

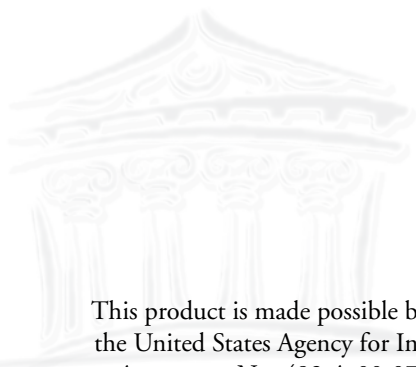
TRANSPARENT ACCOUNTABLE GOVERNANCE (TAG)

TAG TOOLS



Transparent Accountable Governance (TAG)





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1.0	Introduction	1
2.0	Preparing for Undertaking the Procedural Reform Process	3
3.0	Key Success Factors	7
4.0	Five A's: Steps in the Process	11
5.0	Toolbox	15
5.1	Key Informant Interviews	16
5.2	Focus Group Discussion	19
5.3	Perception Survey	23
5.4	Trend Analysis	26
5.5	Process Mapping	28
5.6	Time-and-Motion Study	32
5.7	Participatory Workshops	34
	• Current Reality Dialogue	39
	• Strategy Formulation/Action Planning	41
	• Design Enhancement	42
5.8	Tools for System Performance Monitoring, Evaluation, and Feedback	43
5.9	Continuous Service Improvement	46
6.0	Good TAG Practices	49
ANNEXES		55
Annex A:	Real Property Tax Assessment Process Mapping Study/Citizens' Perception Survey	
Annex B:	Sample Transaction Process Flowchart	
Annex C:	Sample Referral/Routing Slip for Process Mapping Study	
Annex D:	Sample Process Tracking Tool	
Annex E:	Researcher's Remarks/Observations Log	
Annex F:	Current Reality Dialogue Workshop Design	
Annex G:	Strategy Formulation/Action Planning Workshop Design	
Annex H:	Design Enhancement Workshop Design	
Annex I:	Feedback Form for Personnel Involved in the Business Permit and Licensing System	
Annex J:	Feedback Form for the Department/Offices Involved in the Business Permit and License Renewal Process	

Bibliography

The Transparent Accountable Governance (TAG) Project of The Asia Foundation was a well-respected and extremely effective endeavor supported by the United States Agency for International Development (USAID). The project was based on the twin goals of 1) promoting good governance and 2) strengthening the foundation for sustainable economic growth and poverty reduction in the Philippines. TAG was designed to work with the public and the private sectors in three key areas:

- Building national counter-corruption advocacy
- Promoting transparency and accountability in Mindanao
- Accelerating the development and spread of improved practices in local governance in the Autonomous Region in Muslim Mindanao (ARMM) and neighboring provinces.

Beginning in 2002, the TAG project undertook activities that sought to improve transparency and accountability at the local level to create a stronger enabling environment for local governments to achieve more robust and sustainable economic growth and poverty reduction. The specific objectives of this component were:

- Implement effective transparency and accountability mechanisms in Mindanao local governments based on reform agenda and priorities established through public-private cooperation; and
- Disseminate information about successful practices in counter-corruption reforms.

To achieve these objectives, the TAG project partnered with the League of Cities of the Philippines, the various city governments of Mindanao, the Mindanao Business Council, and the Mindanao Coalition of Development NGO Networks in implementing the project in 73 local governments in Mindanao.

These local governments introduced and institutionalized reforms in specific governance areas, such as: real property tax administration, business permits and licensing, procurement, transparent management of city services and economic enterprises. The project provided technical expertise to the local governments by doing in-depth diagnoses of their systems and initiating reforms. The reforms simplified procedures, reduced the monopoly of power of local officials, limited the discretion of city employees, improved transparency, and increased citizens' access to information in local governments.

TAG TOOLS is a guide primarily for local governments planning to embark on a program of reform in their selected area or areas of concern. It outlines the steps of the reform process, offers tools that have been tried and tested by partner/local governments of the TAG project, provides practical tips for implementing procedural reform in local governments' programs and services, and describes good practices in the localities that have piloted such programs. While by no means comprehensive, it draws from the experiences of the TAG partner local governments and sums up the tools that were applied in their reform efforts.



GETTING ORGANIZED

When the Mayor has decided to undertake procedural reform, identified the area, and expressed his reform agenda, organizing needs to be done to determine who within the local government takes the lead, and who does the necessary preliminary work. It is important for the Mayor to designate a Focal Person who will be responsible for convening preparatory meetings and initiating various activities to prepare for the first step. The Focal Person recommends the composition of the Technical Working Group (TWG) to the Mayor. The TWG will be the workhorse of the procedural reform process (members of the TWG should come from offices that will undertake the reform process). The Mayor formalizes the organization of this TWG through an Executive Order. During this phase, the TWG can undertake initial data gathering that may be helpful to determine preparatory activities.

CLARIFYING ROLES

It is important to understand the different roles that the various stakeholders play in the procedural reform project.

Mayor

- Shows active and visible support
- Ensures that the reform agenda remains a priority
- Demonstrates commitment as a role model of change
- Provides compelling justification for the procedural reform effort
- Communicates goals and objectives of the reform
- Provides sufficient resources for the project to be successful
- Issues necessary orders and circulars to enable reform effort to take place

Sangguniang Bayan/Panlungsod (SB/SP)

- Authorizes the re-alignment of funds for the procedural reform initiative
- Passes the required resolutions/ordinances to institutionalize the reform initiatives
- Mandates the enforcement of complementary policy guidelines

Focal Person

- Acts as overall coordinator of the project and serves as the link between the TWG, the Mayor, the stakeholders (business and civil society) and the project
- Initiates preparatory activities to prepare the TWG for undertaking the reform effort
- Convenes meetings and workshops
- Provides updates and feedback to concerned parties
- Presents results and outputs of activities to the Mayor and the Sanggunian

Technical Working Group

- Implements the reform efforts
- Conducts baseline data gathering
- Meets regularly to update one another and Focal Person about the project's progress
- Attends workshops and other activities designed for the procedural reform effort
- Conducts project monitoring
- Conducts project assessment and feedback activities

Department Head

- Provides necessary information for assessing the current state of the service being considered for reform
- Participates in the Technical Working Group or designates representative
- Participates in project monitoring and evaluation

Civil Society and Business Sector Representatives

- Participates in the diagnostic processes
- Makes recommendations for process reforms
- Participates in workshops and other activities designed for the procedural reform effort
- Advocates for the adoption of the enhanced system/s

MANAGING EXPECTATIONS

The procedural reform effort requires major “re-engineering” of systems and processes. It is necessary to conduct a careful study of existing systems, in order to determine where improvements are necessary and to install a whole set of interventions. It is easy to expect a lot within a short period of time, and when results fall short of expectations, the reform initiative can lose steam. To avoid having the Technical Working Group experience major frustrations, perhaps the following tips can help:

Delimit scope of reform effort

Rather than take all departmental operations at once, it is better to focus first on frontline services, e.g., the in-patient admission-to-discharge procedures in a city hospital, issuance of business permits and licenses, real property tax assessment, management of market operation, etc.

Easy doable steps, achievable within defined time frames

When the scope and focus of the reform effort have been determined, it is important to define the specific steps that can realistically be taken within a particular period of time. The Action Plan should spell this out, and a monitoring and evaluation scheme should specify what to look out for to check progress and impact.

Small wins

One can view the reform effort as a big-scale behavior modification intervention. As in any behavior change program, an approach called “successive approximation” is recommended; that is, a technique that focuses on easily reachable targets, and, therefore, small wins. In this way, the victory experienced along the way fuels the reform initiative.

RESOURCES NEEDED

Undertaking the reform effort need not be a costly proposition. The local government, however, must allocate the following resources in order for the effort to achieve the desired results.

Staff time – TWG, Focal Person, Documentor

As has been mentioned earlier in this section, the persons who will perform the functions of the coordinator (Focal Person), the workhorse (the Technical Working Group) and the recorder/reporter (Documentor) must be designated. This will entail additional staff time, over and above their regular workload and responsibilities.

External facilitator

It may also be helpful to employ a consultant who will serve to facilitate the process and provide the technical assistance and expertise that the above personnel may not possess at the outset.

Workshop expenses

The usual costs of providing meals, transportation and workshop supplies and materials need to be borne by the local government. To save on expenses, the venue of choice would be the local hall for the conduct of meetings, conferences, and workshops. Additional expenses would be incurred in case you decide to undertake study visits to other localities.

What drives the procedural reform process forward? What would fuel the transformation and keep its momentum going? What factors are critical to the success of the reform of local government systems and procedures?

This section indicates critical factors that contributed to the success of the TAG cities' initiatives. Items 1-4 are "people" factors, while 5-10 are "process" factors.

1. Driving force of a prime mover

The seed of change needs to be nurtured by a charismatic champion. The champion may be the Mayor himself, or a Committee Chairperson of the sector concerned, or the Department Head of the office that is the target of change. The prime mover provides the energy that inspires the dedication and tenacity that will keep the staff on track in the process of procedural reform.

2. Support and leadership of the Mayor

It goes without saying that nothing can happen without the Mayor's support. Procedural reform must be on the Mayor's priority agenda. He/she decides what ought to be the focus in the reform process of the selected department or office of the local government. The Mayor needs to exhibit a high degree of involvement in the process of consultation, dynamic leadership, and resolve to implement the necessary changes.

3. Participation and commitment of the various stakeholders

The reform effort needs to solicit the participation and commitment of other partner organizations to foster ownership of the reform processes and outcomes among a wide range of stakeholders. In the course of the procedural reform endeavor, many consultation meetings and multi-sectoral workshops are undertaken. The approach used in these meetings must be collegial, participatory and interactive, and at times, iterative. For instance, the formulation of investment codes by TAG partners went through a number of rounds of critiquing.

4. Teamwork and Commitment of the Technical Working Group and of Partner Agencies

*"The right people...highly professional, highly motivated, highly focused, highly questioning and extremely resourceful."*¹

One important factor for the effectiveness of the TWG is its appropriate composition. The TWG must have a good mix of veteran members — those who have been working in the local governments for a number of years and, if the area of reform calls for it, experienced businessmen. For instance, in the development of investment codes, inviting the investors to participate provides a reality-check mechanism. The inclusion of key decision-makers, such as

¹ <http://www.change-management.com/tutorial-success-factors.htm>

department heads, in the team facilitates the adoption and institutionalization of system reforms.

Critical to the success of the endeavor are the skills, expertise and experience of the team. Furthermore, reform objectives cannot be met without team cooperation and commitment. TWG members need to be committed to the reform efforts for the long haul in order for the city to sustain the efforts beyond the experimental period. It is also important that TWG members act as a team and be able to resolve any conflicts or tension that may arise during the course of the project's activities.

This commitment and team spirit must also be demonstrated, by other partner agencies involved in the project — the national government agencies, the business sector, and non-government organizations. Furthermore, an effective leader and motivator should lead the team.

5. Adequate resources

There must be sufficient resources — financial, technical, and human — for reform efforts to be successful. One cost item that reform efforts can benefit from immensely is the study tour. The TWG needs to have a list of local governments known for their good practices in the selected area of reform and visit them. The TWG can then integrate key lessons and practices into its strategy formulation and action planning and modify the “good practices” and approaches to suit the particular needs of the local government.

6. Effective coordination

Effective coordination is a must as the reform effort involves several offices within the local government and perhaps other agencies of national government and other external organizations such as chambers of commerce, vendors' associations, and other non-government organizations. The focal person who is tasked with the responsibility of coordination must have good rapport with members of the TWG. This fosters openness, cooperation, team effort, and a sense of ownership of the outputs produced. The coordinator must also enjoy a close and strong relationship with the Mayor. As long as the Mayor is convinced of the usefulness of the reform effort, his support is assured.

7. Continuous and targeted communication

Communication is a key contributor to success “the Right communication to the Right stakeholder at the Right time during the Project.”² Communication should be consistent, open and honest, targeted at a specific recipient, and delivered through various forms and media.

8. Well planned and organized approach

Organization and planning are important factors that contribute to the success of reform projects. The approach includes making the right decisions about the use of a methodology or specific plan, initiation of change management activities early on (e.g., gathering of employee feedback), a systematic approach to the reform process, and the anticipation of specific resistance from different sources. By identifying issues and gaps beforehand, solutions can be identified to prevent escalation of implementation problems.

9. Continuous monitoring and feedback

Mechanisms should be developed to track performance and measure results. Ideally this continuous monitoring should be built in to the design of the enhanced system so that it becomes a routine procedure, rather than an add-on.

