. To initially identify and gather information on SAc agents and their initiatives and activities

AREA OF INQUIRY	DESCRIPTOR	DATA
1. Geographic and demographic background	a) Geographic characteristics	
	b) Population characteristics	
	c) Population distribution (sex, age, geographic, urban-rural, etc.)	
2. Brief historical background		
3. Socio-cultural background	a) Language and ethnic groupings	
	b) Religions and faith systems	
	c) Media, communications, IT	
	d) Unique cultural characteristics (family, property, women/children, etc.)	
	e) Cultural factors that promote/hinder citizen engagement with government	
4. Socio-economic background	a) Natural resources	
	b) Major sources of livelihood/revenues (agriculture, mining, trade, manufacturing, oil, etc.)	
	c) Foreign investments/foreign aid	
	d) Interface with global economy (e.g. reactions to global/regional economic crisis)	
5. Socio-political background	a) Historical factors that influenced current political culture	
	b) Historical and political factors that contributed to current form/type of government	
	c) Influence of foreign agents in current	

AREA OF INQUIRY	DESCRIPTOR	DATA
	political setup (e.g. colonization, geopolitics)	
	d) State of electoral system and mechanisms	
	e) Political factors that promote/hinder citizen engagement with government	
6. Governance and the policy environment	a) Centralized vs decentralized	
	b) Legislations and policies that promote/hinder citizen engagement with government	
	c) Status of government service delivery systems and mechanisms	
	d) Status of the public finance management system (planning, budgeting, expenditure management, performance monitoring)	
	e) Extent to which citizens and citizen groups engage and/or participate in these processes	
	f) Public grievance mechanisms	
	g) Social accountability champions in government (individuals or institutions)	
	h) Factors in governance and policy environments that contribute to/hinder citizen engagement with government	
7. Government and NGO¹ relationship	a) Brief historical background of government-NGO relationship, including evolution of NGOs	
	b) General attitude of government/public officials towards efforts by citizen groups to engage government	
	c) Extent of NGO participation and influence in governance processes, e.g. in the public finance management cycle	
	d) Extent of access to information by NGOs and the factors that contribute to access/non-access, e.g. legislations, policy, culture, structure/systems, etc	
	e) Areas of government-NGO partnerships, e.g. health, education, agriculture, gender, community development, policy formulation, etc.	

¹ NGO – non-government organization

AREA OF INQUIRY	DESCRIPTOR	DATA
8. Organized citizen groups	a) Number of active NGOs/CBOs ²	
	b) Number (and % of total) of NGOs/CBOs that actually engage government (in whatever form or capacity)	
	c) Status of inter-NGO relationships	
	d) Support for NGOs/CBOs (local and foreign)	
	e) General attitude of NGOs/CBOs towards efforts to engage government	
	f) Categorization and proportion (%) of NGOs/CBOs according to type of engagement with government, e.g. health, education, public finance management, etc.	
	g) Approaches and modalities of engaging (or ways of working with) government, e.g. opposition, collaboration, partnership, etc.	
	h) Tools and mechanisms generally used in engaging government, e.g. community scorecard, participation in planning and budgeting, procurement monitoring, etc.	
	i) Challenges commonly faced by NGOs in engaging government	

² CBO – community-based organization

TEMPLATE FOR SOCIAL ACCOUNTABILITY SCOPING

This template is designed as a scoping tool to “carve out” and put into the spotlight all known SAc work in a region, country, or a sector. Scoping brings into focus known SAc initiatives – specifically citizen groups engaged with government – in the universe of governance work.

The objectives of scoping are:

1. To come up with an inventory of SAc agents (organizations and institutions) that actually practice social accountability, e.g. those have been initially identified and validated in the scanning process)
2. To identify cross-cutting SAc practices, approaches, tools and mechanisms
3. To identify and validate key issues of stakeholders and key beneficiaries (whether citizen groups or government) of SAc products or tools
4. To identify and eliminate from the study those issues that are not significant to SAc, or issues that have been analyzed in previous reviews
5. To deepen understanding of key factors and forces that have a role in the interface between citizen groups and government

The template is a guide. The investigator may add details and revise the items according to the goals, objectives and specific outputs of the study.

