Participating in government budget decision making:
A resource for trainers

Contents

Acknowledgements

1.0   Introduction

How much and how governments decide to spend public money is important. These decisions affect all those in the community, and especially those who live in poverty and others who are disadvantaged.

Budget decisions by government can affect:

- access to health and education services
- the quality of roads and communication
- local and national economic activity, including access to paid work
- the environment, including those who live off of the land and sea.

In democratic countries, elections provide one way in which people can influence government decisions. However elections occur only once every three or so years, and it is easy to argue over what these results mean for many specific decisions that comprise the budgets of government.

Important to any healthy democracy are the ways in which people are given information about government decisions such as budgets, the ways people may be involved before decisions are made and how these decisions are actually put into action.

The International Budget Project (www.internationalbudget.org) in a recent report, 'Opening Budgets to Public Understanding and Debate: Results from 36 Countries' consider that the good practices in relation to government budgets include:

- Regularly release to the public significant amounts of information about the past years' budgets

- Issuing of public reports that monitor the budget while it is being implemented or evaluate the budget once the financial year is ended

- Take positive efforts to encourage public involvement in, and understanding of, budget debates.

This resource seeks to help those who are in a position to train people to understand how the budget of their country is created and how people can have a say about how budget decisions are made. It has not been possible to include in this resource information about specific countries and their budgets, and this work needs to be undertaken in each country in order to work using this resource.

Like any training resource, this one is best used by people who have had some experience, or preferably some education or training in how to train others. For those with experience in training, but who are self-taught, some hints and tips are given in the sections below that may help. It is also important that in delivering training, people who have a good understanding of a country's budget also be part of the training team.

Section 2 that follows provides a set of training resources for understanding, analysing and monitoring government budgets.

Section 3 provides some training resources to guide ways in which media, non-government organisations, and governments, may provide for consultation and advocacy in relation to budget decisions.

Finally section 4 provides a range of tips and advice on training preparation and delivery.

2.0   Budgets and budget analysis

2.1 Overview of budgets

Three areas of budgets and budget analysis are covered in the sections that follow; these are about identifying needs in the community (Section 2.2), understanding and analysing budgets to assess what they may do to address such needs (Section 2.3) and how to monitor budgets to see if the promises they contain are in fact delivered (Section 2.4).

Each section contains some notes providing an overview, followed by session plans and handouts. In many cases, this material will need to be adapted or have local content added (eg copies of parts of your government's budget).

It is often helpful in covering these topics to consider preparing a case study – that either you research and present or that may be the subject of a guest presenter. Most people find learning easier if it is like telling a story, with a beginning, middle and end, and along the way 'meeting' people and addressing challenges.

Issues to consider in identifying what case studies to use include:

- **Highlighting an area of training need.** Pick a topic(s) that your training needs analysis or preparation has identified as being of greatest need for training

- **Stories of success and learning from mistakes.** Try to identify a topic from which people can learn most, in general a 'success story' is best – people often learn best from examples of good practices. However, part of any real life story is learning from mistakes and these can be included as well. An ideal example for a case study might be of a non-government organisation that identified the need for budget funds, met with and lobbied government and was successful in getting funds, and then monitored how that was implemented.

- **Interesting or even controversial topic.** A topic that is controversial or about which opinions are divided can be good, as it will stimulate discussion and interest – but not so much that the debate diverts from the learning. If using such a topic, try to make sure all opinions are included and consider involving a good chair or facilitator for that session (see notes in section above).

Preparing a case study can include one or more of the following:

- **Interviews.** Interviews with several people, preferably each having a different point of view about a case (eg non-government, media and government etc). This would preferably be undertaken in person but might also be done over the telephone.

- **Document search.** A review of relevant documents such as notes of discussions, letters, government and budget papers. It is often easiest to start reading documents from some time ago and then work up to the present. Look for key people (for other interviews) and images (always useful to display during training).

See the notes in Section 4 below about presenters for a guide on how to turn information collected through such a case study into a presentation, group discussion or handouts.

2.2 How to identify needs

When studying the numbers and words that make up government budgets, it is easy to forget that government decisions and budgets are really about people and their lives. These decisions affect the economy and access to paid work, and therefore the ability of government to raise income to support access to education and health services, or for use and protection of the environment.

It is suggested that training about understanding budgets first makes clear what participants find important - what kind of economy and society do they want to have government decisions and budget help create? These kinds of questions do not necessarily result in certain, 'right' or 'wrong' answers. However, such discussions can be informed by evidence and informed discussion.

The session plan that follows is necessarily general in nature – different groups of participants, in difference countries, will have different needs that matter to them. It is therefore important that trainers do some homework here, for a case study (see Section 2.1 above) or collect information to given some detail and substance to this session.

Session title:	Identifying needs that budgets can address
Learning Outcomes:	At the end of the session participants will be able to: • understand how different values determine priorities for social and economic needs • understand different ways of measuring social and economic needs • appreciate the role of needs identification in supporting policy change • understand how budgets can be used to improve economic and social outcomes.
Activities:	• Individual brainstorm – participants asked individually to list their priorities for social change and poverty alleviation, post-its displayed and grouped to identify priorities • In groups identify key measures for particular social and economic issues, and match these to budget demands (using the handout provided) • Whole group discussion in response to presentation on the main purposes of budgets and their relationship to meeting needs.
Review:	Groups to report back on small group work, followed by discussion.
Handouts:	1. Identifying needs

Exercise: Identifying Needs

Form small groups of people who work in similar areas of interest, such as with similar groups (women, youth etc) or other areas (health, education etc.).

Each group should appoint a note-taker and:

1.   Identify a specific issue or problem that needs to be address through budget decision making to form the basis for this exercise – this should not be too general (preferably something like 'access to nurses at a village level' rather than 'improving health')

2.   Using the table in the handout that follows complete the details for this issues/problem (ie identify sources of information, what is known about the problem, desired targets and outcomes and options for budget decision-making)

3.   Return to the full group with the note-taker reporting on the discussion.

Handout: Identifying Needs

Issue/problem: *Example: Children dropping out of school early*			
Information sources	*What we know about the problem (including the short and long term costs of not fixing)*	*Desired targets/ outcome*	*Budget options*
Eg. • *School retention surveys* • *Youth unemployment rates* • *Youth crime rates*	*Eg.* • *X % of children don't go past year X* • *This compares poorly with regional averages* • *Risk of unemployment, crime highest for these children, contributes to lower productivity levels* • *Budget expenditure on education is low compared to other items and countries*	*Eg.* • *An increase of X% of children staying in school to X year, especially those from poorer families*	*Eg.* • *Increase government spending on education* • *Public campaign to encourage families to keep their kids at school* • *Scheme for poor families to subsidise school fees and textbooks*

2.3 Understanding and analysing budgets

Approaching a big stack of government papers that have a lot of tables and numbers in them can be frightening and confusing. To gain confidence in approaching these documents it helps to break the work down into 'bite-size' pieces of information.

The session before on identifying needs has, hopefully, meant that participants have gained focus on a particular area of government and budget decisions, and identified some measures for forming opinions about how we know when progress is being made.

An important topic that cannot be properly covered in this material is that of the broader economic environment and its implications for budget decisions. This is more than an entire course (or degree!) of study in its own right. However, some coverage is worthwhile if time permits.

Each country relies, to varying degrees, on economic activity such as agriculture (sometimes on a few specific commodities such as mining or particular exports of one or more foods) and the international price variations can have a direct impact on a budget. Development or aid funding can also vary and be important.

A guest presenter, such as an economist with a local university or even Treasury, may be suitable (see notes above about presenters).

This section and the sessions outlined below aim to help participants with the following:

• Understanding budgets, including decision making stages and key terms

• Analysing budgets, including how to identify major spending and revenue measures, how to assess changes from one budget to another and how to analyse the way that budgets have an impact on particular groups in the community.

Session title:	Understanding budgets
Learning Outcomes:	At the end of this session participants should: • understand the role of Parliament, Ministries and Departments in the budget process • appreciate the yearly range of functions performed by the bureaucracy on behalf of the Government in relation to the budget, including the key points of accountability • understand the stages of budget development and common terms used
Activities:	The main component of this session is a presentation
Review:	Following the presentation, there will be an opportunity for general questions and discussion, including identifying differences for different countries.
Handouts	1. What is a budget? 2. The Budget Cycle 3. Budget process and stages of development 4. Terms used in budgets and things to look for

Handout: What is a budget?

A country's budget is actually a set of accounts, usually done on a yearly basis (the financial year). It accounts for money collected and spent in the past year, and sets out plans for spending and collection for the next year. It is presented in a bill or bills, which need to pass through Parliament.

The budget tells us about the government's expenditure priorities, policies and plans for the next year and beyond. It should also tell us about past performance.

A budget is an instrument of national policy in a political, legal and economic sense. It has to balance competing demands for limited resources.

The key elements that describe the budget relate to income (revenue) and expenditure.

Public revenue is mainly derived from taxes. Expenditure is expressed in terms of 'measures' (public programs, policies, legislation).

Governments use budgets to do many things:

- As a planning tool – to set goals, estimate costs and expected outcomes

- As a control tool - to hold agencies accountable for planned revenue and expenditure

- As a fiscal tool - to provide economic stability and foster growth

- As a political tool – to help with prioritisation and targeted allocations.

Adapted from ISODEC Training materials (http://www.isodec.org.gh/)

Budgets relate to other policy and planning processes that the government undertakes and reflect a concrete expression of the results of these. Not everything costs money, but to achieve the goal of poverty alleviation, for instance, it generally will.

Budgets are critical mechanisms for ensuring the allocation and redistribution of resources and ensuring a chain of accountability over time. That is they provide a public record of intention and performance.