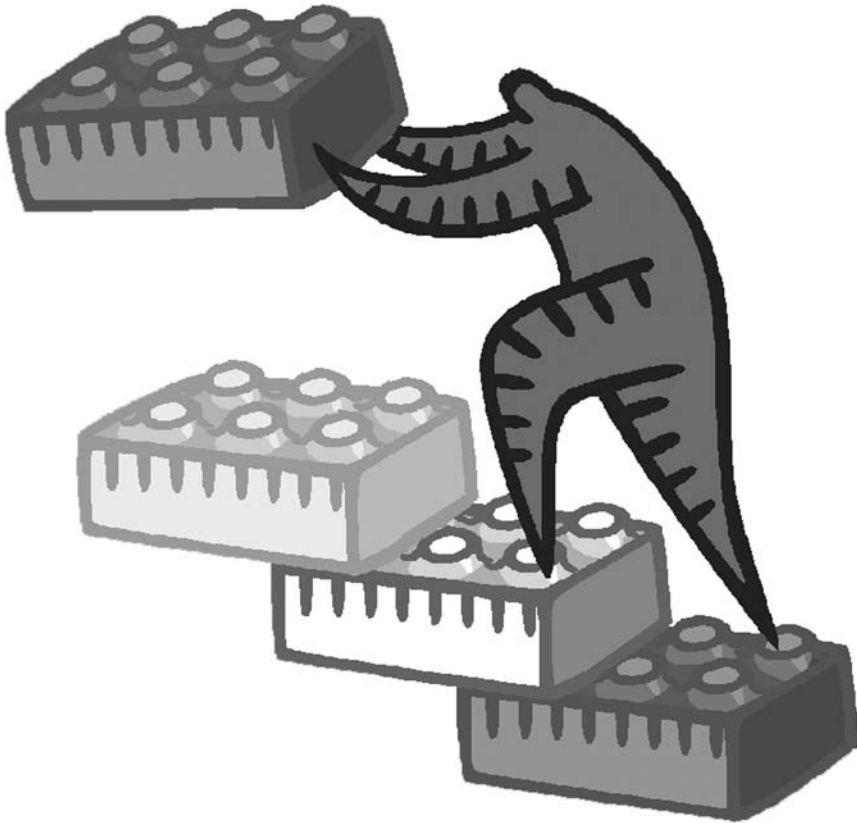
The Mayor and the SB members must be provided with periodic updates in addition to regular monitoring reports. Regular feedback must be given by the TWG, and periodic follow-up communication with the staff must be performed to sustain their interest and to keep the momentum of the reform effort going.

10. Celebrating gains and accomplishments

Clear milestones must be established to enable stakeholders to measure progress in the reform process. The TWG needs to seek opportunities to plan strategically and communicate positive results, that is, to let everyone know when milestones are reached and to inform them that plans previously communicated are now taking root. Then, accomplishments and gains must be celebrated, and the momentum created throughout the local government organization by sharing success stories that will reinforce new behaviors at critical junctures.

² Hiatt, Jeffrey M. and Creasey, Timothy J. Change Management: The People Side of Change. Colorado: Prosci Research, 2003.

the 5 A's: steps in the procedural reform process



This section discusses the 5-step process the local governments need to undertake in pursuing reform in the various governance areas. The steps are provided in chronological order to guide the reader.

ANALYZE

ADJUDGE

ACT

ADJUST

ADOPT

1. PARTICIPATORY DIAGNOSIS AND CONSULTATIONS

- Initial consultations with local officials to identify the reform area and the focus
- Meetings with various stakeholders to build consensus and solicit support
- Gathering and analysis of secondary data
- Conduct of interviews, group discussions, perception surveys, consensus building workshops, and diagnostic studies

2. STRATEGY FORMULATION AND ACTION PLANNING

- Determination of courses of action to address issues and challenges in the reform area
- Identification of practical measures and corresponding schedules
- Setting of benchmarks and indicators
- Presentation of Action Plan to the Local Chief Executive and the SB

3. TESTING OF THE ENHANCED SYSTEM

- Test-run of the re-designed system
- Strengthening of organizational links/coordination meetings
- Updates of transactions/process flows
- Actual observation during the testing stage

4. EVALUATION AND FINE-TUNING OF THE SYSTEM

- Process monitoring and documentation
- Survey of employee and customer satisfaction
- Evaluation of effectiveness and efficiency
- Agreement regarding system adjustments and benchmarks

5. ADOPTION OF THE SYSTEM

- Presentation of the proposed enhanced system to stakeholders and final adoption by the local government
- Executive/legislative mandate

ANALYZE

STEP 1: PARTICIPATORY DIAGNOSIS AND CONSULTATIONS

- Analyze present systems and procedures and identify which parts of the systems or procedures need modifying
- Hold an initial consultation meeting with the leadership to discuss the focus of the procedural reform agenda
- Meet with representatives of various stakeholder groups — business, civil society — to validate the chosen area for procedural reform and solicit support
- Design baseline survey, gather data, and validate data with concerned personnel
- Conduct key informant interviews, focus group discussions, and workshops and document the results
- Validate findings of the analysis and the results of the interviews, discussions, and workshops with concerned personnel and sectors
- Design and conduct a perception survey, and analyze the survey results

ADJUDGE

STEP 2: STRATEGY FORMULATION AND ACTION PLANNING

- Conduct workshops to identify the external environmental factors relating to the management of the chosen reform area
- Perform internal resource analysis to build consensus on the local government's current capabilities and competencies
- Compare actual systems and processes with the proposed systems and processes
- Refer to existing good practices and draw relevant lessons from them
- Determine courses of action and practical measures to address the issues and challenges in the reform area and the need for modifying the relevant parts of the systems and processes
- Set corresponding schedules, benchmarks, and performance indicators, both quantitative and qualitative
- Formulate an Action Plan indicating the key strategies and corresponding activities, pinpointing responsibility centers, and detailing timelines, logistics requirements, and critical success factors
- Set priorities within the Action Plans, and match these with resources

ACT

STEP 3: TESTING OF THE ENHANCED SYSTEM

- Develop activity plans to identify the critical activities and enabling mechanisms that will ensure the successful launching of the planned actions. To ensure the success of the test-run, it is important to solicit the full cooperation and support of the concerned departments and personnel.
- Strengthen organizational links, that is, the working relationships among the TWG, the concerned departments, and other agencies of government through periodic coordination meetings.
- Perform actual observation of the processes during the testing stage.

ADJUST

STEP 4: EVALUATION AND FINE TUNING OF THE SYSTEM

- Design and conduct process mapping, engaging representatives of business organizations and non-government/civic organizations as independent observers
- Conduct customer and employee satisfaction surveys
- Re-administer the perception survey
- Revisit original Action Plans and verify if targets are observed
- Determine what went well and what went wrong; draw factors that influenced success or failure
- Evaluate effectiveness and efficiency of the fine-tuned system
- Solicit agreement among TWG members and concerned departments and stakeholders about system adjustments and new benchmarks

ADOPT

STEP 5: ADOPTION OF THE SYSTEM

- Presentation of the proposed system to the Mayor, SB members, heads of offices, other concerned agencies of government, concerned stakeholders, media organizations
- Adoption of the proposed system by the Mayor, the SB Presiding officer and the concerned head of office
- Enactment of administrative and legal mechanisms in support of institutionalizing the proposed systems and procedures; at the minimum, SB Resolutions need to be passed, but appropriate ordinances are required to ensure continuity and sustainability of the reform initiatives

5.1 KEY INFORMANT INTERVIEW

What is a Key Informant Interview?

Put simply, it is obtaining information from individuals or a group of individuals who know the subject matter or the specific focus of the reform initiative, or those who have experienced receiving the service or going through the process or service that is the focus of the reform effort. Key informants can be young or old, or from a variety of socio-economic levels or ethnic groups.

How is a Key Informant Interview managed?

- TWG members should conduct the interviews. This can provide them with more direct experience of the process they might otherwise have. It can also help strengthen their commitment to the programs that are the focus of reform.
- Choose interviewers who can interact well with the people they will be interviewing.
- Work out a “sampling scheme,” which may be purposive (e.g. people of the same age bracket) or random (e.g. the first five persons to arrive), to help insure that the interviews (taken as a group) provide a high degree of representation on the range of perceptions and issues that are the focus of reform.
- Work with the TWG to come up with a general list of questions to be used by all key informant interviewers.
- Provide a group training experience where interviewers can interview each other as a preparatory activity before the actual conduct of interviews. Include how the interviews are to be summarized and shared.
- Consider having interviewers conduct the interviews as teams. This may be helpful if the interviewers lack confidence; it also provides two pairs of ears, which can help lend validity to the summary.

How is a Key Informant Interview conducted?

1. Choose the key informant carefully

The informant needs to be someone who has personal knowledge or experience with a particular problem, or has professional training in that area, and must be able to express himself clearly. Be sure to have a mix of people of different ages, functions, levels of authority, ethnicity, religious affiliation, educational level, etc.

2. Be yourself

If you have never done interviews like this before, don't let it frighten you. Be yourself. If you are genuinely interested in what this person has to say, that interest and commitment will come through.

3. Ask questions

Start the interview with some basic “ice-breaking” questions such as: *“Tell me about your agency and who it serves.”* Many interviewers find it helpful to start with general questions and then become more specific as the interview progresses.

When interviewing, use active listening and probing techniques such as nodding your head, saying “yes,” or “Can you tell me more about that?” When winding down the interview, begin by summarizing what the informant has said. This summary is important because it allows validation of the interviewer's understanding of the informant's responses.

4. Keep track of what was said

There are several ways to analyze the information received. Sometimes interviewers make brief notes on 3 x 5 cards which can be grouped later in a variety of ways. Sometimes the interviews are taped so the interviewer can listen again and make notes. Whatever method has been decided upon, be sure to have some record of the main points.

Recording and Summarizing Results

1. Taking Notes

It's important to keep track of what has been learned from the interview. Generally, persons being interviewed find note-taking a compliment. It communicates that what they have to say is important and valued.

2. Tape Recording the Interview

Sometimes the interviews are taped so the results can be reviewed. Most interviewers, though, need to take notes to do a good job of interviewing. Notes provide a back-up in case recorders malfunction. Close to the end of the interview, be sure to allow time for turning the recorder off and giving the respondent the opportunity to talk without his comments being recorded.

3. Using Two Interviewers

Sometimes it is helpful to have two people conducting the interview, with one asking the questions while the other is taking notes. Near the end of the interview, the interviewer asking the questions should invite the note-taker to ask any questions he may have.

4. End of Interview Summary

At the conclusion of the interview, take a moment to go over the notes. Then, using the notes, give the respondent a two- to three-minute summary of what he shared.

5. Review the Notes Immediately After the Interview

Take a few minutes after the interview to carefully review your notes. This is the best time to clarify them and add comments. If time allows, it is also a good time to prepare a brief summary for discussion by the planning group.

Strategies for Presenting Results

There is no one best way to present results. Often a combination of strategies will work best. It is helpful to decide on particular strategies in advance.

1. Oral Reports

One option is to have each interviewer present a brief oral summary of each interview he has conducted. This can be followed by another oral report by another interviewer, and followed by every other interviewer in turn. This approach works especially well if the round of interviews tend to differ or have something in common.

2. Written Reports

Brief written summaries are another option. These are especially helpful when the TWG can receive these in advance of a group meeting.

3. Index Cards

For years, researchers have used index cards to capture the main points of open-ended interviews like key informant interviews. The cards can be sorted so similar interview results can be put together. One approach that has worked well with groups is to post cards with similar results or common themes on a wall. Then all of the members of the group can circulate around the room and get a sense of the total findings from the interviews.

4. Summary forms

An approach similar to index cards is to use summary forms that include the following:

- Question asked
- Person interviewed
- Interviewer
- Brief summary of major points

5.2 FOCUS GROUP DISCUSSION

What is a Focus Group Discussion?

A **Focus Group Discussion** (FGD) is a qualitative method using a group discussion of no more than 12 persons guided by a facilitator. In an FGD, group members talk freely and spontaneously about a certain topic.

What is it used for?

The purpose of an FGD is to obtain in-depth information on concepts, perceptions and ideas of a group. FGD techniques can, for example, be used to:

1. **Focus research** and develop relevant research hypotheses by exploring in greater depth the problem to be investigated and its possible causes.
2. **Formulate appropriate questions** for more structured, larger scale surveys.
3. **Help understand** and solve **unexpected problems in interventions**.
4. **Develop appropriate messages for local government programs** and later evaluate the messages for clarity.
5. **Explore** controversial topics.

What are some of the strengths and limitations of an FGD?

Implementation of FGDs is an *iterative* process. Each focus group discussion builds on the previous one, with a slightly elaborated or better-focused set of themes for discussion. Provided the groups have been well chosen in terms of composition and number, FGDs can be a powerful research tool that provides valuable spontaneous information in a short period of time and at relatively low cost.

An FGD should *not* be used for quantitative purposes, such as the testing of hypotheses or the generalization of findings for larger areas, which would require more elaborate surveys.

