**http://www.intosaiksc.org/html/images/logo.png**

**CITIZEN/CSO EXPERIENCE DOCUMENT**

**Citizen Participation in Public Audit**

|  |  |  |  |
| --- | --- | --- | --- |
| Project leader: | Guatemala | | |
| Project vice leader: | Philippines | | |
| Project members : | Afghanistan | Bangladesh | Bhutan |
|  | Denmark | European Court of Auditors (ECA) | Iraq |
|  | India | Maldives | Myanmar |
|  | Nepal | Pakistan | Suriname |
|  | Uganda | Zambia | Latvia |
|  | South Africa |  |  |

The Research will cover various SAI’s experiences on engaging/partnering with citizens/civil society in the performance of their mandates/functions and the legal and technical bases for these engagements/partnerships; and, country experiences of their citizens/civil society on organizing, pushing for their advocacies, obtaining logistical support, engaging/partnering with Government Entities, including SAIs, and meeting challenges they encountered.

**CITIZEN/CSO EXPERIENCE DOCUMENT**

**Previous information for application of the questionnaire:**

Recipients of the questionnaire: Civil Society Organizations (CSO) / Citizen Organizations

**Checklist for application of the questionnaire:**

1. Identify the Citizen / CSO Organizations.
2. Obtain the contacts of the representatives / leaders of the Organizations identified.
3. Conduct a familiarization of the Citizen / CSO Organizations, to identify those that have (or could have), participation in the audit process in the Superior Audit Institution (SAI).
4. Choose based on the characteristics, regulations and legislation of the country (national reality), the questions that will make up the survey. **Questions 3, 5 and 13** are obligatory. The SAI can add or remove questions from the questionnaire, as long as it is not indicated as a mandatory question. In this case, the SAI must agree to adjust the numbering of the questionnaire.
5. The SAI is allowed to adapt the elements of the questionnaire. The fields in red must be adapted obligatorily. However, the SAI can also adapt other terms of the questionnaire to its national reality, when necessary. Care should be taken not to change the content (meaning) of the question.
6. Send the questionnaires to the representatives / leaders of the Organizations. Only one response is sought per CSO Organization; that is, the institutional positioning with respect to the questions listed.
7. After 2 weeks, send a reminder requesting the answers if the questionnaire has not been answered.
8. Having received the questionnaires duly completed by the SCO Organizations, the answers should be tabulated and consolidated, sending the information to the Leader and Vice lider of the investigation for the final consolidation.
9. Be aware of the need for an extension or feedback of the topics studied, by the Leader or Vice lider of the Research.

**[SAI name]**

Dear Mr /Mrs,

The **[SAI Name]** is conducting an INTOSAI[[1]](#footnote-2) Knowledge Sharing Committee (KSC) Research Study on the country experiences engaging/partnering with citizens/civil society participation in the Public Audit Process and other activities of the SAIs. As a result, this questionnaire is part of an international work among 17 countries, which is being coordinated by the Supreme Audit Institutions (SAIs) of Guatemala and the Philippines.

Consequently, based on **[indicate** **regulations of each country],** your collaboration is requested in order to complete the attached questionnaire, as well as to know your opinion on the actions carried out by the SAI of your country in the matter of the Public Audit.

Therefore the importance of having such information, we respectfully request you to supply this questionnaire, duly completed, until **XX / XX /** 2018 **[calculate an initial term and a planned extension time. At the end of the initial term, an extension communication can be used as a "reminder". Two weeks are suggested for the first term, plus two days for the extension]** counted from the date of receipt of the delivery note **[insert reference]**

For any questions or queries, please contact the following emails **[insert electronic mail (s)]** or by telephone to the following numbers: **[insert telephone numbers].**