Income

Expenditure

Social and Economic policy
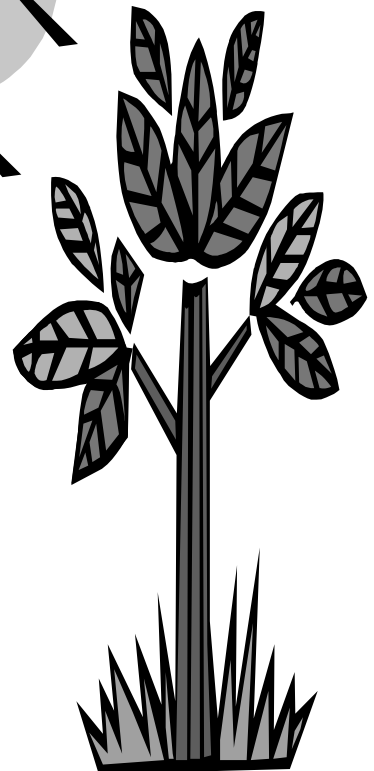
Society

Handout: The budget process and stages of development

The budget process is different in different countries, depending on the political and economic environment, legislative and constitutional factors, and the capacities of the government. Often the basis on which the budget occurs and what it covers is outlined in a country's constitution.

The extent to which civil society has been able to influence decision making and the budget process is also a factor. The resources available to civil society to do this are therefore critical.

Generally, budgets are considered to have four main phases:
- the drafting phase – from conception to when the budget is presented to the legislature by the executive government
- the legislative phase – until Parliament approves a budget
- the implementation phase – the period during which the funds identified are spent on public goods and services
- the audit phase – to give assurance that the funds were spent as required by legislation.

Drafting

Drafting the budget is a technical exercise. During this process one (or two) departments usually take on the task of coordinating the requests and inputs from other departments and Ministers. This department (usually the Finance Department) sets the basic rules and timelines for the budget. They receive and work through proposals and there is likely to be much going back and forth to departments. This process usually takes several months. Committees are also established to deal with the development of the budget, both in departments and across departments, as well as in Executive government (selected Ministers). Most budgets begin from a particular starting point, based on what is known about expected revenue, borrowings, economic growth, employment trends, and previous commitments still to be fulfilled.

Governments may give the public some indication about its broad priorities for the Budget, through consultation, election platforms or overarching planning documentation. However, the budget construction process is rarely a fully open one, even for departmental officials not in the key central departments.

Legislation

This phase starts with the presentation to the legislature (parliament) of the budget by the Executive (government), normally by the Finance Minister. It is usually accompanied by a major speech to the Parliament. The parliament then, over a prescribed period, discusses the budget and its elements in its role of oversight and law making. In many countries the opposition has a right of reply.

The legislature can make amendments to the proposed budget, or elements of it. This is rarely done. Nevertheless, the Parliament can play an important role in scrutinising the budget and asking questions about it, and in this way alerting the public to issues related to the budget.

Implementation

Once the budget is enacted into law, the implementation phase begins. This includes the roll out of measures, monitoring and control of public expenditure. Responsibility for this phase rests with the Executive through various Ministries and departments. Variations from the original intent of the budget can occur for many reasons. These include:

- changing policy priorities
- rapidly improving or deteriorating economic conditions
- inefficiency or corruption
- lack of clarity in the original 'measure'
- lack of capacity within and without government to closely track progress.

Audit

This phase involves the assessment and reporting of the previous year's budget. It can take two forms. First, the fiscal expenditure should be subject to review by a qualified independent body (for example, the Auditor General) and result in a public report within a certain time.

Second, accountability can be achieved through reports back to parliament and to the public, including through public hearings or inquiries open to the public. Civil society and the media also play a critical role in the audit process.

Handout: Terms used in budgets

Accrual accounting

Counting economic events and financial transactions as they occur and reporting in financial statements in the period to which they relate, rather than when a flow of cash occurs.

Deficit/surplus

Net revenue less net expenditure. If you spend more money than you have income you will be in deficit, if you spend less money than you have income, you will be in surplus.

Financial statements

Collective description of the statements of financial position (balance sheet), statement of financial performance, and statement of cash flows.

Fiscal Policy

Refers to overall budget policy, including whether or not a surplus or deficit is expected, loans sought or assets bought or sold and what impact these may have on economic or social well being (e.g. through the budget impact ton interest rates, inflation or employment levels etc.).

Expenditure

Money (estimated and actual) spent on specific measures over a specified period.

Forward estimates

Estimates of future revenue and expenditure in the event that no changes are made to policy, used as a basis for calculating how specific policy changes will affect the budget.

Gross domestic product (GDP)

A measure of the output produced by factors of production located in the domestic country regardless of who owns these factors (e.g. public or private). (see also GNP).

Gross national product (GNP)

A measure of the total income earned by domestic citizens regardless of the country in which their services were supplied. GNP equals GDP plus net earnings from abroad.

Outcomes

Measure of different dimensions of community and individual wellbeing.

Outputs

Discrete resources, services or products for a particular purpose.

Real terms

Estimates made taking into account the impact of rising prices on the purchasing power of money.

Revenue

Income (actual and estimated) over a specified period.

Unemployment rate

A common measure is the proportion of the population who are able to work and are looking for work but who are not in work.

Session title:	Analysing budgets
Learning Outcomes:	At the end of the session participants will be able to: • get key information from budget papers on revenue and expenditure items • adjust for inflation the real value of income and expenditure over time/across budgets • investigate budget decisions and their impact on particular groups such as women and those in poverty
Activities:	• The session will begin with a presentation on budget analysis • Whole group exercise sharing of analytical skills and experience of participants and analysing key elements of a budget with reference to mock budget • Small group work analysing specific parts of the budget from a poverty/gender framework
Review:	Presenter will review the session through question and answer with the group.
Handouts	1. Identifying major budget spending and revenue 2. Comparing budgets over time 3. How to adjust expenditure for inflation over time 4. Doing a 'People' Analysis of Budgets

Exercise 1: Identifying major budget spending and revenue

Purpose:

To locate major and overall revenue and expenditure items in the budget papers and perform calculations to inform your judgments about their importance.

Tasks[1]:

Looking at the budget papers provided, answer the questions below. Your answer can be provided in the table that follows.

1. Calculate whether the government will be short of money (deficit) or have money left over (surplus) at the end of the 2004/05 financial year.

2. How much was spent in 2004 on *debt interest payments* and what % was this of all *expenditure* (spending)?

   - What are the implications for budget planning?

3. How much was collected from *Personal and company income taxes* in 2004 and what % were these 2 items of all *revenue*?

   - What proportion of the population is likely to pay these taxes?

4. Which groups of people would be likely to benefit from government assistance in this budget?

---

[1] Note this exercise is best undertaken using actual government budget over two years. Trainers should secure these as appropriate, most likely available from government Treasury. However, a 'mock' or sample budget is provided if needed.

Calculation Tables

Item	Spending in 2004-05
Interest payments and fees	
Total expenditure and net lending	
% of total expenditure	%

Item	Revenue in 2004-05
Personal income tax	
Company tax	
Total revenue and grants	
% of total revenue	%

'Mock' or sample budget overview

Estimated Revenues

Selected Revenues	2004/05 $ millions
Income tax	109.0
Company Tax	22.9
Wholesale Sales Tax	15.6
Excise Duty on petrol and oil	9.7
Other not included above	5.6
Total revenue	**162.8**

Estimated Expenditure

Expenditure for Selected Departments and Programs	2004/05 $ millions
Communications, Information Technology and Culture	0.6
Defense	11.8
Education Training and Youth Affairs	0.1
Environment and Heritage	0.1
Family and Community Services (include welfare)	25.0
Foreign Affairs and Trade	1.0
Health and Aged Care	23.2
Prime Minister	0.8
Veterans Affairs	7.5
Debt repayments	32.5
Other not included above	65.1
Total expenditure	**167.7**

Exercise 2: Comparing budgets over time

Purpose:

To locate program spending and budget measures of interest in the budget papers, comparing one year to the next.

Task[2]:

Looking at the budget paper provided, consider the following question and complete your answers in the tables that follow.

1. Find out the amounts spent in 2004 and 2005 on two programs of interest to you

2. Identify one new budget policy in the budget under each of the 3 headings below:

   - The good
   - The bad
   - The uncertain

---

[2] Note, as with the previous exercise, this one is best undertaken using actual government budget over two years.

Program	Spending in previous budget year	Spending in this budget year	Increase in spending
1.			
2.			

Budget measure	Description	Effects on our constituency	Cost in current budget year
The good			
1.			
The bad			
2.			
The uncertain			
3.			

Exercise 3: How to adjust expenditure for inflation over time

Purpose:

To work out whether spending on areas of interest to you has increased or fallen in real terms (ie adjusted for inflation over time)

Tasks:

1. Read the instructions below.

2. Practice applying these by performing the exercise that follows.

Instructions:

Example

If:

> The Government spends $100 in 2004 and this buys 10 food parcels, and

> Over the next year inflation is 10%, then

> The same $100 spent that next year (2005) will only buy 9 parcels.

Using this example, the calculation for adjusting for inflation involves the following steps:

1. The 2005 spending amount ($100) is multiplied by 100, this gives $10,000.

2. This is then divided by 100, plus inflation rate as a percentage (in the example 10%), ie divided by 110.

3. That is 10,000 is divided by 110, which gives us 90.9.

In other words with inflation running at 10%, $100 spent in 2004 is worth only $90.90 in 2005.

The formula, or calculation for this adjustment is:

$A \times 100/(100+i)$

Where:

> A = amount provided for in the last year that you want to adjust for inflation

> i = rate of inflation expresses as a percentage.

