

Building Civil Society Capacity in Myanmar
through Budget Monitoring

BOOKLET

Sharing Experiences, Building Sustainable Think Tanks



EAI
EAST ASIA INSTITUTE



Knowledge-Net for a Better World

The East Asia Institute(EAI) is a nonprofit and independent research organization in Korea, founded in May 2002. The EAI strives to transform East Asia into a society of nations based on liberal democracy, market economy, open society, and peace.

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Good Ideas Can Change the World

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Preface

If any democracy is to be successful, the people need to know the truth about the reality that surrounds them and they need to have an idea of how to solve the problems that harm their society and communities. But if the truth is hidden from them or the solutions to societies greatest challenges are discussed and implemented only by special interest groups, then society will not be able to change for the better. It is with this in mind that independent think tanks are founded. While the research or programs various independent think tanks carry out may be different, they are all founded on the desire to see their societies improve and hope that their ideas and knowledge will be shared and used to better the lives of all people rather than only a few. Yet this is not an easy task and independent think tanks face several challenges; the most difficult of which is to remain independent, have a transparent governance structure, and to build a sustainable organization.

Recognizing the crucial role that independent think tanks play in democratic societies and hoping to share knowledge on how to overcome the challenges that independent think tanks face, the East Asia Institute, Sandhi Governance Institute, the Open Myanmar Initiative, and the Renaissance Institute have come together to share their unique experiences with the goal of learning from one another. We all expect that this process of sharing experiences will allow us to improve our individual institutions and also serve as a bonding opportunity so that our individual organizations can be linked together in the international network of similar organizations which hope to advance democracy. Through these workshops we seek to reenergize ourselves and once again devote our efforts to achieving our individual goals of improving our respective societies and communities. We are confident that the sharing of our experiences will have a mutually positive impact.

Part I
Institutional Capacity Building

1. Building a Sustainable Civil Society Organization

INTRODUCTION

Whether approaching the topic of building a sustainable organization as a seasoned, robust NGO, or as a new group of people seeking to help their fellow citizens, the best place to start is at the beginning. And in the beginning, being clear on what the goal is gives guidance and clarity to the long process ahead. Here, our goal is to build a sustainable civil society organization, and to do that, we must be clear on what a civil society organization (CSO) is. A CSO is an entity “created to bring about, or support processes to bring about, major positive change in the lives of the beneficiaries, clients or service users they have been formed to serve.”

The key phrases here are “major positive change” and “to serve,” and these phrases serve to distinguish CSOs from profit seeking enterprises in society. Companies and business measure themselves by the amount of profit they earn which can be clearly measured by expenditures and revenue. Measuring the success of CSOs in affecting “major positive change” is more difficult due to the subjective nature of the word “positive” and the fact that change does not always come despite extensive efforts on the part of the organization. The second phrase “to serve” also distinguishes CSOs from profit seeking enterprises in that CSOs seek to serve their community or beneficiaries while businesses mainly exist to serve themselves. Therefore, as a CSO, a crucial step when founding the organization is to define a mission statement that establishes the positive change the organization is seeking to bring about and guiding principles that will serve as means of evaluation in whether a program will be or was successful. Furthermore, as the CSO is designed to serve the clients, not the organization and individuals that make up the organization themselves, a clear governing document is needed so that outsiders can monitor the progress and work of the CSO.

Also, the means CSOs use to reach their goal of bring about positive change is significantly different than the business world's main model of providing a product or service for a fee. CSOs instead provide programs or services to benefit their clients. Yet what both the for profit and non-profit world have in common is a desire and need to produce products, services, or programs in the most efficient and effective way possible. For CSOs, the main two resources they have at their disposal to produce impactful programs are funds and human resources. The task for all CSOs is how to turn those resources into effective strategies for producing positive change and a sustainable organization. In the following, seven elements of a successful and sustainable CSO are presented and strategies for employing the two key resources to achieve each element are also given.

SEVEN ELEMENTS OF A SUCCESSFUL AND SUSTAINABLE CSO

Accountability: CSOs must be able to prove to their clients that it is indeed their true intention to affect positive change in their lives and in their community. Without such assurances the supposed beneficiaries will instead ignore the CSO or, worse yet, become hostile towards the CSO. Therefore good governance is essential in providing assurances to the public that the organization exists to further their interests. To achieve this goal, the CSO must be upfront about the resources, especially funds, that it has at its disposal, show the beneficiaries how those funds are used, and evaluate the use of the funds and express what positive change was gained through the use of those funds. Leadership and staff members should be responsive to requests from their beneficiaries as well.