However, FGDs can profitably complement such surveys or other, qualitative techniques. Depending on the topic, it may be **risky** to use FGDs as a **single tool**. It is advisable, then, to combine FGDs with at least some key informant and in-depth interviews.

In case of very **sensitive topics**, FGDs may also have their limitations, as group members may hesitate to air their feelings and experiences freely. One possible remedy is the selection of participants who do not know each other, while assuring absolute confidentiality. It may also help to alternate the FGD with other methods. For example, to conduct a self-developed role play in advance of the FGD, or administer a written questionnaire immediately after the FGD with open-ended questions to which the participants can anonymously state all their answers.

How do you conduct an FGD?

1. Determine the purpose

An FGD can be regarded as a mini-study. It therefore requires one or two clear objectives. These objectives will guide the research team in the formulation of discussion questions.

2. Situation analysis

Any FGD requires thorough knowledge of local conditions. Communities are seldom or never homogeneous. There are always differences between community members in education, political power, gender, economic status, and ethnic group. These differences will be reflected in their perceptions of the problems and possible solutions.

3. Points to be considered when preparing the FGD

- *Recruitment of participants*

Participants should be roughly of the same socio-economic group or have a similar background in relation to the issue being studied. The age and gender composition of the group should facilitate free discussion.

Always ensure confidentiality of opinions. Ask the group members to keep what has been discussed confidential.

Invite participants at least a day or two in advance. Explain the general purpose and procedures of the FGD in order to obtain their consent to join.

- *Selection of participants*

If you are an outsider in the research area, you may have to rely on your key informants for the first selection of participants in FGDs. Key informants might suggest more individuals who may help you reach your research objective by participating in the conduct of future FGDs.

- *Physical arrangements*

Communication and interaction during the FGD should be encouraged in every way possible. Arrange the chairs in a circle. Make sure that the meeting environment is quiet and has adequate lighting. Try to hold the FGD in a neutral setting to encourage participants to freely express their views.

- *Preparation of a discussion guide*

There should be a written list of topics to be covered. It can be formulated as a series of open-ended questions. Guides for different groups gathered to discuss the same subject may vary slightly, depending on their knowledge or attitudes.

4. Conducting the session

One of the members of the research team should act as “facilitator” or “moderator” for the focus group discussion. One should serve as “recorder.” The facilitator should preferably be as close as possible to the participants in their characteristics (same gender, roughly same age, etc.).

- *Introduce the session*

Introduce yourself as facilitator and introduce the recorder. Let participants introduce themselves with whatever names they wish to use. Put the participants at ease by explaining the purpose of the FGD, the kind of information needed, and how the information will be used.

- *Encourage discussion*
Be enthusiastic, lively, and humorous and show your interest in the group's ideas. Formulate questions and encourage as many participants as possible to express their views. Remember there are no "right" or "wrong" answers.
- *Encourage involvement*
Avoid a question-and-answer session. Some useful techniques include:
 - Asking for clarification
 - Reorienting the discussion when it goes "off the track"
 - When dealing with a dominant participant, avoid eye contact or turn slightly away to discourage the person from speaking, or thank the person and change the subject
 - When dealing with a reluctant participant, use the person's name, request his/her opinion, or make more frequent eye contact to encourage his/her participation
- *Build rapport, empathize*
Observe non-verbal communication. 'What are they saying? What does it mean to them?' Be aware of your own tone of voice, facial expressions, body language, and those of the participants.
- *Avoid being placed in the role of expert*
When asked for your ideas or views by a respondent, remember that you are not there to educate or inform. Direct the questions back to the group by saying: 'What do you think' 'What would you do?'
- *Control the rhythm of the meeting, but in an unobtrusive way*
Listen carefully, and move the discussion from topic to topic. Subtly control the time allocated to various topics so as to maintain interest.
- *Take time at the end of the meeting to summarize, check for agreement, and thank the participants*
Summarize the main issues brought up, check whether all agree, and ask for additional comments. Thank the participants and let them know that their ideas have been a valuable contribution.

How are results processed and analyzed?

- After each focus group session the facilitator and recorder should meet to review and **complete the notes** taken during the meeting and evaluate how the FGD went, and what changes might be made in the topics when facilitating the next FGD.
- After the transcript of the discussion is prepared, group the participants' statements immediately, using the left margin. Make finer sub-groups. **Write comments** (your first interpretation of the data) in the right margin.
- When all the data have been recorded, **summarize** these in a **compilation** sheet organizing the findings for each topic. Number the FGD interviews and use keywords to summarize group statements in the compilation sheet.
- Put the major findings for different study populations on one sheet. Sometimes diagrams may be useful when summarizing the causes or components of the problem under study. Finally, report the major findings of the FGDs in a narrative format.

How are FGD reports written?

Start with a description of the purpose of the FGDs, the selection and composition of the groups of FGD participants, and a commentary on the group process, so the reader can assess the validity of the reported findings. Present your findings, following your list of topics and guided by the objective(s) of your FGD. Include quotations without attribution (to maintain confidentiality) whenever possible as illustrations, particularly for key statements.

5.3 PERCEPTION SURVEY

What is a Perception Survey?

A **perception survey** is designed to obtain information about citizens' experiences and perceptions while transacting with the local government. The survey form contains items that have to do with availability or visibility of **information** related to the service or process being targeted for reform, the **procedures** themselves and the **personnel** assigned to perform such procedures. Field researchers administer the questionnaires and ask the respondents to rate

the service using a four-point rating scale. Additional information, such as the respondent's profile, his/her comments on the customer service experience they received, and suggestions for improvements are useful in validating the rating provided by the respondent.

Who are the survey respondents?

The respondents are those applying for, or availing of, the service under study. They are the ones who stand in front of a counter window or sit in a lounge waiting for their turn to be served. It is advisable to conduct the interview after the client is done with the transaction instead of taking him out of the queue.

Your sample of respondents needs to be representative of the clients that avail of the service. From past records of the department or office providing the service, determine the average number of clients the office serves on a weekly basis. Ten percent of that number would be your sample size, hopefully ranging from 50 to 80 respondents to allow manual processing of survey results. More respondents would require a longer processing time and may not significantly alter the results anyway. Depending on your timetable, you may conduct the survey over a one-week period, distributing the number of respondents over that period, or you may want to devote three to four days, and capture more respondents daily over the shorter time period. In any case, select respondents at random, and conduct the survey over the eight-hour work day.

How do you process and analyze the survey results?

Compute the weighted average of the raw scores for each of the survey items. The following cut-off scores are suggested:

Cut-off Scores	Equivalent Qualitative Remarks
3.25 to 4.00	Strongly Agree
2.5 to 3.24	Agree
1.75 to 2.49	Disagree
1.00 to 1.74	Strongly Disagree

In the absence of a numeric benchmark, you may assume 3.0 to be the passing score. This would be a fair assumption as the mark is in the middle of the "Agree" rating scale. However, if your desired goal is excellent service, you may wish to set a higher benchmark, perhaps within the "Strongly Agree" rating range.

The scores for each of the performance areas (information, procedures and personnel) are better understood by comparing them with modal distribution figures. Compute the frequency counts of the responses to each of the items in the questionnaire and express the scores in terms of percentages.

How useful is the tool in diagnosing a local government service?

The tool has been used in diagnosing the services that have direct external customer interaction of several TAG cities in Mindanao. Below are illustrative examples of survey results in a perception survey conducted on Real Property Tax Administration (RPTA) in a city:

“79% of the total responses were generally positive on the aspect of “personnel” service performance; 71% were favorable under the “procedure” category, but only 44% were in agreement on information-related concerns.”

Comparing these results with the average scores of each service performance area, one may conclude that the local government concerned needs to improve the “information” aspects of its RPTA service:

Personnel	3.12
Procedure	3.04
Information	2.74

When should the perception survey be conducted?

The perception survey is one of the first tools to be utilized as part of the diagnostic stage. In the example above, the results give a quick picture of how clients view the service performance and where improvements need to be introduced. The results also portray the conditions before procedural reform interventions are introduced, and thus contribute to the set of **baseline information**.

During the evaluation stage of the procedural reform process, you need to conduct a perception survey again, using the same sample size and sampling methodology. The results of the second survey will indicate changes in the clients' perception of the service after the interventions have been put in place.

5.4 TREND ANALYSIS

What does trend analysis mean?

To make a prediction of what might happen in the future, it is important to have an understanding of what happened or what is happening within the operations of an organization, or of the local government. The best way to do this is to monitor and analyze trends and scan the current environment.

Trend analysis refers to the concept of collecting information and attempting to spot a pattern, or trend, in the information. It is a form of comparative analysis that is employed to identify past, current and future movements of select key indicators (e.g. revenue/expenditure patterns, collection efficiency, net income from business/economic enterprises) that reflect the organization's overall performance or any of its departments or units. The information that is collected, analyzed and monitored can be very useful as a basis for future planning and strategic management.

What is trend analysis used for?

Trend analysis focusing on monitoring financial trends to assess the financial condition of the local government can be used to:

1. Present an easily understood summary of the local government's financial strength and weakness to the legislative and executive officials/ heads, citizens, credit-rating institutions, and other stakeholders.
2. Help local government officials and staff to gain better understanding of the local government's financial condition, identify emerging problems early on and existing problems of which they may be unaware.
3. Provide local decision-makers a starting point for setting financial policies and crafting strategic plans/actions to resolve problems.
4. Help local government understand the interplay of factors that affect the financial condition of the local government and/or any of its departments or units (e.g. its economic enterprises).

How is trend analysis used?

The process of trend analysis, specifically one that centers on assessing the local government's financial condition, begins with identifying the financial indicators that are necessary to gauge the overall performance of the local government and/or its department (e.g. economic enterprises). All the relevant indicators need to be included.

Apart from net income/loss data, rates of fees and charges and subsidies, other performance indicators could be gathered and ranged for trending. These may include number of clients, level of availment of the services, level/profile/mix of receivables, as well as the emergence of competitors. In the case of public hospitals, for instance, assessing their operations utilizing trend analysis will call for data reflecting the balancing of public service with a market-oriented and entrepreneurial approach to hospital management so that “clients” get the best value for money in terms of services provided.

The second step is to gather data for selected financial indicators. To facilitate collection of relevant information, you need to prepare data assembly worksheets. These worksheets should contain the following: the data required for the selected indicators, sources of data, and which office/unit may be responsible for collecting the data.

Computing for indicators is the third step. The resulting figures can be plotted graphically, either manually or with the use of appropriate computer programs.

The fourth step is to evaluate the results of the computation and interpret the figures as plotted in the graph. You need to prepare questions for this step as a guide to enable your team to make the proper qualitative interpretations.

Finally, these financial indicators will have to be regularly reported and disseminated at the right time to decision-makers.

What are the strengths and disadvantages of trend analysis?

The trend analysis of financial conditions of local governments provides more quantitative information to local chief executives, members of the SP, and department heads for decision-making. Likewise, potential, existing and persisting problems can be identified and analyzed. Measures to prevent, arrest, or reverse unfavorable trends can then be introduced and implemented. Finally, when updated regularly, it can be a valuable resource to decision-makers and others interested in the financial health of the local government.

However, common forecasting approaches that include trend analysis often do not capture the proper information at the proper time and aggregate these in a form that drives solid analysis to support good decision-making. Common forecasting pitfalls will have to be recognized, and overcoming them is crucial to develop a sound forecast. These potential forecasting problems will include

(a) collecting the wrong information, (b) making the analysis too simple or too complex, and (c) neglecting legislative and executive officials' needs.

Analyzing too many indicators can overwhelm local government officials and staff with too much information. If you give financial indicators for too many types of information, they might experience “analysis paralysis.” Finally, one must keep the primary end user(s) of the forecast in mind when developing the forecast. Different departments/units of the local government have different forecast requirements in terms of style, detail, and timing. One should be sensitive to their requirements and ensure that the forecasting approach is tailored to support their decision-making activities.

In which specific government service can we use trend analysis?

Trend analysis can be applied to assess the financial condition of a local government. It is useful in providing a historical view of financial performance for more informed decision making.

In particular, it is useful to assess financial performance of economic enterprises operated by local governments. These include public markets, slaughterhouses, cemeteries, public hospitals, toll roads and bridges, public utilities (waterworks, power distribution, telephone system), rental of buildings, equipment, and government lots, among others. Trend analysis will easily reveal decision points for continuing local government-operated public enterprises or privatizing them.

In addition, lending institutions consider performance in operating economic enterprises in evaluating the creditworthiness of a local government.

5.5 PROCESS MAPPING

What is process mapping?

Process mapping is a method illustrating the sequence of steps that constitute a complete transaction. It is a visual representation of the work flow within a process or an image of the entire operation. A good process map should:

- Allow people unfamiliar with the process to understand the interaction of causes during the work-flow.
- Contain additional information related to the process—information about input and output variables, time, and cost.