A. Organization

NAME OF ORGANIZATION		
ACRONYM/ABBREVIATION		
ADDRESS		
SOCIAL ACCOUNTABILITY CONTACT PERSON		
CONTACT INFORMATION	Telephone/Fax	
	Email address	
	Website	
OPERATIONAL AREA: NAME OF PROVINCE (S)		
TARGET GROUP/AUDIENCE		

B. Please tick in which SECTOR your organization is engaged in:

- Education
- Health
- Environment/Natural Resource Management
- Rural Development
- Private Sector Development
- Democracy and Decentralization/Citizenship
- Engagement
- Other: _____

C. Please tick the STATUS of your organization with regard to SOCIAL ACCOUNTABILITY ACTIVITIES:

- Ongoing implementation of SAc activities
- Starting SAc activities (Plan for Year 20__ in place)
- Interested to initiate SAc activities

D. Social Accountability Core Field Activities

What are the main areas of SA Activities your organization is involved in/or already has planned to get involved in Year 20__?

Please tick

1. Contributing to Policies and Plans



<i>Activity Type</i>		<i>Timeframe</i>	<i>Partners Involved in the Engagement</i>	<i>Specific SAc Tools</i>
a. Round table (CSO-CC dialogue)	<input type="checkbox"/>			
b. Participatory local planning meetings	<input type="checkbox"/>			
c. Local issue forums	<input type="checkbox"/>			
d. Public hearings (participation in policy-making)	<input type="checkbox"/>			
e. Public dissemination of information/publications	<input type="checkbox"/>			
f. Others (specify):	<input type="checkbox"/>			

Other remarks:

- a. What are the problems encountered in conducting the abovementioned SAc activities?
- b. What are the results of these activities?
- c. In what ways are the initiatives:
 - i. Sustained?
 - ii. Scaled up?
 - iii. Replicated?
- d. On a scale of 0 to 4, with 0 as lowest and 4 as highest, rate the following by encircling the appropriate number:

	<i>Low</i>				<i>High</i>
RECEPTIVITY					
Receptivity of government/government partners to SAc activities that contribute to the abovementioned activities.	0	1	2	3	4
Receptivity of citizens to SAc activities that contribute to the abovementioned activities.	0	1	2	3	4
LEVEL OF AWARENESS					
Quality of level of awareness of government/government partners on SAc activities that contribute to the abovementioned activities.	0	1	2	3	4
Quality of level of awareness of citizens on the abovementioned SAc activities.	0	1	2	3	4
LEVEL OF INVOLVEMENT					
Involvement of public officials in the abovementioned activities.	0	1	2	3	4
Involvement of citizens in the abovementioned activities.	0	1	2	3	4

2. Public Revenues and Budget-Related SAc Work



<i>Activity Type</i>		<i>Timeframe</i>	<i>Partners Involved in the Engagement</i>	<i>Specific SAc Tools</i>
a. Monitor government revenues	<input type="checkbox"/>			
b. Public dissemination of information	<input type="checkbox"/>			
c. Monitor local expenditures	<input type="checkbox"/>			
d. Independent expenditure tracking on national level	<input type="checkbox"/>			
e. Others (specify):	<input type="checkbox"/>			

Other remarks:

- a. What are the problems encountered in conducting the abovementioned SAc activities?
- b. What are the results of these activities?
- c. In what ways are the initiatives:
 - i. Sustained?
 - ii. Scaled up?
 - iii. Replicated?
- d. On a scale of 0 to 4 (with 0 as lowest and 4 as highest) rate the following by encircling the appropriate number:

	<i>Low</i>				<i>High</i>
RECEPTIVITY					
Receptivity of government/government partners to SAc activities that contribute to the abovementioned activities.	0	1	2	3	4
Receptivity of citizens to SAc activities that contribute to the abovementioned activities.	0	1	2	3	4
LEVEL OF AWARENESS					
Quality of level of awareness of government/government partners on SAc activities that contribute to the abovementioned activities.	0	1	2	3	4
Quality of level of awareness of citizens on the abovementioned SAc activities.	0	1	2	3	4
LEVEL OF INVOLVEMENT					
Involvement of public officials in the abovementioned activities.	0	1	2	3	4
Involvement of citizens in the abovementioned activities.	0	1	2	3	4

3. Monitoring and Evaluation of Public Services and Goods

<i>Activity Type</i>		<i>Timeframe</i>	<i>Partners Involved in the Engagement</i>	<i>Specific SAc Tools</i>
a. Public hearings	<input type="checkbox"/>			
b. Citizen report card	<input type="checkbox"/>			
c. Community scorecard	<input type="checkbox"/>			
d. Public opinion polls	<input type="checkbox"/>			
e. Citizens charters	<input type="checkbox"/>			
f. Others (specify):	<input type="checkbox"/>			

Other remarks:

- a. What are the problems encountered in conducting the abovementioned SAc activities?
- b. What are the results of these activities?
- c. In what ways are the initiatives:
 - i. Sustained?
 - ii. Scaled up?
 - iii. Replicated?
- d. On a scale of 0 to 4 (with 0 as lowest and 4 as highest) rate the following by encircling the appropriate number:

	<i>Low</i>				<i>High</i>
RECEPTIVITY					
Receptivity of government/government partners to SAc activities that contribute to the abovementioned activities.	0	1	2	3	4
Receptivity of citizens to SAc activities that contribute to the abovementioned activities.	0	1	2	3	4
LEVEL OF AWARENESS					
Quality of level of awareness of government/government partners on SAc activities that contribute to the abovementioned activities.	0	1	2	3	4
Quality of level of awareness of citizens on the abovementioned SAc activities.	0	1	2	3	4
LEVEL OF INVOLVEMENT					
Involvement of public officials in the abovementioned activities.	0	1	2	3	4
Involvement of citizens in the abovementioned activities.	0	1	2	3	4

4. Providing Public Oversight (reports, monitoring)



<i>Activity Type</i>		<i>Timeframe</i>	<i>Partners Involved in the Engagement</i>	<i>Specific SAc Tools</i>
a. Citizens rating report of local government unit performance	<input type="checkbox"/>			
b. Research/studies (e.g. corruption, human rights)	<input type="checkbox"/>			
c. Oversight committees	<input type="checkbox"/>			
d. Legislature/parliamentary monitoring	<input type="checkbox"/>			
e. Court (of justice) monitoring	<input type="checkbox"/>			
f. Others (specify):	<input type="checkbox"/>			

Other remarks:

- a. What are the problems encountered in conducting the abovementioned SAc activities?
- b. What are the results of these activities?
- c. In what ways are the initiatives:
 - i. Sustained?
 - ii. Scaled up?
 - iii. Replicated?
- d. On a scale of 0 to 4 (with 0 as lowest and 4 as highest) rate the following by encircling the appropriate number:

	<i>Low</i>				<i>High</i>
RECEPTIVITY					
Receptivity of government/government partners to SAc activities that contribute to the abovementioned activities.	0	1	2	3	4
Receptivity of citizens to SAc activities that contribute to the abovementioned activities.	0	1	2	3	4
LEVEL OF AWARENESS					
Quality of level of awareness of government/government partners on SAc activities that contribute to the abovementioned activities.	0	1	2	3	4
Quality of level of awareness of citizens on the abovementioned SAc activities.	0	1	2	3	4
LEVEL OF INVOLVEMENT					
Involvement of public officials in the abovementioned activities.	0	1	2	3	4
Involvement of citizens in the abovementioned activities.	0	1	2	3	4

E. If your organization is involved in other SAc relevant areas and activities, please fill up the following:

<i>Other relevant SAc areas</i>	<i>Activities in these SAc areas</i>
1.	
2.	
3.	

F. Area of coverage

Please tick the districts/provinces, in which your organization is implementing SAc activities:

(Enumerate here the districts/provinces.)