Focus: Focus comes from the mission statement, guiding principles, and governing document established by the CSO during its founding. A lack of focus can cause efforts by the staff and funds to be poorly channeled or spread too thin to produce any sort of meaningful impact. Therefore funds should be strictly reserved for activities that support the mission statement of the CSO and are lead by its guiding principles. Also, given that salaries of staff members

represents a significant expenditure, employees skills and talents should be supportive of and aimed at achieving the CSO's designated mission. Funding that is designated for programs that do not reflect a CSO's mission statement should be avoided as it could cause the CSO to widen its mission and become less effective.

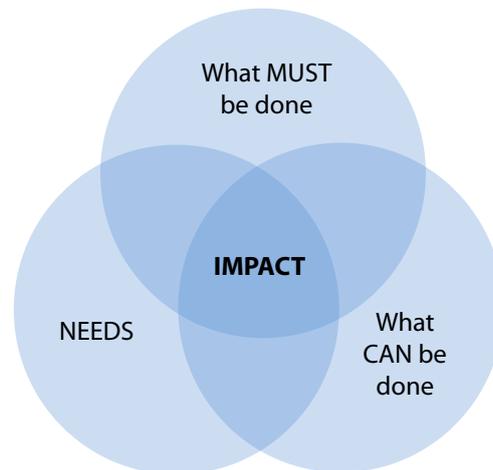
Trust: Closely related to accountability, trust indicates that the beneficiaries believe the CSO carries out its duties in a responsible manner. The most important aspect here is that funds are being managed responsibly and efficiently. The so-called "briefcase NGO"¹ has become a worldwide issue and these are organizations that have created mission statements and guiding principles that look great on paper and are eye-catching to the public, but little of its funds and efforts go towards creating any sort of result. To avoid this trap, CSOs should stay within themselves and allow themselves to be lead by their guiding principles rather than chase down funding and seek endless expansion.

Creativity: Finding solutions to the problems a CSO hopes to confront takes creativity and innovation, especially in the face of sometimes limited funding and resources. Facilitating creativity requires effective human resources management free of burdens such as insecurity, lack of support and opportunity, excessive hierarchy, and unclear lines of responsibility and reporting. While obviously meticulous selection of staff members is important here, perhaps more important is effective leadership which fosters a creative environment free from micro-management.

Delivery: Delivery is the act of providing to your clients the positive change your CSO was designed to bring about through various programs. Efficient and effective program delivery is therefore an extremely critical element. In order to avoid waste, not only should effort be spent on implementing programs, but meticulous planning and constant efforts to review and improve programs are needed. In other words, program planning, management, and

¹ <http://www.theguardian.com/global-development-professionals-network/2014/may/01/aid-local-ngos-dishonest-development>

evaluation can be deemed to make up the pillars of sustainability.² Also, a process of strategic planning should involve finding the areas in which maximum impact can be made to conserve funding and human resources.



Reliability: Reliability is the act of showing your clients through physical action that you are capable of bringing positive change in their lives. This is mainly achieved through smooth office administration and effective administrative systems. Though often overlooked and relatively basic, sometime as simple as a tidy, organized office with a welcoming environment can allow the beneficiaries to feel as though the CSO is working for them and that the beneficiaries are cared for. Administrative systems that are transparent and highly responsive allow for staff members and the beneficiaries to see the inner workings of the CSO and recognize that the tasks and duties are carried out fairly and openly.

Profile: Last but certainly not least, most of the rest of these elements are useless unless the CSO has a public profile. If the people the CSO hopes to serve do not know the CSO exists, the programs the CSO implements are doomed to failure and no significant impact can be made. A public profile is also extremely important in making a CSO sustainable as it can help during fundraising efforts.

² http://photos.state.gov/libraries/amgov/30145/publications-english/B_20121023_NGO%20Handbook_English_150.pdf

MANAGING RESOURCES

As mentioned above, the key to implementing these seven elements of successful and sustainable CSOs is the effective use of two main resources: funds and human resources. And in order to use these two resources effectively they should be managed with great care and transparency. Neither is more important than the other as no amount of funding can implement a program without the staff members to do the leg work and contact the beneficiaries, and the most talented and enthusiastic staff member cannot create a successful program without financial aid. As mentioned above, transparency and effective administrative systems can earn the trust of the people the CSO hopes to serve, but it also helps earn the trust of staff members and ensures them that their work is having the positive impact they wish to affect.