Once you have zeroed in on the focus of your reform agenda, the next activity is to determine the major steps that comprise the system from beginning to end. The identification of the steps may be the result of an initial discussion with a concerned stakeholder, and further validated by a larger number of participants in a workshop. Each major step, including the specific activities, is then drawn in a transaction process flow chart.

What is a flowchart?

A **flowchart** is a graphical representation showing all of the sequential steps of a process in chronological order. Flowcharting is done to identify the actual ideal paths that any transaction or service follows (*see sample GSCH process flowchart for its System of Patient Admission to Discharge in Annex B*).

The flowchart is widely used in problem identification in a process called *imagineering* or *scriptwriting*. The people with important knowledge about the process meet to:

1. Draw a flowchart of what steps the process actually follows.
2. Draw a flowchart of what steps the process should ideally follow if everything worked correctly.
3. Compare the two charts to determine where they differ. This is where the problems arise.
4. Revise the flowchart to correct the deviations and streamline procedures as needed.

How is process mapping conducted?

Process mapping is mainly intended to determine the effectiveness of an existing system or process. This is done through random observation and process documentation of a select sample of customers. The actual observation and process documentation of the identified process is focused on determining the following specific objectives:

1. Gathering specific data on the identified transaction process based on actual observation of the following parameters:
 - a. Number of steps required from start to finish
 - b. Number of minutes, hours, or days devoted for each step
 - c. Number of signatories
 - d. Forms to complete in each step
 - e. Document backtracking or re-routing
 - f. Supporting documents required

2. Identifying the gaps observed during the process documentation.

A complementary activity to this research undertaking is to administer a survey to a random sample of respondents to measure their perceptions on the quality of service, and the necessary requirements relating to the transaction process being reviewed. A detailed discussion of this tool follows in Section 3.1.3.

After the conduct of the actual process documentation (and the perception survey), the study is expected to generate discussion on two major objectives that include:

1. Identifying the effectiveness of the existing system based on observations made during the process documentation.
2. Coming up with procedural recommendations to further streamline and re-design the transaction process based on the findings of the study.

What are the tool's strengths and limitations?

Flowcharts provide excellent documentation and visual representation of a procedure, and can be a useful tool for examining how various steps in a process are related to each other in order to identify deviations. By studying the transaction flowcharts you can uncover loopholes in a process which are potential sources of trouble. Flowcharts can be applied to anything from the trail of an invoice or the flow of materials, to the steps in servicing a customer.

The process mapping study will be conducted both by the service provider using a referral/routing slip (*see sample Routing Slip in Annex C*) and by independent process observers from business, academe and civil society using a Process Tracking Log (*see sample Tracking Log in Annex D*).

The accuracy of the data gathered will rely heavily on the objectivity of the volunteer conducting the study. Additionally, the process mapping study using both systems focuses on documenting the process of a relatively limited number of applicants chosen at random during the study period, whose inter-arrival times are highly variable and relatively unpredictable.

In which specific reform area can we use the tool?

The tool found wide application in the cities of:

- Dipolog and Panabo in streamlining the real property tax transaction processes;

- Surigao in developing and enhancing the Patient Admission to Discharge System of the General Santos City Hospital; and
- Malaybalay and Zamboanga in implementing improvements in the Business Permit Licensing System.

The tool's applicability to local government operations was exhaustively tested and its utility proven during the TAG project in terms of assessing gaps and overlaps in various processes. The tool identified specific elements in the process that can be omitted or added.

Important factors to be considered when using the tool

1. Proper orientation of the process observers

Prior to the actual study, separate orientation and coordination meetings for local government officials, and representatives of the business and civil society sectors should be organized to discuss the mechanics of the research undertaking. This activity should also familiarize the service provider and field researchers with the research methodology.

2. Familiarity with the identified transaction process under review

Service providers and the field researchers should internalize the identified transaction process flow chart(s) to familiarize themselves with the steps/offices indicated. Their familiarity with the process directly affects the quality of data to be gathered.

3. Ensure clear instructions to process observers

Clear instructions should be given to ensure that observers are able to note, record, and compare the designed steps in the process flow chart with the actual steps that each of their selected sample applicants had actually experienced. Instructions should be given to researchers to make accurate logs not only of the processing, waiting, and transfer times for each step, but also on other salient qualitative observations, such as the frequency and reasons for backtracking of steps and documents, as well as other relevant information.

4. Proper recording, analysis and interpretation of data

The quantitative and qualitative observations will be recorded in forms prescribed by the local government for systematic collection. Using the data, one can analyze the various dimensions of total tracking time, including processing time, waiting time, and document transfer time.

5. Maintaining anonymity of the process observers

Each sample applicant will be accompanied by a member of the study team during the actual observation and process documentation. The researcher has to position himself/herself not too far from or too near the applicant, noting the observations only from this vantage point. This is done to ensure that the observation will have minimal influence on the actions of the service providers.

Analysis of the Data and Findings in Terms of the Specific Objectives of the Process Mapping

Time records of transaction measured through process tracking will be summarized in tabular format to show the various dimensions of time measurements. The process mapping study will yield time estimates, which will be the basis for setting the baseline process response time, and subsequently the enhanced standard response time (or service standards).

5.6 TIME-AND-MOTION STUDY

What does Time-and-Motion Study refer to?

A **time-and-motion study**, also called a process tracking study, analyzes how a specific task is carried out in order to determine how the task might be conducted more efficiently. The study entails measuring how long it takes to complete a specific task. This method was used extensively in redesigning the Business Permits and Licensing System of local governments in the TAG project.

In this study, a researcher accompanies a client from the very first step (e.g. obtaining an application form in a business renewal process) until the final step (e.g. release of the business permit) is completed. At each step, the researcher records the time spent, including the waiting time and transaction time. In addition to the time, other items observed are also noted, such as the number of service providers, the requirements and documents needed, the physical situation in the office, and the attitude of service providers.

At the end of the entire process, the times logged at each step are summed up to get the “total time” to complete the service. The researcher also provides explanations or notations to accompany unusually long transaction times.

There are usually two parties interacting in the conduct of time-and-motion study — the clients and the service providers. The clients go through the steps in the process generally set forth by the service providers.

Time-and-motion studies are helpful in identifying steps or parts of the process that take too long to complete. These are usually referred to as “bottlenecks.” The usefulness of the time-and-motion study is to identify and provide solutions to reduce bottlenecks and speed up the entire process.

What are the strengths and weaknesses of the tool?

Following are some of the strengths of time-and-motion studies:

- They are simple to conduct and require only a tracking sheet to record the actual route that a client takes, and the time spent at each step.
- Studies are based on actual conditions. Since tracking is done using clients availing of a service (e.g. an office in a local government unit), the studies give a fairly accurate picture of what actually transpires.
- The method uses actual clients. Rather than using hypothetical conditions, the use of actual clients reflects reality.

On the other hand, the study has the following weaknesses:

- It largely depends on the willingness of a client to participate. Not all experiences can be tracked since only those clients who are willing to be accompanied throughout the entire process can be studied. In some cases, if a client decides to temporarily stop and come back later without the researcher, some steps can be missed, and findings of the study may be affected.
- Researchers can be viewed as “intruders” who can further delay the process since they have to confer clients after every step.
- The study may take some time to complete, especially if the entire process generally takes a long period of time (e.g. business permits that take one or two weeks to complete).

What are the factors to be considered when using the tool?

- Willingness of the service providers, or all the people/offices involved in the entire process being studied, to participate.

- Willingness or openness of the client to be accompanied during the entire step.
- Researchers who pay attention to all details and try to maintain their anonymity throughout the whole process.
- Standard steps and procedures with which to compare the actual steps and procedures followed by the clients.
- Objective findings presented first to the people/offices for comments.
- Clear identification of bottlenecks — does the bottleneck pertain to the service provider? The step itself? Missing requirements?

Where can the tool be applied?

You can use time-and-motion study in a broad range of processes or transactions with identifiable steps that normally take more than a day to finish, but which can be shortened to a day or less. Examples include: obtaining data, requirements or documents from an office; securing business or building permits; applying for clearances; release of funds or payment of claims; and enactment of ordinances, among others.

Time-and-motion studies may be used during the diagnostic stage of the procedural reform program of the local government. The empirical information generated provides an objective baseline that, when presented to the concerned office or department of the local government, enables a discussion on the appropriate time allotment per activity and the steps within each activity. These observations provide helpful inputs into the design of strategies and measures to address the local government's concerns.

5.7 PARTICIPATORY WORKSHOPS

What is a participatory workshop?

A participatory workshop is a group activity that encourages the active participation of everyone involved in order to explore certain topic. Methods such as drawing, role-playing, and small group work allow people to become actively involved in the process.

A range of techniques may be used in participatory workshops to:

- Help people feel comfortable.

- Encourage people to share information, ideas, concerns and knowledge.
- Support learning in a group.
- Help people to communicate effectively.
- Manage group dynamics.
- Keep the work practical and relevant.
- Invite the group to take control of the learning and sharing process.

What are some of the tools facilitators use in workshops?

Facilitators ensure that everyone gets an equal opportunity to participate. Through active listening and good questioning, they demonstrate that each person's contribution is valuable. Facilitators help group members to develop communication skills by promoting discussion. Activities such as role-playing and case studies are used to explore different points of view.

Facilitators use games to help people get to know each other, give participants more energy and enthusiasm, and to help people work together. Games that help people get to know each other and to relax are called "ice breakers." When people look sleepy or tired, "energizers" can be used to get people moving. Games can also be used to help people think through issues that are part of the workshop. They can also be helpful for addressing problems that participants may encounter when they are trying to work together.

Facilitators can also teach their groups how to make visual representations (drawings or diagrams). These help participants analyze problems, describe local situations, and rate the importance of things. These different learning aids are called "visual tools." The tools create a relaxed atmosphere to encourage people to work together. Examples of visual tools are vision drawings, community maps, and problem trees.

Facilitators can help participants to use visual tools by doing the following:

- Give very clear instructions about what you want people to do. If necessary, provide an example of what it might look like.
- Remind participants that the quality of the drawing is not important. What the drawing communicates is most important.
- Make the activities non-threatening. Encourage people to work in whatever way they want, such as by drawing on paper or making things out of cardboard.
- Make the activities fun. Encourage participants to draw on a large scale.

- Consider the use of three-dimensional images or natural “props” (e.g. chairs, fruits, or stones) to represent different things.

What roles do facilitators play and what characterizes good facilitators?

In a participatory workshop, the role of a facilitator is to support the learning process. The facilitator creates a supportive environment in which a “learning journey” can take place. Participants explore their own experiences and those of others, identify their strengths and weaknesses, and share their knowledge, ideas, and concerns. If appropriate, a facilitator may also offer their own expertise in addition to facilitating the exchange of ideas and experience.

A facilitator does not need to be an “expert” or to be superhuman! However, he must have some basic professional and personal characteristics. Examples of these can be divided into three main areas: knowledge, skills, and attitudes.

Attitudes

Gender sensitive
Committed to helping people to learn
for themselves
Respectful of culture
Treat all participants equally
Self-aware
Friendly and honest

Knowledge

About the community and country context
About the subject matter of the workshop

Skills

Active listening and good questioning
Open communication
Managing group work
Conflict resolution
Summarizing
Time keeping

Facilitators need to build a broad base of knowledge, skills, and attitudes. In general, facilitators need to develop key skills in four main areas:

- Encouraging sharing and learning
- Communicating well
- Keeping material practical and relevant
- Responding to group dynamics

What do you consider when preparing for participatory workshops?

1. Purpose and objectives

It is important to determine the reason for holding the workshop and who will make decisions about it. It is also important to set the objectives for the workshop — what experience, learning, sharing, or analysis is being sought and what outputs and outcomes are expected.

2. Context

How does the workshop fit into longer-term processes of change and learning? Workshop sponsors and participants need to commit to make the event perform its role in the overall scheme and context.

3. Participants

The choice of the right participants is crucial to the success of the workshop. Who they are, how they will be selected, what should be the criteria for selection and the optimal number ought to be carefully determined in the planning of the workshop.

4. Expectations

It is helpful to obtain an indication of participants' expectations in order to design activities and apply appropriate methods to meet their expectations.

5. Role/s

Who does what, who takes the lead, who assists?

6. Venue and timetable

7. Logistics and funds

8. Materials and equipment

9. Event design, process, and program

10. Participants' preparation

11. Local liaison

What types of workshops are used in the procedural reform efforts of local governments?

The participatory workshop is a tool that is most useful in the procedural reform effort. The workshop mode allows the participation of various stakeholders, enabling them to share their points of view, ideas, and suggestions for the reform effort. It sets the stage for expression of the stakeholders' commitment, fosters ownership of the outputs and builds consensus among them.