**QUESTIONNAIRE**

**COUNTRY EXPERIENCES OF THEIR CITIZENS/CIVIL SOCIETY ON SAIS AUDIT PROCESS RESEARCH**

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| 1. What ´s the commitment/participation level of the Organization that your represent with the SAI in public audit process? (see description attached 1)   Please choose the options that apply (may be more than one): | |
|  | Informer |
|  | Opinion maker |
|  | Decision maker |
|  | Other (s). Which? |
|  | I have not been informed yet |
| Comments or observations: | |

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| 1. Does the Organization that you represent have any participation in the process stages of Public Audit of **[SAI Name]**?   Please choose only one of the following options: | |
|  | yes |
|  | No |
| Comments or observations: | |

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| **OBLIGATORY QUESTION** | |
| 1. Does the Organization that you represent, have participation (or would be interested in participating) in some process stages of the **[SAI Name]** described below?   Please choose the options that apply (may be more than one): | |
|  | 3.1 CITIZEN PARTICIPATION DURING THE PLANNING PHASE |
|  | a. Annual participatory planning |
|  | b. Thematic workshops |
|  | c. Citizen complaints |
|  | 3.2. PARTICIPATION DURING THE AUDIT |
|  | a. Participatory audit |
|  | b. Other strategies and practices during the audit execution phase  Describes: |
|  | c. Use of accountability strategies |
|  | 3.3. PARTICIPATION DURING THE DISSEMINATION OF AUDIT REPORTS |
|  | 3.4. PARTICIPATION IN THE FOLLOW-UP OF THE RECOMMENDATIONS |
|  | Other (s). Which? |
| Comments or observations: | |

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| 1. Which is the process stage (previous question), do you consider that citizen/civil society participation has the greatest impact to obtain better results and benefits in your country? |
| Comments or observations: |

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| **OBLIGATORY QUESTION** | |
| 1. When your Organization was invited by **[SAI Name]**, were you asked what kind of commitment / participation in the existing Public Audit processes?   Please choose only one of the following options: | |
|  | Yes |
|  | No |
| Comments or observations: | |

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| 1. Is there a legal mandate that allows your Organization to involve in the Public Audit process?   Please choose only one of the following options: | |
|  | Yes |
|  | No |
| If your answer is “yes”, detail the legal mandates: | |

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| 1. Does the Organization that you represent promoted regulations that allow you to get involved in Public Audit process?   Please choose only one of the following options: | |
|  | Yes |
|  | No |
| If your answer is “yes”, detail:   1. **The regulation(s) that your organization promoted**   **b) How does your Organization promote this regulations** | |

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| 1. Do you consider that the **[SAI Name]** has adopted actions to involve your Organization in Public Audit process?   Please choose only one of the following options: | |
|  | Yes |
|  | No |
| If your answer is “yes”, detail this actions: | |

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| 1. Do you know what your Organization role in public audit?   Please choose only one of the following options: | |
|  | Yes |
|  | No |
| Comments or observations: | |

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| 1. Does the Organization that you represent, participate in public audit processes to enable the **[SAI Name]** to be more efficient and effective in performance its mandates/functions?   Please choose the options that apply (may be more than one): | |
|  | Capacity building / skills development |
|  | Data / information collection |
|  | Participation in audits (civil auditors) |
|  | Review of reports |
|  | Other (s). Which? |
|  | No have information |
| Comments or observations | |

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| 1. Has your Organization identified areas for strengthening of **[SAI Name]** functions, which would be involved with your sector?   Please choose only one of the following options: | |
|  | Yes |
|  | No |
| If your answer is "yes", please describe the areas / areas identified by your Organization. | |

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| 1. Does your Organization have established structures or mechanisms to discuss and deal with issues related to public audit (for example, commissions, working groups, etc.)?   Please choose only one of the following options: | |
|  | Yes, we have a **formally** structure / leadership mechanism established |
|  | Yes, we have an **informally** structure / leadership mechanism established |
|  | No, but we are defining a structure / leadership mechanism |
|  | No |
| Comments or observations: | |