1. Find out the amounts spent in 2004 and 2005 on two programs of interest to you.
2. Identify from the budget papers the rate (percentage) of inflation (estimated or actual) from 2004 to 2005.
3. Convert the spending for 2005 into 2004 current value using the adjustment formula.
4. Subtract from this the amount spent in 2004 to find out the overall 'real' increase or decrease in funding allocation.

Program	A Spending in 2004	B Spending in 2005	C Spending in 2005 (in 2004 currency value) [=B x 100/(100 +inflation)]	C-A Real increase in spending (in 2004 currency value)
1.				
2.				

Exercise 4: Doing a 'People' Analysis of Budgets

Purpose:
To provide a guide to analysing budgets as they affect particular groups in a community.

Tasks:

1. Read the instructions below.

2. Follow the steps provided to conduct an analysis of budget information as it has an impact on a group of interest to you.

Instructions:

There are many ways to analyse budgets. Most budgets have their information organised around the sources of income (eg from taxes or aid) or ways in which funds are expended (eg via different departments such as education or health, transport etc.).

Another way to analyse budget is to be 'people-oriented'. For example budget information can be looked at in terms of how if affects different groups in the community, such as women, young people, those living in poverty etc. If budgets do not already present information in these ways, then it will require some work to conduct such an analysis.

A people-oriented analysis of a budget attempts to answer the question – Who benefits?

Look to make your analysis in three key ways:
1. Direct and group specific measures
    *   Budget allocations that deal specifically with a group of interest to you e.g. funding for women's emergency accommodation, school or sport funding for young people, food parcels for poor people etc

2. Equal opportunity or affirmative action measures
    *   These can include budget allocations to deal with inequalities that exist between people, for example special programs to encourage women into senior leadership roles in the public service, or youth employment programs

3. Mainstream funding
    *   Assess the potential impact of general or mainstream budget allocations e.g. a government that borrows money from overseas to build a port facility is likely to benefit adults (mostly men and, indirectly, their families) who may benefit in terms of paid employment in the short term; overall such infrastructure may help an economy if demand for such a facility is long-term; debt for such activity is a burden for future generations. Some understanding of the impact on people's lives of different activities of government is needed for such analysis.

2.4 Monitoring budgets

Session title	Monitoring and evaluating civil society participation in budget formulation
Learning Outcomes	At the end of the session participants will be able to: • understand why Budget monitoring is important, and the different levels of monitoring that can occur • understand the role of government in monitoring budget outcomes • define the role civil society can play in monitoring budget expenditure • develop practical steps to ensure government policies are being delivered, including through budget spending

Activities	• Large group discussion on monitoring budgets – why we need to monitor, whether and how monitoring occurs in your country, does the current system work?
	 • Participants in small groups will look at different questions and report back:
	   – How can civil society be better equipped to monitor budget outcomes?
	   – What can government do to foster better monitoring?
	   – How can communities be empowered to monitor budget outcomes?
	   – How can civil society work better with governments to monitor budget outcomes?

Review	Facilitator will sum up and seek feedback
Handouts:	1. Following through on the Budget – implementation and monitoring issues 2. Monitoring budget check-list: SCACOO

Handout: Following through on the budget – monitoring what happens

Policies may have good or bad effects. They may not be able to be implemented in the ways they were intended. They may not have been implemented at all! It is necessary to know what happens once the budget and the policies that accompany it are passed in order to know its impact. It is only by monitoring what happens that it is possible to tell whether a policy is good or bad or needs to be changed. In particular we need to know whether the people most in need got the resources that they were promised and that measures were effective, for example in alleviating poverty or improving the situation of women.

Monitoring requires systems that people can actually use. These allow governments to show that their policies are working and allow the public more generally to see when they are not.

Policy is often translated into actual activities on the ground by having resources allocated to it. This can occur through the national budget process. *The national budget process itself provides a number of opportunities for monitoring.*

At Budget formulation

Governments start putting together the budget for any one year, close to the end of the previous financial year. Already at this early stage, decisions are being made about the level of resources to be allocated to various programs and sectors, as well as those that honour previous commitments.

Advocating for transparency at this early stage is important. It is also a time to be lobbying, both formally and informally on budget content, structure and focus, priorities and programs or projects that may be under threat. Sometimes this can happen through formal pre-budget consultations between civil society and governments, which are becoming more common.

Many countries are moving to activity and output based budget formulation rather than simply line items on expenditures. For example, instead of teacher training having a total amount attached to an expenditure line item, the amount might be based on an expected output – e.g. the number of teachers trained to a certain standard over a certain period (e.g. three years). This allows a much better starting point for monitoring and encourages a longer term perspective for investment.

Civil society groups with common interests can also get together to decide on and cost out priorities to put in a united way to government, and potentially develop public campaigns around an issue so that support is built up in society more generally. Taking a systematic approach to this process can identify resource gaps that countries can use to lobby for matched donor funding.

Certain groups of issues of concern to civil society might also usefully be brought together under one umbrella in the budget – e.g. an anti-poverty strategy. This approach has both benefits and disadvantages and it can be difficult to form an overall view. For example, on the positive side, such a focus (on an anti-poverty strategy) can give attention across the spectrum of government activity on particular social issues and may help in better coordination between departments and build support within government to influence departments not directly involved. However, it can also serve to sideline social policies from the mainstream economic agendas.

Good practices by government actually encourage civil society organisations to be involved in budget decision making, responding once these are made and monitoring these after they have been implemented.

Analysis of budget after presented

After it is presented to the parliament, the budget is subject to debate. This offers an opportunity for civil society to input and to put governments on notice that they will be held to account for the outcomes. But it means quickly coming to grips with the basics of the budget. The key tools for advocacy at this time are:

- using allies including other civil society groups and academics to develop and agree on your analysis

- working with parliamentarians, including budget and finance commit-tees, giving them your perspective and analysis of the budget

- using the media to highlight good or bad aspects of the budget.

During implementation

Monitoring budget *inputs* refer to the actual appropriation, whether or not the actual money has been received as revenue and checking whether it has left the Treasury to go to the relevant program or Ministry. Sometimes, too, budget items might be funded by de-funding other important programs. To find this out it is important to ask questions and to put these in writing where appropriate, or to use contacts in parliament to raise concerns about the flow of resources. Advocating for timely and accurate information about the flow of money is important, although in most cases this does not occur, and figures that are often released are some years out of date, and of doubtful quality.

Outputs are what the resources are allocated to and translate, on the ground, to things such as grants to organisations, or new programs to support child literacy, or additional forms of financial assistance for poor families. It is important to track the rollout of resources, and the processes that are attached to it – who is getting what?

Outcomes relate to population level changes that might be attributed to a new measure, e.g. the number of children staying in school due to new subsidies for fees. Macro level data will rarely tell us how effectively a measure is working

and you may need to lobby for, or undertake yourself, separate surveys to find out the causal links. If an outcome of a program is good, such evaluations will help justify future funding.

After Budgets

Good practices by government also involve preparation of reports on how the policies and programs of budget are performing. This can include an audit to assess if money is actually spent in areas decided upon and the output and outcome for these.

Handout: Monitoring budget check-list SCACOO

SCACOO is short hand for the key points in monitoring budgets:

1. **Starting points** – **know the budget parameters[3]**

2. **Commitments** – **know what was promised**

3. **Audit processes** – **understand formal monitoring processes**

4. **Currency** – **follow where the currency or money goes**

5. **Outputs** – **follow what happens on the ground and what gaps there are**

6. **Outcomes** – **follow who benefits and in what way**

---

[3] Such as inflation rate, projected employment/unemployment, deficit/surplus, debt repayment burden etc.

3.0 Strategies for consultation and advocacy

3.1 Overview of strategies for consultation

Some, but not all governments follow good practice and provide ways in which community groups, interest groups and even individuals in a community can have input into government and budget decisions.

Every government has different traditions and practices regarding citizen participation. The particular ways in which your government does, or does not, encourage or structure input from citizens and groups might usefully be the topic of a presentation during training, for example by a government minister, Treasury or government department officer.

Some criteria by which to judge participation methods by government include:

- Are key dates by which input is needed clearly identified and sufficient time given for you to prepare your input?

- Are you given, in advance of participation, information that is:
    - provided in advance of your needing to give input
    - accurate
    - easy to follow and use.

- Finally, once your input is given, are you listened to? This might not just mean that government decides all that you ask for (although this is one measure) – do they respond giving reasons for their decisions that are fair – e.g. governments have many demands and yours may have to be balanced against these.

Even when governments do provide opportunities for input, many civil society organisations, such as those which are concerned about poor people and others disadvantaged in the community, find it hard to be heard when business and other more powerful interests are competing for attention and resources. In this real world environment it is important to plan and be thoughtful about the way you approach the task of exercising influence over the budget decisions of your government.

This section deals with planning tools (Section 3.2) to help you prepare in advance what and how you may exercise influence. Work with the media (Section 3.3) can be a powerful, but sometime controversial method of exercising influence. The section (3.4) on ethics and advocacy provides a guide to how to avoid pitfalls and problems.

3.2 Planning and consultation tools

The session plan and handouts that follow cover a range of possible planning tools – there are many others around so you should not feel confined to these. Use those that participants (or you) are most familiar with and build on that.

Planning is an important way of:

• making sure people know in advance what they want, how to get there, and knowing when they have arrived, so they can move on!

• being most effective with limited time and resources,

• being accountable to the people and communities you represent.