Some examples of workshops that were conducted by participating local governments in the TAG Project are:

- Current Reality Dialogue
- Strategy Formulation/Action Planning
- Design Enhancement

The following section describes these various workshops and their process flows. *(The sample workshop designs are in Annex G and H.)*

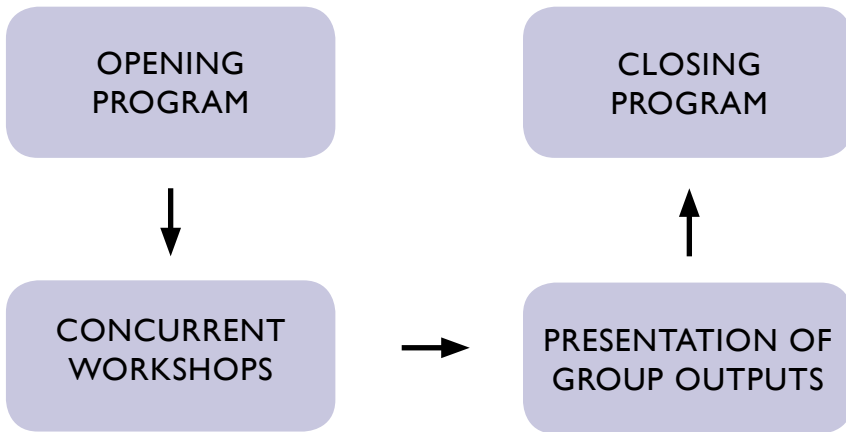


Purpose of the Workshop

The CRD workshop is a multi-sectoral workshop intended to assess both the internal and external environments of a particular office or department of the local government, in line with the procedural reform focus.

Process Flow

The flow of major activities is shown in the chart below:



CURRENT REALITY DISCUSSION FRAMEWORK

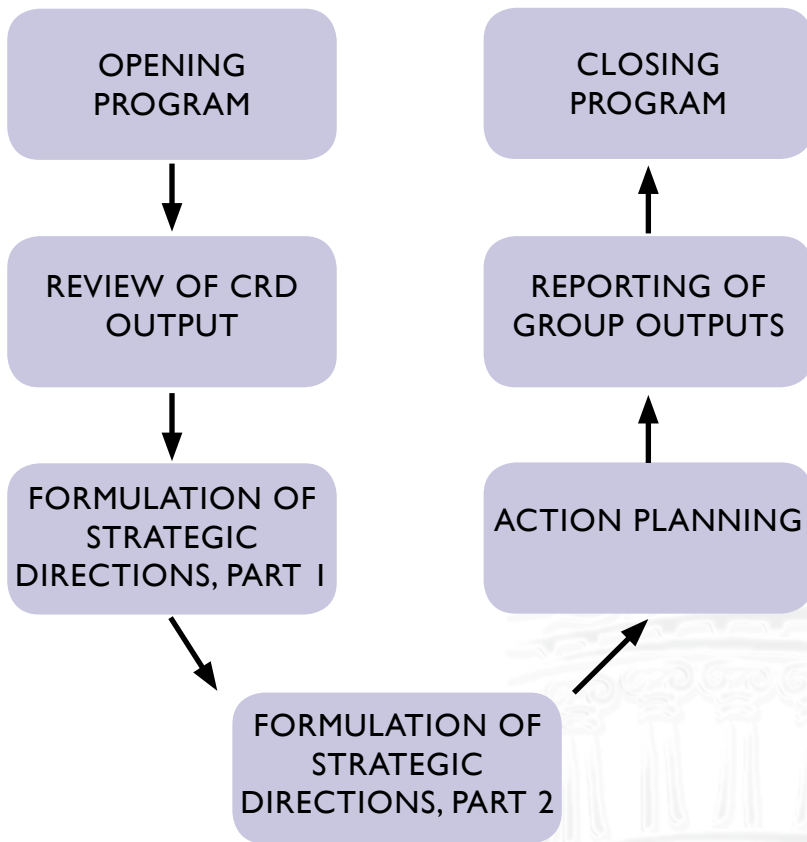
<p>Recognizing strengths and advantages of the office or department, including attributes and attitudes supportive of the future goals</p>	<p>Identifying accomplishments in the last 2-3 years, specific breakthroughs and key events that have been recently completed</p>
<p style="text-align: center;">STRENGTHS/ ADVANTAGES</p> <ul style="list-style-type: none"> • Foundations to build on • “What gives us confidence for the future?” • Capacities • Systems and processes • Structure and functions 	<p style="text-align: center;">RECENT ACCOMPLISHMENTS</p> <ul style="list-style-type: none"> • Breakthroughs • Key events • Relations with civil society • Partnerships
<p style="text-align: center;">MAJOR TRENDS</p> <ul style="list-style-type: none"> • Events, trends unfolding, directions • Opportunities for development 	<p style="text-align: center;">THREATS</p> <ul style="list-style-type: none"> • Obstacles and threats to progress • “What is in our way?”
<p>Evaluating the trends, directions, and movements; identifying opportunities for development</p>	<p>Considering specific and serious “road blocks” to development of the future goals</p>

Purpose of the Workshop

The purpose of the workshop is to determine the appropriate courses of action in response to the issues and concerns raised in the Current Reality Dialogue.

Process Flow

The flow of major activities is shown in the chart below:

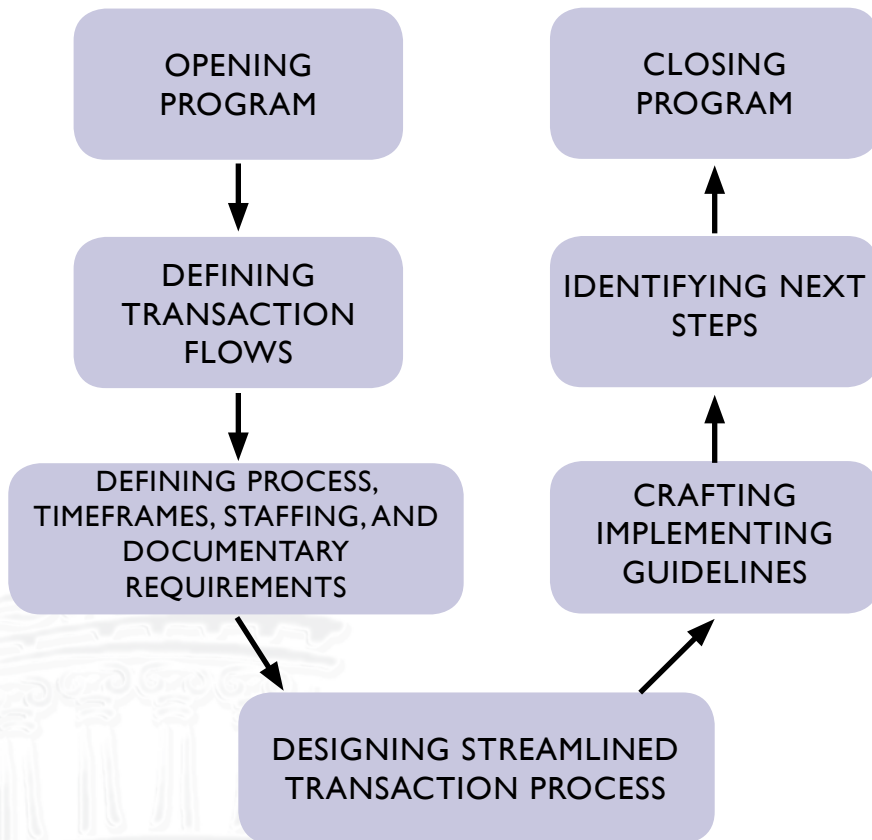


Purpose of the Workshop

The workshop's main aim is to design the enhanced system and its processes and to identify the necessary support for its successful implementation.

Process Flow

The flow of major activities is shown in the chart below:



5.8 TOOLS FOR SYSTEM PERFORMANCE MONITORING, EVALUATION AND FEEDBACK

After setting in place the enhanced or re-designed system and testing it for a period of time, you then need to monitor its progress and determine its effectiveness. The tools suggested here are relatively easy to apply and the data gathered may be processed either manually or with the aid of a computer.

What are the tools used to track and evaluate performance of the system?

The tools utilized for performance monitoring are random observation, process mapping and perception surveys. The application of these tools is focused on:

1. Gathering of specific data on the enhanced system based on the actual observation of the following parameters: a) the number of steps required from start to finish, and b) the number of minutes, hours, or days devoted to each step.
2. Identifying the gaps observed during the process documentation.

By comparing the data drawn from this evaluation stage with those established as baseline figures at the outset (using the perception survey and process mapping tools) the effectiveness of the reform efforts can now be assessed.

Staff of offices or departments implementing the enhanced system are expected to conduct both perception surveys and process mapping with the participation of other stakeholders.

Different samples of respondents are randomly selected during the evaluation stage. You need to define who your respondents will be. For instance, for a real property tax administration study, the respondents may be any of the following:

- The owner of the residence or business establishment.
- The immediate family member of the owner of the residence or business establishment.
- A representative or regular employee of the business establishment.

What data gathering instruments are used in evaluation?

The instruments used for recording the data gathered during this phase are:

1. A ¼ page routing slip that contains the process tracking log of the steps and the corresponding processing, transfer and waiting time periods, the summary observation indicating the researcher's qualitative remarks, and other salient points.
2. A two-page structured questionnaire, divided into three major parts:
 - a. A four-point scale indicating the respondent's rating on the areas of information, personnel, and procedure
 - b. Difficulties respondents encountered
 - c. A profile of the respondents

What are the data gathering steps?

Prior to the actual conduct of the studies, you need to hold separate orientation and coordination meetings for the local officials and representatives of the business and civil society sectors to discuss details of the research undertaking, and to familiarize the service providers and field researchers with the research methodology.

During the actual observation and process documentation, each respondent should be accompanied by a member of the research team. Advise the researcher to observe from an optimum distance to ensure that the observation has minimal influence on the actions of the service providers. The researcher stops recording whenever the respondent decides to stop the application process and to continue it in the afternoon or the following day.

What are some of the tools used to obtain feedback?

The two main instruments for obtaining feedback regarding the effects of the reform initiatives are the following:

1. Customer Satisfaction Survey
2. Employee Feedback Survey

While there is no right or wrong way to measure results, what is essential is to measure aspects of the service that are important to customers or employees and crucial to the smooth functioning of your office or department. The Customer Satisfaction Survey measures the degree to which the customer of a particular office or department is satisfied with that department's or office's delivery of service.

Customer satisfaction deals with:

- Average customer waiting time
- Quality and or performance of the service itself
- The application process (how easy or difficult customers think it is to apply for a service)
- Delivery time (how fast or slow the customer thinks the service is delivered)
- Dependability (did the service provider do what was promised)
- Responsiveness (how quickly and effectively the customer's needs, problems, and requests were responded to)
- Efficiency (were transactions handled quickly and competently)
- Attitude (how friendly, willing to help, and courteous were employees to customers)
- Value (do customers feel they got more, less, or about what they expected)
- Number and percentage who intend to do business with you again

The Employee Feedback Survey

Part of making sure that reform efforts lead to the desired results and are eventually sustained is soliciting feedback from employees. Employee feedback surveys are the best way to tap into the ideas of the workforce. These surveys help measure the effects of your reform initiatives, diagnose issues and concerns, anticipate potential problems, and assess management style problems.

In designing and conducting feedback surveys, you must consider the following:

- Survey respondents (Who will compose your sample and how large or how small should your sample be?)
- Focus (Organizational changes signal the need for spot surveys relating directly to the change. Surveys should be short and go straight to the relevant issues).
- Time and timing (How much time should you give the employees to fill out the survey forms and when is a good time to conduct the survey?)
- Communication (When and how do you let employees know about the survey and its purpose?)
- Analyzing survey results (What conclusions can you draw from the data? What decisions can you make about simple yet effective ways to address employee concerns?)
- Taking action (What action should management take to respond to those concerns and how to communicate this to employees?)

(Examples of Customer Satisfaction Survey and Employee Feedback Survey are found in Annex I and J.)

5.9 CONTINUOUS SERVICE IMPROVEMENT (CSI)

What is continuous service improvement?

Continuous Service Improvement (CSI) is a systematic and disciplined approach of improving delivery of services. The approach includes documenting and analyzing current processes and activities, re-designing processes and related systems components, and planning and managing the change or transition from the current situation to the desired one.

What is the purpose of CSI?

The purpose is to help local governments put in place, within one year, a program that can establish the necessary policies for CSI as an executive mandate, generate a CSI agenda for each office, produce successful service improvement projects (case studies), build the local expertise for CSI, integrate CSI into the promotion process, and even generate a citizens' charter based on the documentation of existing services.

What is required to put a CSI program in place?