TEMPLATE FOR SOCIAL ACCOUNTABILITY MAPPING

Mapping is the gathering and analysis of information to establish the breadth and depth of SAc initiatives in an area of interest (geographic or thematic). It helps identify significant issues related to SAc work and is a useful tool for discovering alternatives to a proposal or significant impacts that may be otherwise overlooked. The mapping process helps SAc practitioners to define the issues to be examined and to identify the concerns of citizens groups and government agencies.

The following is a list of questions anchored on the Four Pillars of Social Accountability. The purpose of the list is to provide the researcher with an inquiry guide in order to map social accountability in the researcher's area of interest. It combines quantitative and qualitative approaches. The researcher may design the questions as she/he sees fit, depending on the objectives of the research and the nuances of the respondents' context.

A. DESCRIPTION OF THE ORGANIZATION/INITIATIVE

1. Name of Organization or Group
2. Location of Organization or Group
3. Date Organization was formally organized
4. Type of Organization (Alliance, Coalition, Federation, Partnership, Single Organization)
5. Sectoral Make-up of Organization
6. Geographic scope of organization
7. Number of total members
8. Date initiative was started
9. Estimated Total Person Days/Months spent on Initiative
10. Estimated Total Cost spent on Initiative
11. Initiative as a percentage of total organizational effort to date

B. GENERAL QUESTIONS

Social Accountability (SAc) is a process of constructive engagement between citizens and government. It is a process of constructive engagement between citizens and government checking and monitoring government's conduct and performance as they use public resources to deliver services, improve people's welfare, and protect peoples' rights. Two forces drive social accountability: citizen groups, who are direct beneficiaries of public services, and government, which provides the open space for citizen participation in monitoring public programs.

1. What is the environmental context/history of the SAc initiative? What are the predominant practices/approaches, tools, etc.?
2. Who are the stakeholders? What are they doing? Where are they? What tools are they using? What tactics and strategies are they applying and how are they doing it?

3. What are the outputs and results of their efforts? What are their victories? What are the challenges or issues they are facing?
4. What is it in their SAc experience that is driving their engagement with government? What obstructs this engagement?
5. What is the future direction of SAc as a practice?
6. What are the gaps that need to be addressed?

C. THE FOUR PILLARS

1. ORGANIZED AND CAPABLE CITIZEN GROUPS

The capacity of civil society actors is a key factor of successful social accountability. The level of organization of citizen groups, the breadth of their membership, their technical and advocacy skills, their capacity to mobilize and effectively use media, their legitimacy and representativity and their level of responsiveness and accountability to their own members are all central to the success of SAc activities. In many contexts, efforts to promote an enabling environment for civil society and to build the capacity (both organizational and technical) of citizen groups are required.

1. Are there organized citizen groups that are registered/accredited by the government to conduct SAc activities? (*Identify and provide a list.*) If yes, to which sectors are they identified?
2. Identify specific SAc programs, projects, and activities in which they are involved. Rate the extent of their participation. (*1= lowest; 5=highest*) Why this rating?
3. Rate the technical capacity of these groups in their involvement in SAc programs, projects, and activities. (*1= lowest; 5=highest*) Why this rating?
4. What are the ways by which these citizen groups able to influence governance decision-making? Cite examples/cases.
5. Rate the extent to which these citizen groups are able to influence government decision-making processes. (*1 = not much; 5 = very much*) Why this rating?
6. Are these groups networked/linked with each other? What is the nature of their network(s)/linkage(s)? (*Examples: alliance, coalition, federation, partnership, single organization*) Rate the extent to which their network(s) facilitate their individual efforts. (*1 = not much; 5 = very much*) Why this rating?
7. Cite and describe SAc tools or mechanisms used by these citizen groups. Are these SAc tools/mechanisms institutionalized? How effective are these tools/mechanisms? (*1 = not effective; 5 = very effective*) Why this rating?
8. What are the capability needs of these citizen groups?
9. What are the facilitating factors that help these groups in their efforts to promote SAc in their respective spheres of influence? Cite examples.
10. What are the constraints that these groups encounter in their efforts to promote SAc in their respective spheres of influence? Cite examples.