Session title	Strategic planning for budget participation
Learning Outcomes	At the end of the session participants will be able to: • appreciate the steps in developing a strategic plan for advocacy in relation to the budget • develop a plan
Activities:	• Presentation on strategic planning overview ('hitting the mark') and including SWOT (Strength, Weaknesses, Opportunities, Threats) and stakeholder analysis • Small group work to do a SWOT analysis and stakeholder analysis, develop plans for advocacy on specific issues (with link back to the Identifying Needs session) and present back to larger group. • Discussion of case study (if relevant)
Review	The facilitator will sum up and seek feedback through question and answer
Handouts:	1. Hitting the mark 2. 'SMART' Objectives 3. Overview of strategic planning for advocacy 4. SWOT and Group exercise 5. Stakeholder analysis and group exercise 6. Action Plan Sheet

Handout: Hitting the mark

1. identify the problem

8. monitoring evaluation

2. know the facts

7. build support, mobilise

3. identify options and objectives

6. plan and deliver your message

4. know the stakeholders, threats, opportunities

5. identify target groups
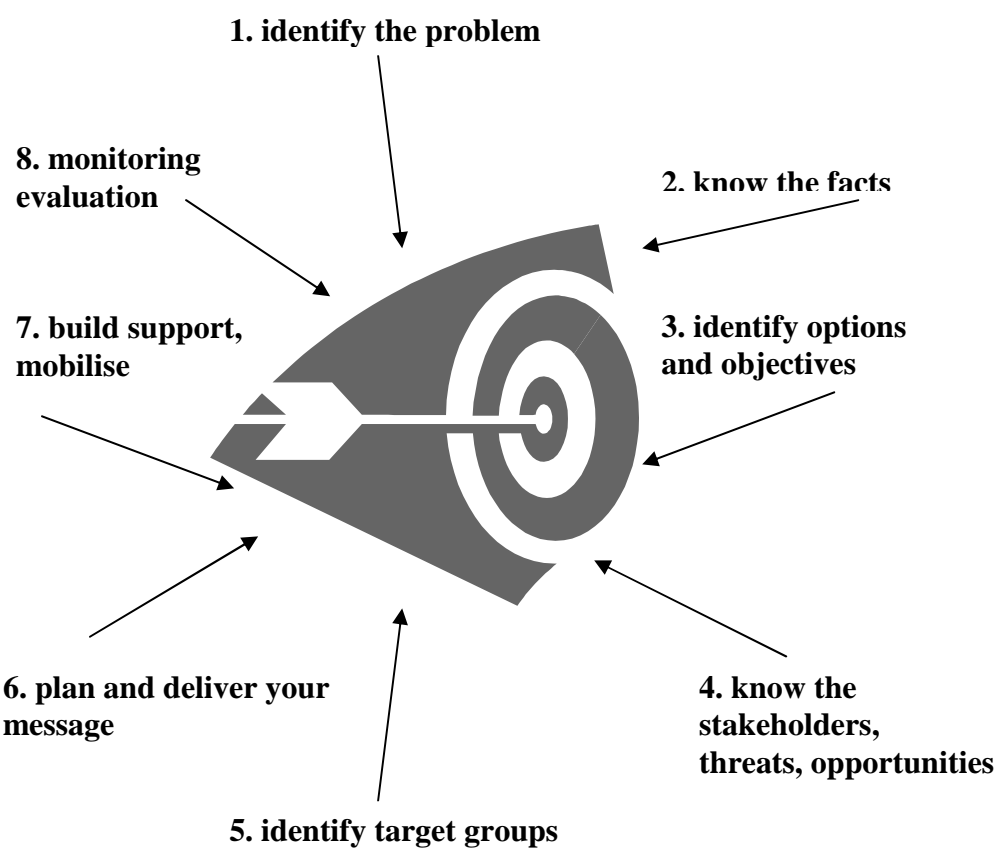
Handout: 'SMART' Objectives

A 'Goal' is a long term result of your efforts.

An 'Objective' is a short term target that helps you achieve your goal.

When setting Objectives, use the 'SMART' criteria by which to judge them, that is:

Specific

Measurable

Achievable

Realistic

Timely

Handout: Overview of strategic planning for advocacy

'Step' is the action you plan to do.
'Actors' are the target of your action.
'Opportunities' are things in the environment that could help you, as well as critical points of time leading up to the budget.
'Threats' are things that could undermine you.

Our group's issue for budget reform is:

Step	Actor	Opportunities	Threats

Handout: SWOT Analysis

SWOT stands for:

Strengths
Weaknesses
Opportunities
Threats

It is a way of first organising many factors that can seem complicated and then using this structure to help you think of ways of achieving your aims.

Begin by defining your objective. In relation to your objective, list the major strengths and weaknesses of your organisation or networks that share your goal. In relation to your goal, list the opportunities and threats that the environment presents (ie external factors that are largely beyond your immediate power to control). Identify the major threat or weakness that you believe acts as a barrier to achieving your goal.
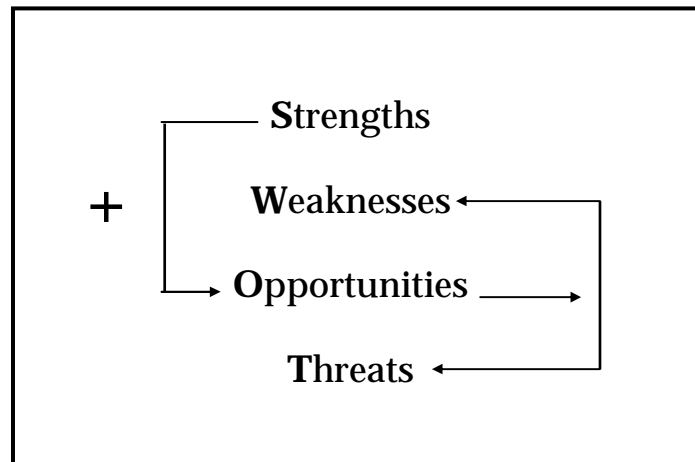
A SWOT analysis should lead to the identification of *strengths* that can be used to exploit *opportunities* in order to address a *major weaknesses or threats.*

SWOT Small group exercise

What is your budget or policy objective?

List in the table on the following page the strengths and weaknesses that your organisation (or other networks that support you objective) have.

List the environmental threats and opportunities in relation to your goal.

Identify one major threat or opportunity that you believe is a barrier to achieving your goal.

Develop a strategy based on using your strengths to exploit opportunities in order to counter or address this major threat or weakness.

Strengths

Weaknesses

Opportunities

Threats

Handout: Stakeholder Analysis

Stakeholder analysis is a tool commonly used in public policy advocacy. It may be used along with other techniques or may stand alone. As its name implies, stakeholder analysis is a method for identifying those who have an interest or position (or stake) in relation to an objective. This analysis aims to develop an understanding of the orientation of stakeholders to your objective and then assist in identifying strategies to affect the orientation of stakeholders. The steps involved in a Stakeholder analysis are:

1. **Clearly define your objective** for advocacy.

2. **List all stakeholders** - those levels of government, Departments, non-government organisations, businesses, key individuals who may or do have an interest in the objective or those who may benefit or be affected by its implementation.

3. **Allocate stakeholders** according to whether they are *positive* towards your objective, *neutral* or likely to be *negative* or opposed.

4. **Develop strategies** which seek to neutralise negative stakeholders, shift neutral stakeholders to being positive and which reinforce or makes more active the support of the stakeholders who are already supportive. Be realistic, don't pretend that stakeholders who have interests opposed to the objective can quickly or easily (or ever) become supportive.

5. **Implement and evaluate the strategies.**

The diagram that follows represents the key features of stakeholder analysis.

Stakeholder Analysis

	Positive	Issue Neutral	Negative	Strategy Aim
Stakeholder 1	**X**			Reinforce
Stakeholder 2	←——— **X**			Make positive
Stakeholder 3		←——	**X**	Neutralise

Stakeholder analysis group exercise

Begin by defining your objective. In relation to your objective list as many stakeholders as possible, including those who may not be engaged with what you want to achieve, but whom you might be able to interest in involving.

Identify one stakeholder who is neutral about your objective, and brainstorm ways in which you can make them interested and supportive of your objective.

Identify one stakeholder who is opposed to your objective, and brainstorm ways that you can neutralise their opposition to your goal.

Handout: Action Plan Sheet

Use the table below to map out an action plan based on exercises undertaken so far. Identify what activity will be undertaken, what human, financial or other resources are needed and who will be responsible for action as well as will this will be acted upon.

Activity	Needed resources (e.g. people or money)	Who is responsible to act on	When to act on

3.3 Working with the Media

One of the strategies that non-government organisations can employ to exercise influence on governments is to work with the media. Most governments are sensitive to such steps, as sometimes such work can seem to be critical of governments. However, work with media is a legitimate tool that community organizations have at their disposal and can and should be considered if planning work is undertaken to give confidence that it is likely to bring about a desired outcome.

Media often work to very tight deadlines, and can vary in the amount of time they have to give to complex issues. This is a topic that can lend itself well to a presentation by, for example, a working or retired journalist.

The session plan and handouts that follow provide some detailed steps that can be followed in working effectively with media.

Session title	Media as a tool for advocacy
Learning Outcomes	At the end of the session participants will be able to: • identify the various ways the media can be a useful tool for advocacy • understand when it can be a liability • develop a media strategy and press release
Activities	• Brainstorming and general discussion • Small group work to write a headline paragraph for a media release based on information provided.
Review	Facilitator to sum up and seek feedback
Handout	1. Key Steps in preparing a media release and related advocacy 2. Making News Workshop: The Professional Media Release Checklist 3. Suggested Do's and Don'ts of media work 4. Media Release Exercise 5. Key messages of a media release

Handout: Key Steps in preparing a media release and related advocacy

Listed below are a range of steps suggested to follow and questions to consider in preparing to work with media.

Step 1: Construct a Story

- what's your key objective?
- what's the impetus or hook?
- prioritise your audiences
- what's the 'spin' i.e. the key fact(s) or news that highlights your objective.