1. Activities for the first quarter are aimed at establishing service improvement as a priority of local governance. To get the CSI program started, it is necessary for the local chief executive to declare through a formal policy document that it is his/her administration's priority to continuously improve service delivery. This policy and the mechanics that go with its implementation, must be communicated throughout the local government.

The foundational resources needed to implement the program must be put in place. CSI trainers and officers-in-charge must be identified and trained, and their base of operations must be set up. Finally, each office within the local government must be helped in developing their respective service improvement agenda for the year. This last activity will be led by the CSI team and the office of the mayor, as a preparation for the strategic objective of the second quarter.

2. The second quarter activities are intended to engage the office heads in service improvement. The foundation for this will be the establishment of the Mayor's policy to consider the work done by employees on service improvement as a factor for promotion. This policy provides the incentive for any and all employees to participate in and support CSI activities. Following this, the heads of offices, divisions, and sections will be trained in the documentation of services.

The output of this training will be documentation of the most important services of the different units in the local government. These will be used to make the first draft of the citizens' charter for the locality. Finally, the local government will take steps to establish links with other local governments that are also pursuing CSI.

3. Training for office, division and section heads will continue in the third quarter. The training modules will be on analysis, re-design, and implementation planning. These will be preceded by the prioritization of services for improvement. The training will end with the presentation and defense of service improvement case studies. Implementation and monitoring of approved service improvement projects will follow.
4. Activities during the last quarter will include assessing, validating and recognizing accomplishments so far, learning from other local governments, and planning for the subsequent years.

In which government service is the CSI approach most useful?

In 2008 and 2009, a group of municipalities participated in the TAG project of The Asia Foundation and USAID. In this program they learned to improve their respective business permits administration-related services through the CSI method. The CSI method may be applied primarily to improve business permits-related services but may be used to introduce improvements in other local government services as well.



In this section, you will find some models of good TAG practices. There are many stories to be shared, and this section provides three:

- Improving Service Delivery in General Santos City Hospital;
- Transparency and Accountability: Hallmarks of Real Property Tax Administration in Surigao City; and
- Malaybalay City and Zamboanga City: Improving the Business Permit and Licensing System.

Each account summarizes the following points:

- *What was the problem/challenge that needed addressing?*
- *What reform strategies were employed?*
- *What were the results?*

Improving Service Delivery in General Santos City Hospital

General Santos City Hospital's annual budget averaged P49.97 million from 2002 to 2005. Because of this huge budgetary allocation, the City Government wanted to ensure that the hospital operated efficiently and delivered quality services.

In 2005, Mayor Pedro Acharon, Jr. recommended that the TAG reform agenda focus on improving the operations of the General Santos City Hospital (GSCH). The Special Advisory Team (SAT), created to lead the reform, identified major issues that needed to be addressed. Among the myriad problems, the SAT agreed that improving the system of admission-to-discharge of the hospital's in-patients would be its primary focus.

The 2005 procedural reform effort of GSCH sought to achieve the following objectives:

1. To involve all stakeholders in a diagnostic exercise to identify the specific problems to be addressed.
2. To establish ownership of the problems, as well as the corresponding solutions.
3. To boost the morale of hospital personnel in order that they be motivated and thus, positively contribute to the reform effort.
4. To ensure the appropriate and timely interventions.
5. To streamline hospital processes from admission to discharge of in-patients.
6. To institute long-term reforms in systems and structures in order to achieve total quality service and customer satisfaction.

Reforming the "patient admission-to discharge" (or PAD system) required, first of all, tracking the major steps in the system and pinpointing the sequential activities under each major step. With process mapping studies done and transaction process flows charted, problem areas were then spotted.

Five major events contributed significantly to the formulation of strategies that GSCH employed to respond to these problem areas. The first was a two-day study tour by selected GSCH personnel to the Tagum Regional Hospital in Tagum City, Davao del Norte and the Davao Medical Center in Davao City. The second was the conduct of an action planning workshop to identify specific actions that needed to be put in place and the corresponding timelines and responsibility centers. A third event was the creation of the Patient Admission-to-Discharge Process Improvement Team (PAD-PIT) to perform the functions of a technical working group for the duration of the TAG project. The fourth activity was the Transparent Management Assessment Workshop during which

the second enhanced version of the PAD system transaction process was presented. The fifth event was a two-day workshop to produce the third enhanced version of the PAD system.

Plans to implement the enhanced PAD system were made during a Validation Workshop held a month prior to actual pilot-testing. The testing was undertaken within a 37-day period during which weekly monitoring meetings were held and feedback surveys conducted — the GSCH employee opinion survey and the patients' feedback survey.

After the test-run, fine tuning activities were held, including the sharing of experiences during the implementation period, conduct of various workshops, crafting of enabling mechanisms for the continuing implementation of the service improvement recommendations, and agreements towards sustaining the gains of the TAG project.

Fourteen months after the GSCH PAD reforms were put in place, positive results have been observed. Some of these have been:

- Strengthened inter-department coordination;
- Improved staff relationships and strengthened staff commitment;
- Full support of hospital management with regard to hiring of additional personnel and procurement of IT equipment;
- Participatory planning and budgeting; and
- Clear operations policy.

GSCH has demonstrated that its continuing journey towards service excellence requires the participation of all stakeholders concerned with the delivery of quality health and hospital care.



Transparency and Accountability: Hallmarks of Real Property Tax Administration in Surigao City

Real property taxes offer the largest potential source of local revenue but many local governments have failed to maximize this potential. This has also been the case for Surigao City, which has been beset with numerous problems regarding real property taxation. Problems include the imposition of rules and regulations perceived to be ambiguous and often complicated.

As a result of various consultations and meetings, the Surigao City stakeholders agreed on the strategies to be employed in reforming real property tax administration (RPTA). These were:

1. Publicizing the transaction process.
2. Intensifying the information and advocacy campaigns.
3. Updating the real property tax database.
4. Empowering local barangays in the RPTA process.
5. Enhancing the skills of service providers.
6. Computerizing the RPTA system.

Surigao City was able to effect significant changes in its RPTA system, including increase in revenue collections from RPT and better service delivery in RPT for local businesses. The duration of RPT tax assessment and billing has been reduced from a little over 10 hours to just 80 minutes. This has encouraged more property owners to pay taxes on time and in full. Computerization has further sped up the process and eliminated “under-the-table negotiations.

A comparison of the quantitative indicators for FYs 2004 and 2005 indicate improvements after a year of implementing the City’s procedural reform initiative. The 18% increase in collection efficiency, however, was not significant enough to pull the per capita cost of tax collection down. In any case, city officials are optimistic that once the initiatives take root, greater improvements may be expected.

Malaybalay City and Zamboanga City: Improving the Business Permit and Licensing System

Malaybalay's BOSS

Under the TAG Program, the Ateneo School of Government provided technical assistance to selected cities, among which was the City of Malaybalay. The project aimed to foster local economic growth and job creation in those selected cities. Among the major activities was the streamlining of the business registration, permit, and licensing system (BPLS), in response to the need to provide a supportive environment for local businesses.

A distinctive innovation that Malaybalay City conceptualized was the Bukidnon One-Stop-Shop (BOSS) for business permit and licensing. As an offshoot of the BPLS analysis and review from the private sector perspective, the BOSS was implemented within less than a year from the start of the project. The one-stop shop was housed in a huge room on the first floor of the City Hall, with the various offices' representatives, including the Bureau of Internal Revenue, occupying tables arranged according to the sequence of the BPLS process. Two huge billboards showing the BPLS process were placed outside the BOSS area. Coffee available at all times, TV to watch while waiting and staff ready to help all these reflected the customer-friendly environment that the BOSS intended to create.

The results of the BOSS speak for its success: collection from business permits increased by 119.05% from 2005 to 2006; the number of business permits issued increased by 84.77% within that time period; and processing time decreased from 2-3 days to one hour and six minutes.

Malaybalay City has become the favorite destination of visitors eager to learn how the City achieved BPLS streamlining through the BOSS and how to replicate BOSS back home.

Zamboanga's Smiles

Even before to the city's involvement in the TAG project, it had already begun to undertake procedural reforms on business permits and licenses. It was only logical then for Zamboanga city, being one of the cities in Mindanao that was chosen to be engaged in the project, to continue its efforts on this area of reform.

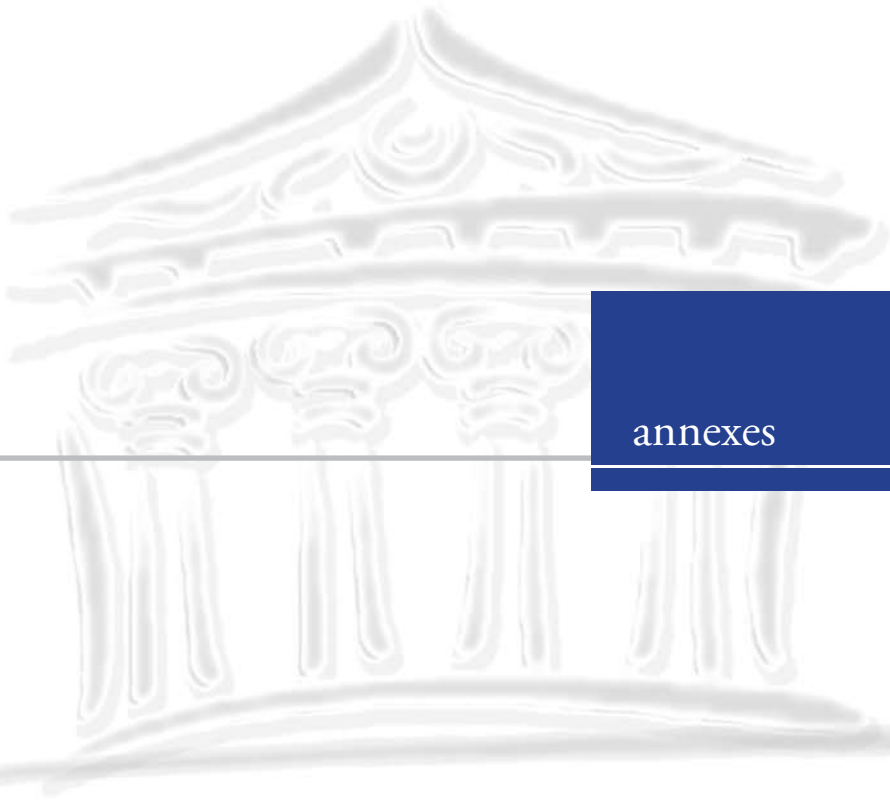
There were a number of specific interventions instituted as part of the BPLS reform program. Among the initial activities were the updating of business establishments'

classification, the mapping of business establishments and the conduct of advance inspections. Other activities included the conduct of the advance assessment and payment scheme of business taxes, monitoring of the completion of the renewal process, the design of flow charts, and the issuance of closure orders for erring businesses. Moreover, a major effort focused on enhancing the capacity of City personnel to deliver quality services. Selected personnel were sent to workshops on Continuous Service Improvements and the Public Service Excellence, Ethics, and Accountability Program (PSEEP), designed to instill a service-oriented culture in local governance, was implemented. Administrative and executive orders were issued in support of these efforts to improve the City's performance.

Frontline service staff members all have smiles on their faces when greeting and processing transactions of Zamboanga's citizens. The smiles alone are a good indicator of significant improvement in providing services. More than just the smiles, though, the City has been able to succeed in computerizing the BPLS, reducing processing time and making the BPL steps transparent and easily understood by means of signs and flowcharts posted at strategic locations within the processing area. PSEEP-trained personnel have demonstrated greater courtesy and diligence in dealing with clients.

In 2006, revenues from business permits and license fees tripled from the inception of the project — from less than 10 million pesos in 2005 to almost 30 million after a year.





annexes

CITIZENS' PERCEPTION SURVEY

Respondent No: _____ Date Accomplished: _____
Field Researcher: _____

Dear Respondent,

This survey is intended to get citizens' perceptions of the city government's initiatives on improving the process and procedures of real property tax assessment. The outcome of this survey will serve as input to the city government's continuing desire to improve its services. Your answers should reflect your experience and/or perceptions while transacting with your city government.

The questions may not fully cover the intricacies of all the issues involved in Real Property Tax Assessment process. Thus, in addition to indicating which answer comes closest to describing your experience/perception, please feel free to write additional comments in the comments section at the end of this questionnaire.

The information obtained will be treated with the strictest confidence.