2. ENABLING ENVIRONMENT

In the context of social accountability, an enabling environment for citizens' engagement refers to the set of conditions or interrelated factors that impact on the capacities of ordinary citizens or citizen groups to engage with government in a sustained and effective manner. Such engagement is directed at holding government officials accountable for their conduct and performance in terms of delivering better services, improving people's welfare, and protecting people's rights. Thus, the role and effectiveness of citizen groups as partners in ensuring good governance critically depend on the efforts of both government and citizen's groups to create such enabling environment.

Understanding existing conditions and how these can be improved to better nurture civic engagement are essential to the design of capacity building programs for social accountability

1. What are the policies or laws that uphold the right of citizens to participate and engage government? Please cite specific policies/laws. (*Specific policies/laws may be categorized into national and sub-national.*)
2. What strategies and actions have the government taken in the past, or is currently undertaking, to motivate citizens' groups to participate and engage government? How effective were these strategies and actions? (*1 = not effective; 5 = very effective*) Why this rating?
3. What policies/practices does the government have that provide mechanisms for dialogue and engagement between citizens' groups and government? To what extent are these mechanisms effective? (*1 = not effective; 5 = very effective*) Why this rating?
4. What agency/ies in the government is/are responsible in registering/accrediting citizen groups? Compare actual procedures/practices with existing guidelines or policies in registering citizen groups. What issues commonly arise in the accreditation process? How are these issues addressed?
5. In what ways do politicians (national and sub-national) influence the selection and approval process of citizens' groups? What are the criteria in selecting qualified citizen groups?
6. How do government officials view citizens/citizen groups articulating their views, organizing to assert their rights, or engaging with government to improve SAc practices?
7. Recommend ways by which an enabling environment, including SAc champions in government, can be fostered at the national and sub-national levels.

3. CONTEXT & CULTURAL APPROPRIATENESS

The parameters for social accountability are largely determined by the existing political context and culture. For example, the feasibility and likelihood of success of social accountability initiatives are highly dependent upon whether the political regime is democratic, a multi-party system is in place, basic political and civil rights are guaranteed (including access to information and freedoms of expression, association and assembly) and whether there is a culture of political transparency and probity. The existence of these underlying factors, and the potential risks that their absence may pose, must be taken into account when planning social accountability initiatives. Legal, institutional and socio-cultural factors will also have an important influence on the success of social accountability activities. An unfavorable context does not mean that social accountability activities should not be pursued. In such circumstances, however, an analysis of the key factors influencing

the environment for social accountability (and the risks they entail) must be undertaken and appropriate strategies for addressing potential barriers developed.

1. What beliefs, attitudes, or cultural factors (if any) pose barriers to women, young people, senior citizens, and other marginalized groups in participating in governance processes? To what extent do these factors impact on these groups' capacities to engage with government?
2. What beliefs, attitudes, cultural practices (e.g., views on leadership, governance, citizens' participation, etc.) pose barriers to citizens' access to information?
3. Please describe the bureaucratic/administrative culture of the government (national and sub-national). In what ways does this culture impact on citizens' participation? (Facilitating? Hindering?)
4. Please describe the political culture of the government (national and sub-national). In what ways does this culture impact on citizens' participation? (Facilitating? Hindering?)
5. What are the beliefs, attitudes, and cultural views of each organization to the following?
 - Social accountability
 - Constructive engagement with government (national and sub-national)
 - Transparency and access to information
 - Organized citizenry engaged with local government
6. Recommend ways by which context and culture can be integrated into SAc projects and activities in your country (national and sub-national levels).

4. ACCESS TO INFORMATION

The availability and reliability of public documents and data is essential to building social accountability. Such information is the basis for social accountability activities, and thus its quality and accessibility is a key determinant of the success of social accountability mechanisms. In many cases, initial social accountability efforts may need to focus on securing freedom of information legislation, addressing a lack of political will to disclose or strengthen the technical capacity of public institutions to record, manage and make available relevant data.