Step 2. Understand journalist needs

- deadlines are tight
- gathering information fast and crafting it into a story
- give simplicity, good angles, clarity
- editors have the final say, you are competing with others, news of day, space
- news formats
     press, radio or TV
     hard news
     opinion
     information or 'soft' news
     human interest
     specialist
     radio sews bulletins
- fast turn around — be accessible
- short sharp comments
- strong stories run for about four hours - weaker stories for less
- TV and print tend to listen to radio
- radio can be tailored to your audience.

Step 3. Media releases

- newsworthy
- concise and clear
- relevant to the media's audience
- limit your media release to one page
- date and embargo
- contact
- avoid jargon
- limit abbreviations
- an introductory paragraph with key message and five Ws—who, why, what, where and when?

- **The Body of the Media Release**
  Inverted Pyramid:

  Main point/story summary
  Very Important Point
  Important point
  Secondary point
  Minor point
  Any other
  detail

Step 4. Pitching the Story

- develop relationships
- internal systems
- handle enquiries
- distribution/fax systems
- general rules
  use a Media Alert, Release or Backgrounder
  timing is all important
  early in the week is best
  early in the day is best
  from 6am for Radio
  before 11am for Press
  from 9am for TV (besides early news)
  put out a release in slow news times in the year (Xmas) or week (eg release on a Sunday for embargoed until the Monday)
  will you give one journalist or media out let a scoops or exclusive story?

Step 5. The ABC of Interview Technique

- **A**nswer
  a brief response to the actual question
- **B**ridge
  a way to bring in your prepared statement. For example, "Yes, but I think the real issue is …."
- **C**ommunication
  make your statement

Other Elements

- repetition
- simple messages
- series of news/events
- ebb and flow of news cycle
- use letters, opinion pieces, go local, form alliances, use gimmicks

Using Individuals in Stories

- freedom of speech
    - by exercising people can achieve a positive outcome
- duty of care
    - explain risks, anonymity, third parties such as children?
- privacy
    - check with people directly before giving out contact details
- manage the media
    - presents well, audience sympathy?
    - radio vs TV vs press (photos)

Handout: The Do's and Don'ts of Media work

Governments and politicians can be very sensitive to media work. They often feel that as they are (in many cases) the elected representatives of the people, others who are not elected are not as important or justified in commenting on public policies and government decisions. However, most countries accept that citizens have a right to freedom of speech, and that work with the media is legitimate.

Often media work is undertaken to tight deadlines and under pressure. Sometimes journalists will report what one person has said to another – and this can mean that statements are taken out of context or in other ways lose their meaning (sometimes less than professional journalists may distort what has been said in order to create a controversy and therefore generate more news).

Listed below are a few 'rules' – do and don't – that are suggested to be followed:

- **Be evidenced-based in your approach.** The sections of this resource have been designed to give you skills so that you can measure the needs in your community and identify how budgets do or do not meet these. You are most likely to be credible by using such evidence; as far as possible stick to the facts. Evidence can include individual stories or anecdotes (but keep in mind that people have a right to privacy, see the next section on ethics)

- **Be emotional but don't get personal**. Expressing your strong and honestly held feelings can come across well in media, especially radio and television, but try to stick to the policy and don't get personal about people who have different views. Most people in public office take pride in their work and they can be offended if personal accusation are made or implied; in some countries there may be the risk that they can take legal action.

- **Be non-partisan and non-party political.** At all times, but especially in the lead-up to elections, being critical of politicians can be interpreted as being partisan – that you are trying to help out one politician or political party over another. This can be very dangerous to reputations and to the ability to work with governments. It is a good idea to work with all political parties in an ethical way, 'be helpful' and try to suspend your own personal preferences; if you are a spokesperson it is a good idea to avoid saying things and being in situations that might be seen as biased.

Handout: The Media Release Checklist

Check that the following are part of a media release:

- Heading

- An introductory paragraph that contains:

  Who

  What

  Where

  Why

  When

  How

- Is it newsworthy?

- Does it contain the facts?

- Does it answer all the questions?

- Are the facts and figures accurate?

- Are jargon and abbreviations limited?

- Is it concise and clear?

- Date and embargo

- Contact details

Handout: Media Release Exercise

Rewrite a lead and second paragraph of a media release from the following information sent to a local newspaper.

> We believe neighbours can be of valuable assistance to the police and in our town we are carrying out this aim.

> Neighbours have helped the police this year with the help of a neighbourhood watch program whereby any strange people seen in the area are challenged and where necessary the police are telephoned.

> Some people initially did not want to take part or were not convinced that it was workable, but there were enough people to carry out the experiment.

> A police inspector reports that after three months the breaking and entering in the district conducting the experiment was down by 48%.

> We still need more participants. Perhaps you could publicise this for us? It would be much appreciated.

On the page that follows summarise the three key messages you want to get across in your release.

Three Key Messages

1.

_____

_____

_____

2.

_____

_____

_____

3.

_____

_____

_____

3.4 Ethics and advocacy

Session title	Ethics and advocacy
Learning Outcomes	At the end of the session participants will be able to: • understand the range of ethical issues for civil society around budgets and policy processes • develop protocols for handling ethical issues in relation to budget advocacy
Activities	• Large group discussion on ethical issues people have confronted • Small group work, in 'affinity' groups (eg of non-government, public service people together); give different case scenarios each in relation to issues of privacy and confidentiality, conflict of interest, partisanship in advocacy, misconduct or fraud, rights to freedom of information. Discussions to focus on scenarios, what, if anything is wrong with these situations, how to respond and how to promote ethical practices and prevent improper behaviour.
Handouts	Ethics – group discussion topics
Review	We review on whiteboard key ethical issues different people might face and how these can be approached.

Scenario 1:   Ethics and Advocacy

You are an NGO running a campaign to secure more funding for a service you deliver to vulnerable women affected by domestic violence. A journalist rings to ask you for the contact details of someone, who has used the service, whom they can interview for a human interest story.

Questions:

What, if any, conduct is not ethical in this situation?

How would you respond?

What might have been done, if anything, to prevent the situation from arising? (e.g. protocols)

Scenario 2:   Conflict of interest?

You work in the public sector administering a program that funds non-government organisations. A new service has applied for funding and your husband/wife is on the NGO's Board.

Questions:

What, if any, conduct is not ethical in this situation?

How would you respond?

What might have been done, if anything, to prevent the situation from arising?

Scenario 3:   Political influence?

You work for an NGO which has been trying to secure funds to keep afloat. You receive a call from a member of the Minister's Office, saying that they will support funding for your agency in the next budget, if you are not vocal about an issue that is currently running in the press and which looks bad for the government.

Questions:

What, if any, conduct is not ethical in this situation?

How would you respond?

What might have been done, if anything, to prevent the situation from arising?

Scenario 4:   Political Interference?

An election is coming up. You are a public sector official responsible for making grants to support primary schools. You are approached by a member of the Minister's Office to look favourably on a submission for funding for a school in a particular electorate where the vote could go either way.

Questions:

What, if any, conduct is not ethical in this situation?

How would you respond?

What might have been done, if anything, to prevent the situation from arising?

Scenario 5:   The right to know

You could be a non-government organisation worker, in the media or a public servant. You become aware of a research report that the Government has commissioned that shows that the government's water policy and related practices are making people sick. You learn that the government does not intend to release the report and in fact has requested that officials deny that the report exists.

Questions:

What, if any, conduct is not ethical in this situation?

How would you respond?

What might have been done, if anything, to prevent the situation from arising?

Scenario 6:   Corruption?

You work in an organisation that delivers meals to homeless people and families. You have a feeling that someone in your organisation is forwarding part of the grant money you receive to a business interest they are connected to. The business does have a program to provide job opportunities to unemployed homeless people.

Questions:

What, if any, conduct is not ethical in this situation?

How would you respond?

What might have been done, if anything, to prevent the situation from arising?

4.0   Preparing for training

4.1 Overview to training

This section aims to give you some practical guide to the training process. If you are a qualified or experienced trainer there will not be many surprises here, but hopefully some reminders will be helpful!

Obviously many trainers have their own preferred ways of approaching the learning challenge, often developed to suit different cultures, or training participants with varying levels of experience, education and training. The skills, knowledge and experience that you as a trainer have developed in your own environment will be more relevant than a general resource such as this. You will need to use your own judgement in adapting this resource.

Section 4.2 that follows provides an outline for the conduct of a training needs analysis, and while ideally this would involve some research, to help those who may have limited resources some 'quick tips' are also provided.

Sections 4.3 and 4.4 provide you with tips and advice on different training methods based on your research of needs.

Sections 4.5 covers issues associated with assessing training and evaluating your input to training.

Finally Section 4.6 covers some administration issues you might like to consider when organising for the delivery of training.

4.2 Needs assessment and training needs analysis

The key objective of a needs assessment is to identify the competencies that are needed most by potential training participants. In addition this assessment may also identify other needs that may not be best addressed through training (eg for more open government or for physical or financial resources to support participation in budget decision making).

A training needs analysis builds on a needs assessment by:

- Expressing the needs for training in terms of learning outcomes

- Providing a learning profile of potential participants

- Identification of the best ways of providing training and assessment of training

It is possible to give a great deal of time to conducting such a study. For example, the training needs analysis that lead to the development of this resource involved the conduct of 45 interviews and small group discussions with over 60 people based in government, non-government organisations and media in Fiji and PNG.

Many users of this resource may not be able to do much research on the needs for training. However it is important before jumping into the delivery of training to pause and devote at least *some* time and effort to ensure that the training you do deliver meets needs, is aimed at the right group(s) and actually delivers what is expected. Otherwise all your efforts may be wasted!