Fund Management: If the three keys to a successful business are “location, location, location,” then the three keys to a successful and sustainable CSO is “transparency, transparency, transparency.” Nothing can cause the public to lose trust in an organization faster or cause fundraising opportunities to dry up faster than the rumor of a non-profit organization using its funds for something other than the intended purpose. The problem is not new and was documented at length by a working paper from Harvard University’s Hauser Center for Nonprofit Organizations.³ The key here is documentation and keeping a paper trail for all revenue and expenditures.

The basic *purpose* of a financial policy is to protect both the CSO’s physical material and financial assets as well as maintain the organizations reputation and credibility with funders and clients. In order to do so, *roles* should be delegated to leaders and staff members to delineate clearly who is responsible for what in terms of managing finances. And in order for the leaders and staff members to carry out their fiscal tasks responsibly and accurately, a clear *accounting system* should be established so that transparency can be maintained and incoming

³ http://www.ksghauser.harvard.edu/PDF_XLS/workingpapers/workingpaper_35.pdf

funds and expenditures can accurately reviewed. To do so, appropriate *budget* and *report* formats should be followed and detailed *specimen forms* should be adopted to uniform the process. All of these efforts should be carried out regularly according to an established *timetable*.

Human Resources Management: People are the tools that both find and implement solutions to the problems CSOs hope to address. Taking care of staff members and providing a comfortable and secure environment is crucial to allow them to be creative and efficiently and effectively manage the programs that affect change. Finding the right people for the job is critical, but also designing a staff that has a breadth of experiences and backgrounds so better facilitate creativity is crucial.

An effective human resources management begins with the *selection and recruitment* of talented individuals that can fulfill a specific role. During the selection process, attention should also be paid to *equal opportunities and diversity* as this will lead to a variety of perspectives and an increase in creativity while seeking solutions to society's problems. Following the selection of staff members, clear *terms and conditions* are needed so that employees know what to expect and the employer can deal with all employees without discrimination. *Performance management* is essential to ensure the CSO is operating at maximum efficiency at all times and some resources should be devoted to *staff development* to maximize the human resources at your disposal. In order to maintain transparency, clear *grievance* and *discipline procedures* are needed to prove to the staff that they are being treated justly at all times. Leadership should also ensure the *health and safety* of all employees and implement policies for the *prevention of bullying and harassment* to ensure a comfortable work environment that allows staff members the opportunity to be creative and think outside the box.

ULTIMATE GOAL

Sustainably and effectively carrying out the CSO's mission statement is the ultimate goal. To reach that goal, the CSO's two main resources (funds and human resources) need to be efficiently and transparently employed. Programs, which are the core of CSOs effort to bring about the positive change they seek, need to be planned to have maximum impact with the available resources. Focus on the CSO's guiding principles should be maintained at all times to ensure that resources are not wasted and that the CSO's scope does not excessively widen. This takes a well rounded effort by all members of the team. Meticulous administration specialists are needed to ensure transparency and to manage the paper trail. Creative program managers skilled in strategic planning are needed to implement the CSOs core programs. Outgoing public relations personnel and skilled web designers are needed to spread the CSOs message to clients and foundations. Leadership should oversee an open and secure environment and keep the entire team committed to the mission statement and guiding principles. In the end, none of these tasks are easy, but the joy of realizing the goal step by step and bringing positive change to society is always worth it.

2. Founding EAI

About the East Asia Institute



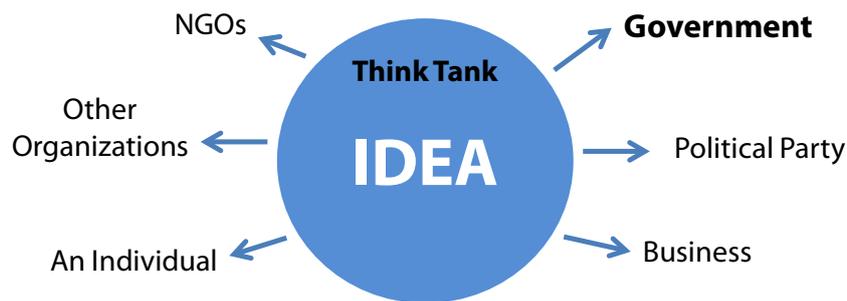
The East Asia Institute (EAI) was established in 2002 as an independent think-tank dedicated to developing ideas and formulating policy recommendations on the main challenges facing the region. Based in Seoul, South Korea, EAI strives to transform East Asia into a society of nations based on liberal democracy, market economy, open society, and peace. To this end, EAI works to promote liberal values and ideas, including diversity, tolerance, accountability, and transparency, through research, education, and international exchange. EAI was established to pursue and develop innovative and fresh ideas and is rooted in the belief that knowledge and good ideas can change the world

EAI seeks to achieve its goal by creating influential publications that result from the hosting of scholarly seminars, forums, and education programs. EAI conducts research activities through two main program: foreign affairs and security and governance research. Working together with recognized scholars and leading policymakers, EAI seeks to lead the way in forming a true knowledge-network community in Northeast Asia by setting up a system of joint research and scholarly exchanges in the U.S., China, Japan, and Taiwan, as well as many other countries.