I. In the succeeding items, please indicate your opinion by encircling the number that corresponds to your choice of response. The rating scale used in 1 to 4, where:

1 - Strongly Disagree

2 - Disagree

3 - Agree

4 - Strongly Agree

Information	Strongly Disagree	Disagree	Agree	Strongly Agree
1. Information campaigns are conducted before and during renewal time.	1	2	3	4
2. Presence of personnel at the reception area to provide ready information to queries.	1	2	3	4
3. Process flowcharts are visibly displayed in strategic/conspicuous locations.	1	2	3	4
4. Flowcharts clearly indicate the step-by-step process for real property tax assessment.	1	2	3	4
5. Instructions as indicated in the flowchart are easy to follow.	1	2	3	4
6. List of requirements are posted in strategic locations.	1	2	3	4
7. Forms to fill-out are readily available.	1	2	3	4
8. Schedule of fees posted in conspicuous places.	1	2	3	4
9. There is signage for different offices and directions.	1	2	3	4
Procedures	Strongly Disagree	Disagree	Agree	Strongly Agree
1. Procedures are systematic.	1	2	3	4
2. Responsible person for each step is clearly identified.	1	2	3	4
3. Actual steps are consistent with, or conform to, the displayed process flowchart.	1	2	3	4
4. Length of time required to complete the processing of transaction is reasonable.	1	2	3	4
5. There is no backtracking/repetition of steps, office, or signatories.	1	2	3	4

6. Transaction time between steps is shortened.	1	2	3	4
7. Number of signatories compared to last year is reduced.	1	2	3	4
8. Requirements are simple and easy to comply.	1	2	3	4
9. Comfortable waiting area is provided.	1	2	3	4

Personnel	Strongly Disagree	Disagree	Agree	Strongly Agree
1. Personnel are courteous and respectful.	1	2	3	4
2. Personnel are already at their respective areas in the morning and in the afternoon.	1	2	3	4
3. Personnel stay at their assigned service areas at all times during business hours.	1	2	3	4
4. Personnel are knowledgeable on the steps, forms, and requirements.	1	2	3	4
5. Personnel are able to respond to queries immediately.	1	2	3	4
6. Personnel are approachable.	1	2	3	4

From among the STEPS you experienced, list two of these steps you found difficult in terms of clarity of procedures, mandatory requirements, processing and waiting time, attitude of service providers, and kindly describe the nature of the difficulty/ties.

<i>Description of the Step</i>	<i>Nature of the Difficulty/ties</i>
a. _____	_____
b. _____	_____

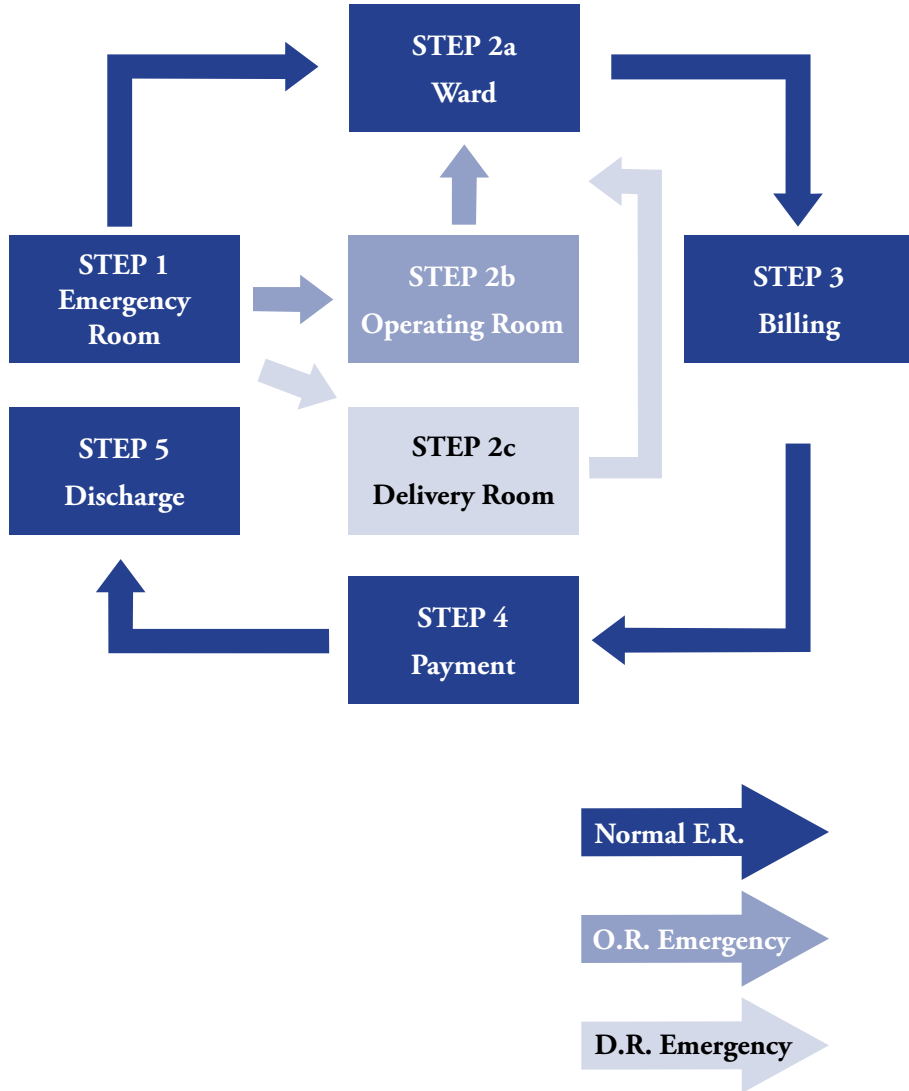
From among the OFFICES you transacted with, list at least two offices you observed to be difficult to deal with, and kindly specify the nature of these difficulties.

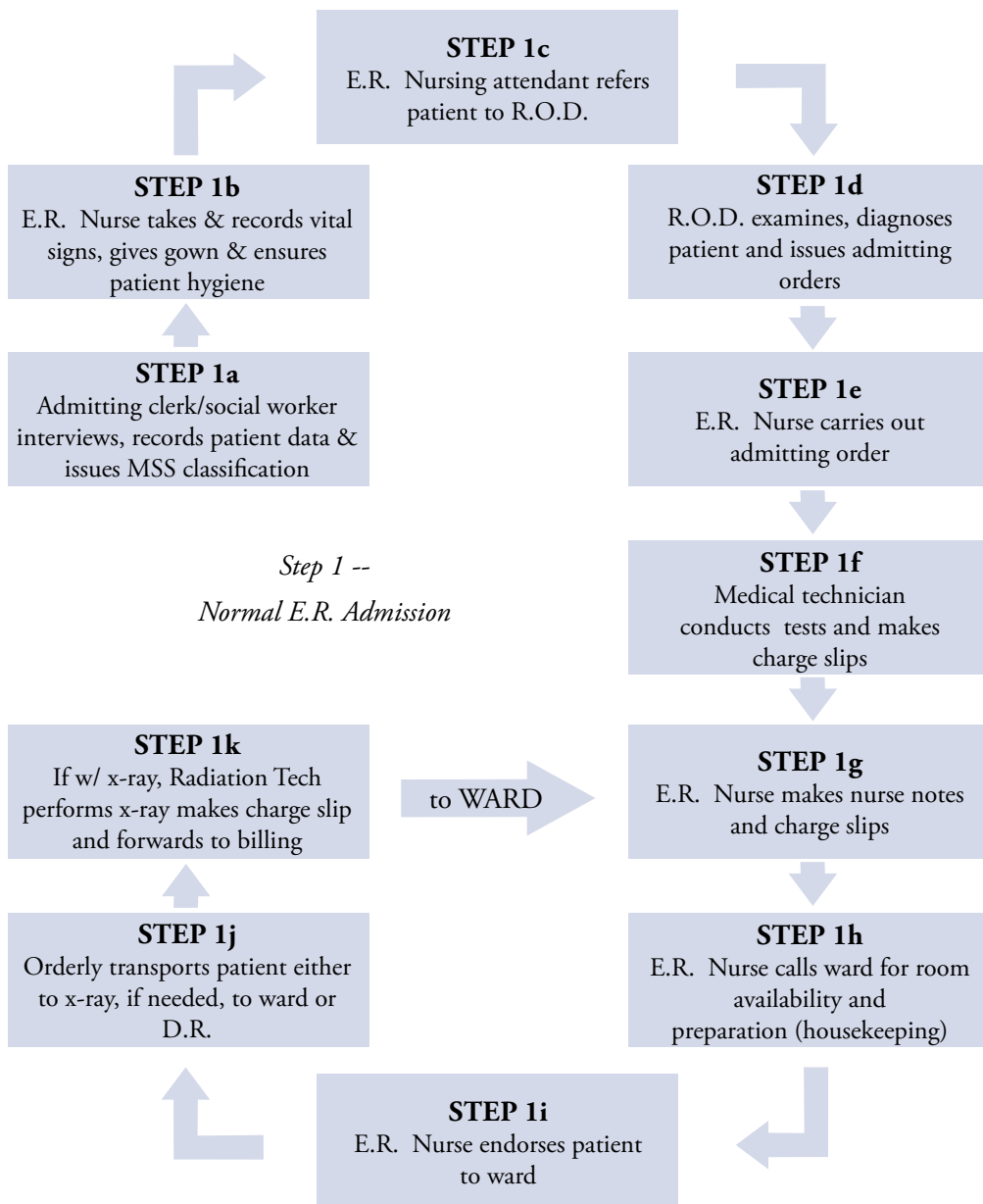
- | <i>Office</i> | <i>Nature of the Difficulty/ries</i> |
|---------------|--------------------------------------|
| a. _____ | _____ |
| b. _____ | _____ |

Recommendation/suggestions to improve the real property assessment system:

Respondent Identity No. _____	INFORMATION
1. Name (Optional)	
2. Business Address (Optional)	
3. Type of Business	
4. Sex	[<input type="checkbox"/>] Female [<input type="checkbox"/>] Male
5. Educational Background	[<input type="checkbox"/>] Drop out from Elementary School [<input type="checkbox"/>] Senior High School [<input type="checkbox"/>] Elementary School [<input type="checkbox"/>] Diploma/Bachelor [<input type="checkbox"/>] Junior High School [<input type="checkbox"/>] Master/Doctorate
6. Position in the Company	[<input type="checkbox"/>] Owner [<input type="checkbox"/>] Owner and Manager [<input type="checkbox"/>] Management position [<input type="checkbox"/>] Others, please specify
7. Established time of Business	[<input type="checkbox"/>] Less than 1 year [<input type="checkbox"/>] 11-15 years [<input type="checkbox"/>] 1-5 years [<input type="checkbox"/>] 16-20 years [<input type="checkbox"/>] 6-10 years [<input type="checkbox"/>] More than 20 years
8. Number of Personnel Involved	
9. Present Business Capitalization (Optional)	

Thank you very much for taking the time to answer this survey.





SAMPLE REFERRAL/ROUTING SLIP FOR PROCESS MAPPING STUDY

ACTION ROUTING SLIP

Correspondence No: 2094

Date/Time: 07/11/05 3:30 p.m.

From: _____

Purpose: Transfer of Ownership

Assigned to: _____

STEPS	Queueing Time		Process Time		Pending Time		Total Tracking Time
	Start	End	Start	End	Start	End	
1. TRANSFER/REVISION							
a. Interview/Info Clerk			15:30	15:35		15:40	0:10
b. Preparation of FS			15:40	15:50		15:55	0:15
c. Assigning of PINS			15:55	16:15		16:20	0:25
d. Review of FS			16:20	16:30		16:35	0:15
e. Approval of FS							
f. Transcription of TD			16:35	16:45		16:46	0:11
g. Administering of TD			16:46	16:50		16:51	0:05
h. Review of TD							
i. Approval of TD			16:51	17:00		8:00	15:09
j. Numbering of TD			8:10	8:13		8:14	0:04
k. Release of TD			8:14	8:16		8:16	0:02
							16:36
2. CERTIFIED TRUE COPY/ CERTIFICATIONS/SKETCH PLAN/TAX MAP							
a. Assigning of work/R.O.							
b. Research/Typing							
c. Preparation of Sketch Plan							
d. Review and Administering							
e. Releasing of Certificate/ TC/SP							

Remarks: _____

Background Information:						
Bp Sample No.		Name of Establishment and Address				
Tel./Fax/P.O. Box/E-mail						
Contact Officer/Title						
Person Representing/ Title or Profession						
Contact Address/Tel/ E-mail of Representative						
SCALE	Cottage/Micro	Small	Medium	Large	SECTOR*	
<p>*use the following code for sector: 1 - retail.wholesale trade, 2 - community/social/personal services, 3 - transportation and communications, 4 - electricity, gas, and water, 5 - financing, insurance, real estate, and business services, 6 - construction, 7 - manufacturing industries</p>						

Process Tracking Log				
Day	No	Date		
Office/Unit	Step #	Process Documentation (Please specify forms and number of signatories and clearances required)	Time In	Time Out

Keep a diary-style on-the-spot record of important observations per business permit being tracked.