Listed below are some ways of conducting a training needs study, ranging from low to high in terms of the time and effort needed. These include:

- **Identify other needs research undertaken and talk to experienced trainers.** Talk to other trainers and see if they can share their own training needs research or experience with you. As there may not be specific research relevant to government budget training needs, make your search and questions as relevant as possible, for example, based on the needs of participants that may be the same (government, non-government or media people), or training content that is similar (consultation by government about program, rather than budget decisions).

- **Do a quick study by telephone.** Target a few people across some areas and with different abilities or interests, call them by telephone. Ask questions of them that identify their *demonstrated competencies* – for example, it is better to ask 'When did you last read a government budget paper and make a written submission to government based on this?'

rather than 'Tell me about your involvement in government budget decisions?' The first question is linked to specific, demonstrated competencies (analysing budget papers and making a submission) and is more likely to get a clearer picture of a person's actual skills than the second question, which, being general in nature, is likely to get an 'expected' response.

- **Interviews in person.** One-on-one, face-to-face interviews with people at their place of work are an ideal way of collecting information. Together with small group discussions (see below) this technique tends to get the richest source of information. If you have the time, sample people across a range of areas (eg government, non-government, media) and with varying skills or interests in budgets (low, medium and high-level involvement). Prepare your interview in advance with some questions (see box item for suggestions of questions). The key things to remember is that during interviews you want the person to do most of the talking, not you.

- **Small group discussions.** Ideally small group discussions involve between about five and nine people. The membership of such groups should not be too different (eg they might all be from non-government organizations; avoid, for example, mixing government, non-government and media people together). Use broad opening questions to get people started in discussions, for example, 'how important do you think government budgets are?' 'How are you involved in decision making?'

Needs assessment and training analysis: Sample interview questions

"How are you (personally or as an agency) involved in promoting or trying to influence government policy work?" *Prompt, if they do not offer, to identify specific budget participatory processes they have engaged in or budget outcomes they have sought to influence.*

"In undertaking your own policy work do you have a way of involving *(members/clients/others)* a formal process for consultation?"

"Have your read the government budget papers?"

"What barriers do they think exist – in your agency, with your own skills or from government, media or society generally - to there being more participation in budget decision?" *Ask for specific examples of this.*

"How do you go about advocacy or lobbying?" *Ask for specific example of this eg lobbying MP's/Ministers, meeting with Departmental personnel, work with other NGO's, raising issues in the media*

"Who among your networks do you consider to have a good reputation for lobbying/advocacy?"

"Thinking about any training you have done in the past few years, which was the best? How was this training provided to you?" Prompt to explain why?

From information collected, you should seek to present this to address the following questions:

- How can you define these training needs in terms of learning out-
  comes or demonstrated competencies?

  Defining learning outcomes is essential. It is a way of describing what it is that participants in training can expect to be able to do competently once they have completed the training. Typically competencies are identified as a fit between the skills, knowledge and attitudes of people for a particularly set of tasks. These competencies should be *demonstrated* or proven and this is a function of assessment (see section 2.10 below). The box 'Budget analysis competencies identified' presents a set of competencies developed for this resource.

- What areas of training needs are greatest?

  By focusing on the competencies that people do (or do not have) you should be able to identify the areas for greatest need. In many situations and cultures people are reluctant to admit that they have not or cannot do some tasks, hence the focus in questions proposed above on those compe-tencies that have been demonstrated. Even seemingly straight forward

needs should not be over looked such as: Do people know when key budget decision are taken or consulted about by government? Do they know how to get hold of budget papers?

- What are the characteristics or types of people who will undertake your training?

Imagine that you are briefing a trainer who is new to this area. How would you describe the people who will undertake this training? Are they mostly from government, non-government and/or the media? What are the ages and gender of participants likely to be? How, if at all, might the different groups for training understand one another and get on in a learning environment? For example, what might these differences mean for group exercises and discussions during training?

Budget analysis competencies identified

Four competency areas are identified for analysing government budgets. The learning outcome and competency components for each are:

1. Identifying needs

Learning outcome

At the conclusion of training participants will be able to identify, define and measure social and other needs that can or should be addressed by government budgets.

Competency components

Attitudes:
> Being explicit and self-aware about values such as addressing poverty or reducing discrimination
> An open mind and an evidence-based approach to the identification of needs.

Knowledge:
> Of social and economic needs, the levels of need, changes over time, their causes and how these can be prevented and addressed.

Skills:
> An ability to collect and analyse relevant information.

2.   Analysing Budgets

Learning outcome

At the conclusion of training participants will be able to identify and measure the ways in which governments, through their budget decisions, address (or not) existing needs as well as improving and addressing new and emerging needs.

Competency components

Attitudes:
>   Value precision and an eye for detail
>   Objectivity.

Knowledge:
>   Of processes of government, policy and budget decision making
>   Knowledge of the needs to be addressed (see above)
>   Familiarity with budget and policy documents and trends over time.

Skills:
>   Basic skills in mathematics
>   Analytical skills, particularly those relating to implementation of public policy decisions, economic and social factors and changes over time

3.   Communication and Advocacy

Learning outcome

At the conclusion of training participants will be able to identify ways of effectively expressing to government, other stakeholders and, as appropriate, in public and through the media, views about the extent to which budget decisions address social, economic and other needs.

Competency components

Attitudes:
>   Non-party political and non-partisan approach to exercising in-fluence, having a focus on the people and communities who should benefit from government decisions
>   An open approach to sharing and building networks.

Knowledge:

>   Knowledge of budget decision-making processes, ways of partici-pating in these and of media and lobbying.

Skills:

> Strategic planning skills – when to use what communication and advocacy strategies for which issues
> Good social, networking, training and communication skills

4.   Review and Evaluation

Learning outcome

At the conclusion of training participants will be able to identify and implement ways of reviewing and evaluating their own efforts to participate in and influence budget decision making

Competency components

Attitudes:
> Honesty and self-awarenes
> Willingness to accept criticism and comment.

Knowledge:
> Understanding of the different factors and players that impact on budget decision making.

Skills:
> Analysis of public policy and budget decision making.

4.3 Training methods

The out put from the needs assessment and training needs analysis is a definition of the learning needs for participants in terms of their knowledge, skills and attitudes. In turn these can affect:

- training methods used
- how long the training will take
- what subject matter should be included, or excluded.

Based on the analysis you need to make decisions about *how* to conduct training.

The sections that follow outline some options and issues to consider for using different training methods. These sections include:

- a summary about ways or styles of learning
- brainstorming exercises
- working in pairs and groups
- ways of using presenters, facilitators and other helpers.

Ways and styles of learning

The box below summarises experience about how much is learnt based on different ways of learning.

We learn:

10% of what we read
20% of what we hear
30% of what we see
50% of what we see and hear
70% through discussion with others
80% through personal experience
95% of what we teach to others

Some trainers talk about 'learning styles' as a way of thinking about ways of learning. An auditory learning style refers to learning by hearing, for example an address by someone knowledgeable, and this may be more active by allowing for some discussion, questions and answers. A visual style of learning can include reading of material about a topic and might be more dynamic or interesting if information is presented in a video, overhead or using a Power Point presentation. A kinaesthetic style of learning involves actually doing a task, often in a workshop within training and/or activities undertaken after a formal training session and as part of actual work.

Many people have *preferred* learning styles. The questions suggested above for the training needs analysis include asking possible participants how they learnt something well as a guide to this issue.

Most people learn best by using all learning styles for acquiring a competency. This might involve hearing a speaker make a presentation, followed by discussions; reading a handout during or before training about some competency and then seeing someone actually perform it (either 'live' or on a video) as well as a workshop or other opportunity to actually perform the task themselves; identifying existing competencies within a group, pairing someone 'good' with someone 'not so good' and having one train or mentor the other.

One variation on the use of learning styles (that also incorporate repeating as a way of remembering) is:

- Trainer does it as usual

- Trainer does it slowly

- Trainer and participant do it together

- Participants does it alone, the trainer gives feedback

On occasions you will not have the time and resources to apply all ways of learning to all the competencies sought. In these cases, decisions have to be made about where the greatest needs for training lie and how to prioritise these.

Ways of Learning
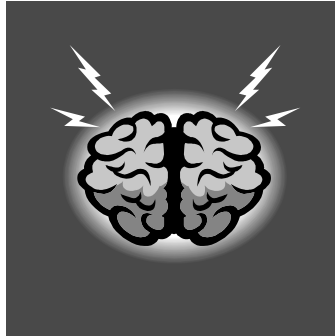
Auditory: *Hearing*

Visual: *Seeing*

Kinaesthetic: *Doing*

Brainstorming

Discussions, or brainstorming, among training participants can be a useful way of stimulating learning.

Brainstorming is also a great way to share ideas and possible solutions to problems. Common brainstorming methods are:

Chaotic Brainstorming

The facilitator poses a question/problem to the group. People call out ideas/solutions. The facilitator records these on board/paper. This process has few rules. Ideas can be evaluated or prioritised later.

Brainstorming in rounds

This helps to avoid 'group think', where people may knowingly or not follow, copy or paraphrase the thoughts and ideas of others. The facilitator poses questions to the group. All participants are asked to write down as many ideas as they can. After a few minutes, going round the room each participant is asked for their first suggestion, which is recorded on the board. This is followed by other rounds where new suggestions are recorded and previously reported ones get an extra tick against them. This helps to begin the process of prioritising ideas.

Brainstorming privately

This avoids 'group think' and allows participants to record their ideas without having to call them out. The facilitator provides post-it notes or paper to participants before posing a question. Each person writes ideas on as many notes as they have ideas. The facilitator collects the ideas and sticks them on the board around the question. This can be used to prioritise and consider more than one question at a time.