Accessibility here has two connotations, physical access to documents, and their availability in a format that is understandable to inquirers. Because not all information is in documents, access also means to people (officials) and places.

1. Are there government regulations or policies on citizens' access to public information (people, places, documents)? Does the government have policies or internal guidelines regarding transparency and information disclosure (e.g., requiring local officials to make public particular information or documents)? Rate the effectiveness of the implementation of such policies. (1= lowest; 5=highest) Why this rating?
2. On a scale of 1 to 5, rate the *importance* of access to information in the context of SAc. (1 = not important; 5 = very important). Why this rating?
3. On a scale of 1 to 5, rate to what extent access to information is/was *actually provided* by the government in the context of SAc. (1 = not much; 5 = very much). Why this rating?

4. Cite examples or cases when access to information by citizens or citizen groups was *actually practiced* by the government. What were the reasons? What are the factors that facilitate access to information?
5. Cite examples or cases when access to information was *actually withheld* by the government from its citizens. What were the reasons? What are the constraints that hinder access to information?
6. Who (or which office) has the duty to provide access to information?
7. In what ways is access to information related to social accountability?
8. Recommend ways to promote access to information.

TEMPLATE FOR SOCIAL ACCOUNTABILITY PROFILING

The McKinsey 7S Framework

This template sets forth a guide on how to assess the SAc agent (e.g. organization, institution) is positioned to achieve its intended objective. The template is adapted from the McKinsey 7S Framework developed by Tom Peters and Robert Waterman of the McKinsey & Company consulting firm. The basic premise of the model is that there are seven internal aspects of an organization that need to be aligned if it is to be successful.

The seven organizational elements are divided into “hard” or “soft” elements:

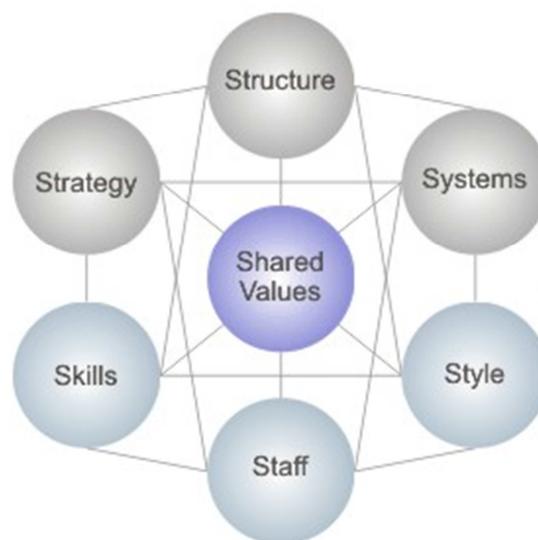
HARD	SOFT
1. System	4. Shared Values
2. Structure	5. Skills
3. Strategy	6. Staff
	7. Style

"Hard" elements are easier to define or identify and management can directly influence them: These are strategy statements; organization charts and reporting lines; and formal processes and IT systems.

"Soft" elements, on the other hand, can be more difficult to describe, and are less tangible and more influenced by culture. However, these soft elements are as important as the hard elements if the organization is going to be successful.

The way the model is presented in Figure 1 below depicts the interdependency of the elements and indicates how a change in one affects all the others.

Figure 1: The McKinsey 7S Model



Let's look at each of the elements specifically:

- **Strategy:** the plan devised to maintain and build the agency's engagement with government, communities, and other organizations
- **Structure:** the way the agency is structured and who reports to whom.
- **Systems:** the daily activities and procedures that staff members engage in to get the job done.
- **Shared Values:** called "superordinate goals" when the model was first developed, these are the core values of the agency that are evidenced in the agency's culture and the general work ethic.
- **Style:** the style of leadership adopted.
- **Staff:** the employees/volunteers and their general capabilities.
- **Skills:** the actual skills and competencies of the employees/volunteers working for the agency.