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| **OBLIGATORY QUESTION** | |
| 1. Does your Organization have initiatives related to Public Audit processes you’re your organization could do jointly with the **[SAI Name]**?   Please choose only one of the following options: | |
|  | Yes |
|  | No |
| Comments or observations: | |

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| 1. **Only answer this question if you answered "yes" to question 13.**   What are the initiatives related to Public Audit processes that your organization can do jointly with the **[SAI Name]**?  Please choose the options that apply (may be more than one): | |
|  | Institutional strategies |
|  | Programs inventory, projects and goals linked to public policies under your interest / responsibility |
|  | Monitoring and evaluation of programs, projects and goals linked to public policies under your interest / responsibility |
|  | Communication channels with the public about public policies under their interest / responsibility |
|  | Other (s). Which? |
| Comments or observations: | |

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| 1. Did your Organization experience difficulty in working with the **[SAI Name]**?   Please choose only one of the following options: | |
|  | Yes |
|  | No |
| If your answer is "yes", please describe these difficulties and indicate how they were corrected, please use the following space: | |

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| 1. Does your Organization have joint activities / projects with other public and private entities (including the SAI) that produce results on public audits?   Please choose only one of the following options: | |
|  | Yes |
|  | No |
| Comment your answer, specifying which public and private entities are being coordinated, please use the following space: | |

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| 1. **Only answer this question if you answered "yes" to question 16.**   How is your Organization coordinating with other institutions or entities (including the SAI), in terms of public audits?  Please choose only one of the following options: | |
|  | There are **formal** agreements / joint activities |
|  | There are **informal** agreements / joint activities |
|  | No agreements / joint activities have been implemented |
| Comments or observations: | |

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| 1. What difficulties will the Citizen / Civil Society Organizations face or will have to face by joining in public audit process with the **[SAI Name]** in your country?   Please choose the options that apply (may be more than one): | |
|  | Lack of political support |
|  | Lack of institutional support |
|  | Human Resources |
|  | Financial resources |
|  | Technical knowledge |
|  | Involvement of various actors (national entities, local governments, private sector, civil society, etc.) |
|  | Other (s). Which? |
|  | I have no opinion on this matter |
| Comments or observations: | |

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| 1. What has been your experience in public audit process with the **[SAI Name]** in your country? |
| Comments or observations: |

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| 1. Do you want to add comments and observations related to this topic (citizen participation)? |
| Comments or observations: |

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| **IDENTIFICATION OF THE RESPONDENT**  The following fields have the objective of collecting the data of the person (or professional who answered the questionnaire) These data will be used confidentially, for a possible contact in case it is necessary to clarify a point. | |
| Institution/Organization |  |
| Position |  |
| Phone |  |
| Email |  |

Thank you for completing this questionnaire.

The **[SAI Name]** appreciates your participation.

May 22, 2018

**Attached 1**

The role of a stakeholder could either be an informer, opinion maker or decision maker. The three categories as defined describes the nature of the relationship between the SAI and the stakeholders. This will assist you to better understand how best to engage with each stakeholder as well as prioritizing the stakeholders during the stakeholder mapping:

* **Informers:** distributes information to others, so they are important if SAI wants to disseminate audit reports, for example. Example of informers are internal staff, CSO´s and academic bodies.
* **Opinion makers:** distributes information to other but also provides interpretation about contents, which is a very important role in society when language are complicated or technical as audit reports from SAI. Examples of opinion makers are executive, audit entities and media.
* **Decision makers:** are those who distributes information and provide interpretation to another individuals or groups, but also guide their opinion to accept or reject, for example, the contents of audit report. Examples of decision makers are parliament and media.



Source: Guidance on Supreme Audit Institutions (SAI) Engagement with Stakeholders. INTOSAI IDI Development Initiative.

1. International Organization of Supreme Audit Institutions (**INTOSAI**) [↑](#footnote-ref-2)