Working in pairs or groups

Working in groups can be a useful way of actually 'doing' a competency – it is like much 'real' work, which is mostly undertaken with others rather than alone. Working with others in pairs or small groups also has the advantage that more people can be contributing to discussions whereas in one large group, normally only one person at a time contributes.

The table below outlines a few types of pair and group methods for facilitating discussions.

Group type	Description
Pairs	Two people share ideas, feelings on a given topic. Trainer sets topic and timing
Rotating pairs	Two people share ideas. After a set time trainer asks people to move to a different topic. Can be done with two rows of chairs facing each other and all move one chair at a time.
Group discussion	Allows for the pooling of knowledge, experience and ideas in the joint exploration with learners of a problem or scenario. Facilitator encourages discussion and guides it.

Working with presenters, facilitators and other helpers

Bringing together the right team for delivering your training will be important. There are a number of advantages, and some disadvantages, to different roles during training.

Some of the advantages of taking the effort to include others as part of your training team include:

- Providing additional expertise, knowledge, networks or different perspectives

- A different voice, style or approach to learning can help keep the attention of participants

- Using different presenters as part of sessions that have different ways of learning can help by giving a 'signal' to participants in training that their involvement should change, for example across presentations, small group work or workshop activities.

Some of the disadvantages of bringing in others as part of training may include:

- Such people may not understand about training, often giving 'passive' presentations – you may need to give time to brief them and work with them on session plans

- Different people can give different opinions, and while this may be useful for facilitating discussions, some participants might be left wondering who, if anyone, is 'right'

- If people are not experienced as presenters, they can sometime take longer than planned to run through a session.

There are a number of things you can do to maximise the benefits, and minimise the weaknesses, of bringing in others to help with training.

The first thing to do is to be clear what role someone will provide in your training. Some different roles, and issues to consider in someone performing these, are outlined on the following pages.

Trainers

A trainer is someone who possesses:

- demonstrated training skills, and

- specific competencies for an area in which participants are to be trained (such as needs analysis, budget analysis or strategic planning and advocacy etc).

You might use a trainer to:

- provide a change of voice and approach

- add to the training styles you and your team apply.

Such contributors will be valuable for you. They might be supported by:

- sharing with them your training needs analysis (see above)

- providing them with a session plan or session plan outline (see sections below) for them to use

- checking with them what facilities and equipment they want to use, or if they need any handouts copied.

Presenters

You might use a presenter to:

- cover a topic about which you have limited knowledge

- go over a topic that is important

- cover a topic about which there are different views (eg by using several presented in a panel).

Typically a presenter is someone who:

- has a great deal of information or knowledge in an area, or in other ways is competent and expert (eg in budget analysis or decision-making processes)

- can present information in an interesting way that keeps the attention of participants

- holds a position or has a reputation that means that participants know of and/or respect them.

Ways of supporting a presenter include:

- Provide them with notes about the session (in plain language, but not as a session plan) including details such as the total length of an address (including any specific time for questions and answers), details about the number and background of people attending, where and when the session will be held

- Meet with them, if possible, face-to-face prior to the presentation to go over the notes

- Check and see if they have any handouts to be copied or needs for equipment.

Rapporteurs

You might use a rapporteur:

- To listen to a presentation or discussion and respond with an alternative or reinforcing view or to summarise a presentation

- if the main presenter is comfortable with someone responding to their view (avoid using this role if it may give offence to a presenter).

A rapporteur is someone who:

- has good listening skills and is able to 'think on their feet and respond to someone else's presentation

- is knowledgeable and credible in the area that they are responding about and for the participants (they may be one of the participants)

- is respectful of other people different views.

They may be supported by:

- giving them a briefing on the presentation and presenter that they will respond to

- introducing them to the presenters and encouraging them to prepare together

Facilitators

You might use a facilitator:

- conduct a group discussion, in particular for a topic about which there may be different or strongly held views

- if time is limited, conduct a workshop that involves work in part and/or small groups followed by reporting back to the full group.

Typically a facilitator is someone who:

- is good at getting people involved in discussions and workshop activities

- is confident and a good listener – they will encourage others to participate and know how to work with participants who dominate discussions.

Support for facilitators might include:

- a briefing on the discussion/workshop topic, time allowed and format

- briefing on the people to be involved, their views (if known) and identifying any shy or dominant participants (if known)

- checking to see if they have any handouts to be copied or needs for equipment.

Chairs

You might use a chair to:

- open a training program or introduce a presenter or panel of presenters

- facilitate discussions. They may be distinguished from a facilitator in that a chair often manages a large group where it is difficult to ensure participation by most or all participants.

A chair may be some one who:

- is known and respected

- is able to introduce people and events with a 'sense of occasion' or style

- can fairly include people when they wish to ask questions but also keep a group discussion within time.

Support to a chair can be provided by:

- giving them notes about the person(s) and session that they will introduce

- letting them know if anyone else at the session should be acknowledged or thanked

- letting them know the time limits, number and background of people and if there may be any strongly different views to be aware of.

Note-takers

A note-taker can be used when:

- discussions are unique – key points are not available elsewhere and you want others (outside of the training) to be able to get access to these

- discussions are likely to lead to decisions being taken and you want these recorded.

A note-taker should:

- have good listening skills in particular being able to identify key points and people to record (rather than trying to record all points from all participants)

- have good writing skills.

Support can be provided by:

- giving them a briefing before the session about the topics to be covered

- ensuring they have the equipment and facilities they need (eg a good table, computer etc)

- ensuring they can be relieved by someone else; or the session breaks about every 30 minutes or less, for about 5 to 10 minutes (to prevent injury from constant writing or typing).

4.4 Standard sessions and plans

The use of session plans is a way of ensuring that you, or other trainers that you bring to work on your training, are clear about what is to be achieved in a session and in what ways.

The following page provides a standard outline or template of a session plan that can be filled in for use for almost any session. The sections that follow below provide session plan outlines for a number of standard sessions, whilst that in Sections 3 and 4 below provide session plans for specific sessions for budget analysis and participation. Sometime session plans such as these may be given as handouts to participants. They can also act as a check-list for trainers.

It may be useful in preparation to think of training sessions as having three parts:

- **Opening**

This is where you introduce the session, explain what the session is about and what participants will be involved in doing, as well as how they will be assessed.

Body

This is the main part of the session and involves a step by step approach to the learning – these should be in small, 'easy-to-digest' parts. Pause from time to time to ask participants questions to see how they are following what you do. Activities, such as small group work etc, are undertaken here.

Close

Here you may repeat the main point(s) to be learnt, reinforce and congratulate participants on what they learnt and explain how this session fits with the previous and next sessions.

Throughout the delivery of training is it useful to work at keeping the attention of participants. Some ways of doing this include:

• changing the tone or volume of your voice or the pace at which you speak

• using images – photographs, cartoons or diagrams (rather than words) on an overhead or via Power Point presentation

• Using appropriate humour.

> ### *Be positive, give participants feedback as they progress*

Session number, day/time details:	
Session title:	
Presenter:	
Chair: Rapporteur: Note-taker:	
Learning Outcomes	
Activities	
Session Review/Assessment	
Material needed	
Handouts	

Opening session

Session title:	Opening address and introductions
Learning Outcomes:	At the end of the session participants will: • Understand the purpose of the workshop, including the overall learning outcomes • Know where other participants and facilitators are from, what they do, a little of their backgrounds and what they hope to get out of the workshop • Understand the housekeeping issues for the training, and who to talk to about different issues • Understand how the workshop program will progress and the materials that will be delivered • Be aware of the workshop protocols, sessions, timing issues and large and small group work
Activities:	The facilitator will welcome participants and, following an opening remarks, prayer or ceremony introduce the aims and objectives of the workshop. These will be described within the context of its anticipated outcomes. Each participant and training facilitator will introduce themselves to the group The facilitator will also set out the main housekeeping issues, protocols and rules, and other issues
Handouts:	1. Final workshop program 2. Overall learning outcomes for training (see example next page) 3. List of training participant names and contact details
Review:	The facilitator will sum up

Example budget workshop learning outcomes

By the end of the workshop, participants should be able to:

- identify measures of social, economic and other needs

- understand the main components of a budget and the social, economic and other factors that influence budgets, key terms and how budgets decisions have an impact, and how policy development relates to budgets

- understand how budgets are prepared, the role of government and other agencies, key periods for decision making and when influence may be exercised about budget decisions

- develop a technical ability to analyse budgets and an ability to monitor budget expenditures and the outcomes that result

- develop effective ways of working with other non-government organisations, government and media, as well as other strategies to impact on budget and policy decisions.

Training Program Outline

Title of Workshop:

Presented by:

     Name of presenter/presenters, organisation

Day/time and location of training:

     Include a map and/or guide to parking or public transport

Workshop Learning Outcomes:

Training Schedule

Session by session heading, give times and day (or days, if applicable), name trainer(s) and/or presenters for sessions (if applicable)

Information about trainers, presenters and/or participants

Trainers and presenters' names and brief background
Identify participants either directly (e.g. by name) or indirectly (e.g, from non-government, government or media organisations)

Give a contact name and details for someone whom participants or presenters can call if they have any problems (eg finding the venue, if pull out etc)

Housekeeping details

Note if lunch, tea/coffee will be provided. Indicate if the training is free or at cost (if at cost please see the notes at the beginning of this resource concerning prior permission to use this material).

'Getting to know' you, exercise I: Introducing others by pairs

Ask participants to form pairs, but with someone they do not know, or someone they know less well than others.

Once the pairs are formed each should answer the following questions:

Their name
What organisation they are from
Why they are at the training
Identify any special skills they possess
What is their place of birth
What is their favorite hobby

One person in the pair will then introduce the other to the participants when they form back into a larger group.