Placing Shared Values in the middle of the model emphasizes that these values are central to the development of all the other critical elements. The agency's structure, strategy, systems, style, staff and skills all stem from why the organization was originally created, and what it stands for. The original vision of the company was formed from the values of the creators. As the values change, so do all the other elements.

The Profiling Template

The template has been adopted to assess the strengths and weaknesses of the SAc agents that are being targeted or considered as part or partner of the planned undertaking or SAc initiatives (projects or programs).

The objectives of the profiling are:

1. To assess the strengths and weaknesses of specific SAc agents to undertake SAc work in terms of strategy, structure, systems, staffing, skills and competencies, leadership style, and shared values
2. To provide information that can assist in the development of an engagement plan to influence key stakeholders for the purpose of program or project implementation
3. To provide information on the agent's social and economic characteristics, its networking capabilities, and social infrastructures that it provides
4. To provide information on the level of interest (and where possible, commitment) of organization members and stakeholders to undertake SAc work and preferred method of engagement

The following matrix is a checklist of how the seven elements align with each other. Supplement these with your own questions, based on specific circumstances and accumulated knowledge from the other stocktaking exercises.

TEMPLATE FOR PROFILING

Strategy	• What is the agency's vision and mission?	
	• What is the agency's core strategy/ies?	
	• How does the agency intend to achieve its objectives?	
	• How does the agency deal with engagement pressure?	
	• How are changes in client ¹ demands dealt with?	
	• How is strategy adjusted for environmental issues ² ?	
	• What will you be doing in 3 years in your business and what can you do today to proactively see that happen?	
Structure	• What are the components/departments/offices of the agency?	
	• What is the hierarchy? Is there a stated hierarchy and an "in-practice" hierarchy?	
	• How do the various components/departments/offices coordinate activities?	
	• How do the team members organize and align themselves?	
	• Is decision making and controlling centralized or decentralized? Is this as it should be, given what the agency is doing?	
	• Where are the lines of communication? Explicit and implicit?	
Systems	• What are the main systems that run the organization? Consider financial and HR systems as well as communications and document storage.	
	• Where are the controls and how are they monitored and evaluated?	
	• What internal rules and processes does the agency use to keep on track?	
Shared Values	• What are the core values?	
	• What is the prevailing culture of the agency?	
	• How strong are the values?	
	• What are the fundamental values that the company/team was built on?	
	• What do you measure and reward?	
Style	• How would you describe your SAc work? How would your partners (communities, stakeholders, government) describe your SAc work?	
	• How participative is the management/leadership style?	
	• How effective is that leadership?	

¹ "Client" may refer to partner communities, sectors, or government with whom the agency works to promote SAc initiatives.

² "Environmental issues" refers to the Strengths, Weaknesses, Opportunities, and Threats (SWOT) of the agency.

	<ul style="list-style-type: none"> • Do employees/team members tend to be competitive or cooperative? 	
	<ul style="list-style-type: none"> • Are there real teams functioning within the organization or are they just nominal groups? 	
	<ul style="list-style-type: none"> • What will have to change for the SAc agency to grow? 	
Staff	<ul style="list-style-type: none"> • How many employees/volunteers in the agency? Provide demographic profile. 	
	<ul style="list-style-type: none"> • What positions or specializations are represented within the agency? 	
	<ul style="list-style-type: none"> • What positions need to be filled? 	
	<ul style="list-style-type: none"> • How are employees/volunteers recruited? 	
	<ul style="list-style-type: none"> • Are there gaps in required competencies? 	
Skills	<ul style="list-style-type: none"> • What are the strongest skills represented within the agency? 	
	<ul style="list-style-type: none"> • Are there any skills gaps? 	
	<ul style="list-style-type: none"> • What is the agency known for doing well? 	
	<ul style="list-style-type: none"> • Do the current employees/volunteers have the ability to do the job? What skills will you need in about 2 years from now? 	
	<ul style="list-style-type: none"> • How are skills monitored and assessed? 	
	<ul style="list-style-type: none"> • What capacity building needs does the agency have? 	