Business Permit Sample Number:		
Day No.	Step No.	Observations/Comments

Workshop Objective

The CRD workshop is a multi-sectoral workshop that aims to arrive at a common assessment of both the internal and external environment of the particular office or department of the local government, within the context of the procedural reform focus. At the end of the workshop, the participants are expected to have:

- Assessed the external environment
- Assessed the internal environment
- Juxtaposed the internal strengths and weaknesses with opportunities and threats found in the internal environment
- Agreed on the conclusions reached in the discussions

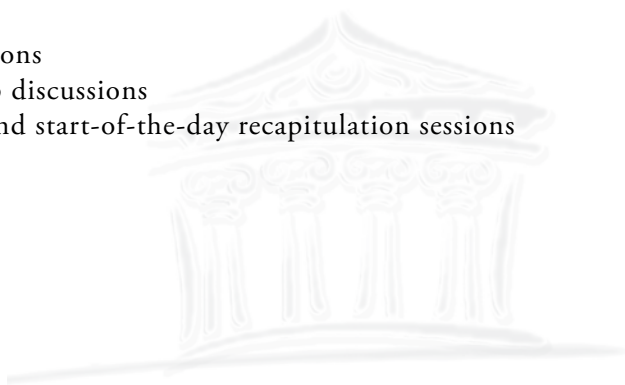
Participants

Participants of the workshop will include TWG members, selected representatives from the SB, personnel from the departments concerned, and selected representatives from the private sector. A total of 25-30 participants are expected to attend the workshop.

Methods and Approaches

The following approaches will be employed during the conduct of the workshop:

- Brief inputs
- Interactive plenary discussions
- Facilitated break-out group discussions
- End-of-the-day synthesis and start-of-the-day recapitulation sessions



Process Flow

The flow of major activities is outlined in the following process flow matrix.

Day/Date	Topic/Activity	Activity Description/ Key Learning Points and Methodology	Expected Outputs
8:00 - 8:30	Arrival and Registration		Registration sheets filled-out and signed by participants
8:30 - 10:00	Opening Program <ul style="list-style-type: none"> • Invocation • National Anthem • Introduction of Participants • Welcome Message • Expectation Setting • Workshop Overview <ul style="list-style-type: none"> • Objectives • Schedule of Activities • Process Flow 	A presentation on the context of the workshop (expectations, objectives, schedules, and details of the activities)	Clear objectives and expected results after the workshop
10:00 - 10:15	Coffee Break		
10:15 - 11:00	Current Reality Assessment Workshop		Strengths, Weaknesses, Opportunities, and Threats defined and discussed
11:00 - 11:45	Presentation of Group Outputs		SWOT presented, affirmed, and agreed upon
11:45 - 12:00	Closing Program		
12:00 - 1:00	Lunch		

CURRENT REALITY DISCUSSION FRAMEWORK

Recognizing strengths and advantages of the office or department, including attributes and attitudes supportive of the future goals	Identifying accomplishments in the last 2-3 years, specific breakthroughs and key events that have been recently completed
<p style="text-align: center;">STRENGTHS/ ADVANTAGES</p> <ul style="list-style-type: none"> • Foundations to build on • “What gives us confidence for the future?” • Capacities • Systems and processes • Structure and functions 	<p style="text-align: center;">RECENT ACCOMPLISHMENTS</p> <ul style="list-style-type: none"> • Breakthroughs • Key events • Relations with civil society • Partnerships
<p style="text-align: center;">MAJOR TRENDS</p> <ul style="list-style-type: none"> • Events, trends unfolding, directions • Opportunities for development 	<p style="text-align: center;">THREATS</p> <ul style="list-style-type: none"> • Obstacles and threats to progress • “What is in our way?”
Evaluating the trends, directions, and movements; identifying opportunities for development	Considering specific and serious “road blocks” to development of the future goals

Workshop Objective

The purpose of the workshop is to determine the appropriate courses of action in response to the issues and concerns raised in the Current Reality Dialogue. At the end of the workshop, the participants are expected to have:

- Reviewed the findings of the current reality assessment
- Defined the action agenda, outlined the strategic directions and specific procedural reform steps, and
- Determined the resources needed, responsibility centers, timetables, and performance indicators.

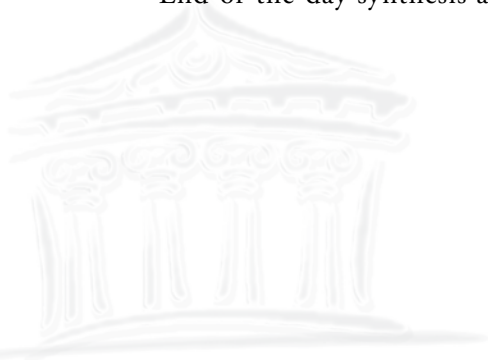
Participants

Ideally, the participants in this workshop will be the ones who were involved in the CRD workshop. The total number of participants should not exceed 30.

Methods and Approaches

The following approaches will be employed during the conduct of the workshop:

- Brief inputs
- Interactive plenary discussions
- Facilitated break-out group discussions
- End-of-the-day synthesis and start-of-the-day recapitulation sessions



Process Flow

Day/Date	Topic/Activity	Activity Description/ Key Learning Points and Methodology	Expected Outputs
8:00 - 8:30	Arrival and Registration		Registration sheets filled-out and signed by participants
8:30 - 10:00	Opening Program <ul style="list-style-type: none"> • Invocation • National Anthem • Introduction of Participants • Welcome Message • Expectation Setting • Workshop Overview <ul style="list-style-type: none"> • Objectives • Schedule of Activities 	A presentation on the context of the workshop (expectations, objectives, schedules, and details of the activities)	Clear objectives and expected results after the workshop
10:00 - 10:15	Coffee Break		
10:15 - 10:35	Session 1: Review of CRD Output	Brief recap of the current reality assessment (SWOT)	SWOT matrix presented and understood
10:35 - 11:15	Session 2: Strategic Directions, Part 1	Plenary workshops on practical courses of action that will build on the office's strengths and deal with the obstacles	List of Strategic Issues and corresponding Strategic Directions
11:15 - 12:00	Session 3: Strategic Directions, Part 2	Breakout group discussions on the goals, objectives, and success indicators for each strategic direction	Strategic Directions Matrix
12:00 - 1:00	Lunch Break		
1:00 - 2:00	Session 4: Action Plan (1-yr and 3-months)	Breakout group discussions	Action Plans
2:00 - 2:40	Session 5: Group Reports	Plenary presentation of group reports	
2:40 - 3:00	Closing Program		

STRATEGIC DIRECTIONS WORKSHOP TEMPLATE

Strategic Issue	Strategic Direction	Goal	Objective	Success Indicator

ACTION PLAN TEMPLATE

ACTION PLAN FOR 1 YEAR							
Action	Launch Activity	Q1	Q2	Q3	Q4	Success Indicator	Lead

ACTION PLAN FOR THE FIRST QUARTER

<i>Strategic Direction:</i>				
Month 1	Month 2	Month 3	Resources Required	Lead

Workshop Objective

The workshop's main objective is to design the enhanced system and its processes, and to identify the necessary support for its successful implementation. At the end of the workshop, the participants are expected to have:

- Discussed and reviewed the existing system flows
- Determined the necessary changes and the personnel complement and documentary requirements
- Agreed on the streamlined system, and
- Expressed their commitment to the implementation of the redesigned system

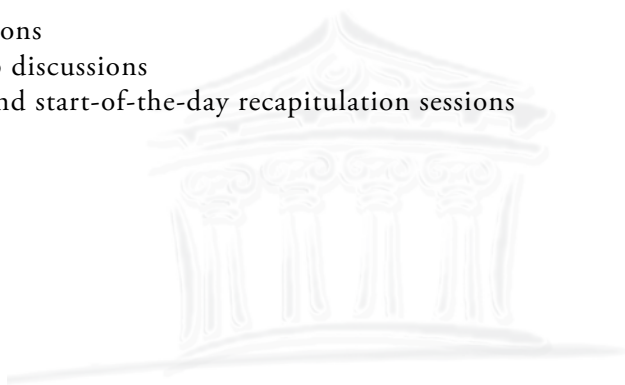
Participants

Target participants will be members of the TWG, staff of the various departments involved in the procedural reform effort, and other representatives from the private sector. A total of 25-30 participants are expected to attend the workshop.

Methods and Approaches

The following approaches will be employed during the conduct of the workshop:

- Brief inputs
- Interactive plenary discussions
- Facilitated break-out group discussions
- End-of-the-day synthesis and start-of-the-day recapitulation sessions



Process Flow

Day/Date Day 1	Topic/Activity	Activity Description/ Key Learning Points and Methodology	Expected Outputs
8:00 - 8:30	Arrival and Registration		Registration sheets filled-out and signed by participants
8:30 - 10:15	Opening Program <ul style="list-style-type: none"> • Invocation • National Anthem • Introduction of Participants • Welcome Message • Expectation Setting • Workshop Overview <ul style="list-style-type: none"> • Objectives • Schedule of Activities 	A presentation on the context of the workshop (expectations, objectives, schedules, and details of the activities)	Clear objectives and expected results after the workshop
10:15 - 10:30	Coffee Break		
10:30 - 12:00	Session 1: Defining the Existing Transaction Flow	Participants break out into groups by department, discuss their respective transaction flows, and represent them in flowcharts	Departmental process flowcharts drawn and discussed
12:00 - 1:00	Lunch Break		
1:00 - 2:30	Session 2: Defining Process Times, Staffing, and Documentary Requirements	Presentation of Summary Tables, Group brainstorming, Gallery viewing, Plenary discussion	Transaction process times, minimum personnel complement, and documentary requirements identified

Day/Date	Topic/Activity	Activity Description/ Key Learning Points and Methodology	Expected Outputs
2:30 - 5:00	Session 3: Designing the Streamlined Transaction Process (working break)	In groups, the participants discuss their suggestions for streamlining the transaction process in terms of steps to be added or deleted, standard response times, minimum documentary information, changes in organizational structure, plenary presentation, and discussion	Streamlined transaction process designed

Day/Date Day 2	Topic/Activity	Activity Description/ Key Learning Points and Methodology	Expected Outputs
8:00 - 8:15	Day 1 Recap	Facilitator-led recap of Day 1 activities	
8:15 - 10:45	Session 4: Crafting the Implementing Guidelines	Review of outputs of previous sessions, especially the Action Plan, group discussion on mechanisms needed for implementation	Enabling mechanisms for the implementation of the enhanced system
10:45 - 11:30	Session 5: Identifying the Next Steps	Plenary Discussion of subsequent activities and expression of commitments	Next Steps activities, roles and commitments
11:30 - 12:30	Closing Program		
12:30 - 1:00	Lunch		

FEEDBACK FORM FOR PERSONNEL INVOLVED IN THE BUSINESS PERMIT AND LICENSING SYSTEM

Respondent Identity

Name: _____ Age: ____ Sex: _____ Office: _____

Position: _____

Task/Assignment in the Process: _____

Phone Number: _____ E-mail Address: _____

1. Were you part of the Business Permit Renewal Process last year?
[] YES [] NO, Go to **Q4**
2. Was your assignment/task the same as last year's? [] YES [] NO
3. What changes/improvements were made in your particular assignment from last year's procedure?

4. When were you informed of your assignment/task? _____
5. Were you oriented/trained for your task? [] YES, When? _____ [] NO
6. Was there a meeting/orientation of all the personnel involved in the process?
[] YES, When? _____ [] NO
7. What are the problems encountered in the STEP/TASK assigned to you?

8. What are your recommendations to improve the STEP/TASK assigned to you?

9. What are your recommendations/suggestions to improve the business permit and license renewal process?

FEEDBACK FORM FOR DEPARTMENTS/OFFICES INVOLVED IN THE BUSINESS PERMIT AND LICENSE RENEWAL PROCESS

Name: _____ Age: _____ Sex: _____ Office: _____
Position: _____ Phone Number: _____

1. What were the documents (clearances, permits, etc.) requested by the business permit applicants in your office? _____

2. What is the legal basis for this document? _____
3. What are the requirements needed to acquire the document (clearances, permits, etc.)? _____

4. How many persons do you assign to prepare this document? _____
5. How long would it take to finish this document? _____
6. How much would it cost to acquire this document? _____
7. What are the usual problems encountered by the applicants in complying with the requirements? _____

8. What are the usual problems you encountered in preparing the document?

9. What best practices have you observed in the Business Permit and Licensing Renewal System in your city? _____

10. What are your recommendations/suggestions to improve the business permit and licenses renewal process? _____

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TAG TOOLS is a guide primarily for local governments planning to embark on a program of reform in their selected area or areas of concern. It outlines the steps of the reform process, offers tools that have been tried and tested by partner-local governments of the TAG project, provides practical tips for implementing procedural reform in local governments' programs and services, and describes good practices in the localities that have piloted such programs. While by no means comprehensive, it draws from the experiences of the TAG partner local governments and sums up the tools that were applied in their reform efforts.