'Getting to know' you, exercise II: Sharing experiences and interests

The facilitator will engage participants in a general discussion on their experiences of the budget process:

- The participants will break up into mixed groups (eg of people together from NGO's, media and/or government) to discuss their different experiences with budget processes and priorities for alleviating poverty

- Groups will nominate a person to report back to the large group on discussions

Ice-breaker exercise I: Drawing by description

Everyone gets a partner. One partner draws and the other person describes what is to be drawn. The first pair to complete the picture ACCURATELY wins! There are two rounds.

(Round One)

Have one person describe a random, 'silly' picture to their MUTED (cannot talk) partner who must draw what is being described to them without being able to see the picture. The muted partner can only follow instructions, not ask any questions on their own (verbally or nonverbally).

Ask the partners to discuss, or lead a discussion on:

A.   What was not said that needed to be said?
B.   What was the most effective description given?
C.   What would have made the communication work better?
D.   What situations in life are just like this exercise?
E.   How can you improve your listening? communicating?

(Round Two)

The activity is repeated (with a different picture) with the drawers being able to ask questions. You may wish to have the partners switch roles for the second round.
Ask the partners to discuss, or lead a discussion on:

A.   Were the pictures more like the original this time?
B.   What was different? What worked?
C.   Where were there still places to improve?

Ice-breaker exercise II: Pig personality profile

Here's a fun personality profile activity that can be used to start or finish any number of training sessions.

Supplies: paper and pencil per participant.

Ask participants to, on a blank piece of paper, draw a pig.
The pig is of the animal variety.
Instruct participants NOT to look at their neighbor's pig.
Do NOT give any further instructions.
Do NOT influence how the pigs are drawn.

After participants complete the assignment, explain that their drawing will serve to interpret their personalities (of course this is not true, but the aim of this exercise is to have some fun and get to know people, including by discussing 'personality').

Results

If the pig is drawn toward the top of the paper you are a positive and optimistic person.

If the pig is drawn towards the middle of the page you are a realist.

If the pig is drawn toward the bottom of the page, you are pessimistic and have a tendency to behave negatively.

If the pig is facing left, you believe in tradition, are friendly, and remember dates and birthdays.

If the picture is facing forward (towards you) you are direct, enjoy playing the devil's advocate, and neither fear nor avoid discussion.

If the pig is facing right, you are innovative and active, but have neither a sense of family, nor remember dates.

If the pig is drawn with many details, you are analytical, cautious, and distrustful.

If the pig is drawn with few details, you are emotional, naive, care little for detail, and take risks.

If the pig is drawn with four legs showing, you are secure, stubborn, and stick to your ideals.

If the pig is drawn with less than four legs showing, you are insecure, or are living through a period of major change.

The larger the pig's ears you have drawn, the better listener you are.

And last but not least . . . the longer the pig's tail you have drawn, the more satisfied you are with the quality of your sex life.

End of session reviews

It is useful, at the end of each discrete training session, to conduct a review. This has a number of benefits, you can:

- reinforce the learning that has taken place by repeating key points;

- congratulate participants on their learning

- check with participants if they have any further questions or comments.

The section that follows covers issues of assessment that may also be undertaken toward the end of a session (eg distribution of an exercise, with responses to be submitted by participants after the training).

The final session

The very final session of a training workshop serves a similar function, but on a wider scale, to the review time at the end of particular sessions ie it gives an opportunity for the trainer to repeat and reinforce learning. In addition however, it is useful for the training or a key presenter to identify what participants may need, or have agreed, to undertake by way of follow up. Key actions points might be listed.

4.5 Assessing training

The first step in assessing training is to revisit what it was you and participants wanted to learn in the first place - what were the learning outcomes you set of yourself at the start?

Learning is considered to have been achieved when people can *demonstrate* that they are competent.

What kind of assessment will depend on the kind of competency that needs to be assessed, as well as on the time and resources available for assessment. Generally the more complex a competency, the more likely that more time and effort will be required to assess it.

Some options for different kinds of assessment that may be undertaken include:

- **Questions and answers** – most suited to assessing discrete areas of knowledge (eg where government budget papers can be found or deadlines for policy submissions)

- **Written test** – most suited to competencies that are mostly knowledge based (eg adjusting the value of money over time for inflation)

- **Demonstration or exercises** – often suited to competencies that are skills based (eg writing a media release)

- **Role play** – suited to competencies that are complex, involving a mixed set of skills, knowledge and attitudes (eg responding to media questions)

- **Actual performance** – suited to competencies that are complex or that require access to other people and facilities not readily available during training (eg for advocacy and strategic planning). Often undertaken following training and involving actual performance of tasks at, for example, a place of work.

Those who conduct assessment can vary depending on who is available, who is best qualified to do so and the level and complexity of a competency area. Options for who does assessment include:

- **Self-assessment** – this can be useful to compare a self-assessment report with a more objective one (eg by someone else) or for a competency area of relatively low importance – sometimes the person them self is the only one able to make such an assessment

- **Peer assessments** – this is where another participant in training, or a co-worker, assesses the performance of a trainee. When using these methods it is important to provide to the peer assessor a clear guide to what to look for

- **Employer/trainer assessment** – this is where someone who has both a demonstrated competency in the area and the ability to assess, conducts such an assessment, usually in the workplace or of an actual performance or role play.

The pages that follow provide a session plan for a final training session involving some discussion of the training and completion by participants of a questionnaire about the training (a basic form for this is provided below).

In many cultures people are unwilling to be critical, and it can seem strange prompting people to be critical of work we have done, but this is a way of making sure we get better at what we do.

Session title	Workshop evaluation questionnaire completion
Aim	Assess the usefulness of the pilot workshop and to suggest improvements for the future Key areas to be covered: Content Process – how facilitators designed the program and the various sessions Timing and pacing – was enough time allocated to sessions Facilitators – their approach, methodology, and general manner Logistics – food, accommodation
Activities	Completion of evaluation questionnaire
Handouts:	Questionnaire

Sample workshop evaluation questionnaire

General:

1.   How do you rate the workshop overall? Please tick

Excellent	Good	Average	Poor	Very poor
☐	☐	☐	☐	☐

Comments:_____

_____

2.   What areas would you like to change or improve and why?

Comments:_____

_____

3.   Quality of the presenters overall?

Excellent	Good	Average	Poor	Very poor
☐	☐	☐	☐	☐

Comments:_____

_____

4.   Quality of the facilitators overall?

Excellent	Good	Average	Poor	Very poor
☐	☐	☐	☐	☐

Comments:_____

_____

5.   Quality of the resource material/handouts?

Excellent	Good	Average	Poor	Very poor
☐	☐	☐	☐	☐

Comments:_____

_____

6. Quality of the facilities (eg the training room)?

Excellent	Good	Average	Poor	Very poor
☐	☐	☐	☐	☐

Comments:_____

_____

7. The length of the workshop overall

Too long	Too short	The right length
☐	☐	☐

Comments:_____

_____

8. Any other general comments?

Comments:_____

_____

_____

_____

_____

_____

Rating of individual sessions:

Session title (name of facilitator/presenter):

Quality:	Excellent	Good	Average	Poor	Very poor
	☐	☐	☐	☐	☐
Length:	Too long	Too short	The right length		
	☐	☐	☐		

Comments:_____

4.6 Administration issues for training

Something that is true about training and events is that regardless of how well you prepare, your dynamic use of equipment and facilities and despite your engaging and funny style, someone will always complain about the food!

Getting some of the issues of administration right can ensure a pleasant environment, access to needed facilities and prevent some issues from being a distraction.

Distribute to participants, in advance of the training, the following:

- a detailed program for the training (see above)

- clear directions of how to find the venue, including where to park or how to access public transport (this is important if people have not attended the place of training before)

- ask participants to complete and return a registration form that confirms attendance (including payment if needed), asks if participants have any access needs and asks about diet requirements[4].

Preparation by you in advance of training can include:

- a visit to the venue of training, particularly if you have not used it before; are there spaces for work in pairs and small groups?

- checking that you have the equipment needed by presenters and trainers – this might include: white board, large sheets of plain paper (and markers of the right kind), overhead projector, computer and data project (if using Power Point), pieces of paper or post-its, pens. It is often useful to have a venue that has access to a photocopier

- arrival at the venue in advance of the starting time to set up and test the equipment you need, arrange tables and chairs if needed, check that the kettle is on!

- if you are using a caterer let them know of any diet needs (see above), if you are using them for the first time, try their food in advance

---

[4] Asking about a person's disability such as if they use a wheelchair or have hearing or vision problems, or asking them about diet requirements such as if they are vegetarian or follow a religious dietary restriction, could feel like discrimination to someone. It is best to just ask about diet or access needs, without directly prompting about such possible reasons.

- checking that you have sufficient photocopies of handouts.

Administrative and organising work best undertaken during training can include:

- soon after the training sessions starts (eg just after an opening address, prayer or welcoming remarks), make some housekeeping announcements, for example where the women's and men's toilets are, where tea and coffee may be had, ask people to check that their mobile telephones are off, explain any 'rules' of the venue (such as not smoking) or rules for training (eg not interrupting others, encouraging everyone to be positive and contributing to discussions)

- distributing among participants a list of those present, asking them to provide or update contact details

- make sure your program has breaks for morning and afternoon tea and lunch – don't take up theses time when running late, breaks are important.

After the training has finished:

- wait around as some participants will want to talk about the training and may have questions that they want to ask individually (if you can't wait ask them to call or visit you).

- some sessions, such as workshops or a final review and closing sessions, result in action agreed. It can be helpful to distribute after training a note about who agrees to do what and by when

- if assessments are to be handed in, or workplace assessment undertaken after training, try to complete these soon after the training.