Knowledge-Net for a Better World

■ Think Tank: Definition and Role

A **think tank** or **policy institute**, **research institute**, etc. is an organization that performs **research** and **advocacy** concerning topics such as social policy, political strategy, economics, military, technology, and culture.

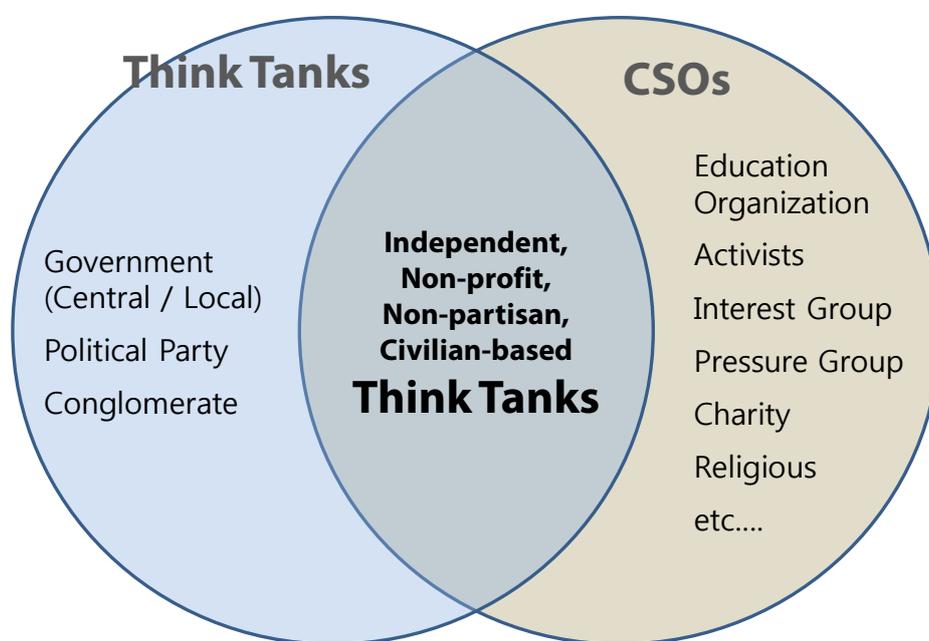


“Devoted to producing ideas for policy-making which make our society better.”

What is a Think Tank? What is its Main Role?

A think tank or policy institute, research institute, etc. is an organization that performs research and advocacy concerning topics such as social policy, political strategy, economics, military, technology, and culture. The ideas produced by think tanks can be used or implemented by a wide variety of actors including the government, NGOs, a political party, an individual, business, and other organizations. The basic guiding principle for all think tanks is to produce policy suggestions that improve the quality of the society or community to which the think tank belongs.

■ Think Tank vs. Civil Society Organizations



What Makes Independent Think Tanks Unique?

Independent think tanks are of course similar to other think tanks in the nature of their work, but are also similar to Civil Society Organizations in that they are independent, nonprofit, and seek to better the community in which they reside. There are differences however that set independent think tanks apart from the other types of organizations. Whereas other think tanks are supported by the government, a political party, or a corporation, an independent think tank is more similar to a CSO in that it is civilian based (non-governmental) and non-partisan. Independent think tanks therefore can be said to produce research and programs with the sole goal of bettering society while other think tanks may have a political or economic agenda on which their outcomes are based. On the other hand, whereas most CSO tend to focus on one policy area and serve a distinct client group, independent think tanks usually become involved in a variety of policy areas and submit policy suggestions to address a number of different issues.

■ Think Tanks in Korea: Asymmetric Environment

Public Think Tanks

- Established and Funded by Government
- Dominance / Majority

Profit-seeking Think Tanks

- Established and Funded by Conglomerates
- Economy & Business Focus

Nonprofit Think Tanks

- Affiliated with Universities and Civic Movements
- Independent / Minority

• Weakness of Independent Think Tanks in Korea

- University-affiliated think tanks: Oriented toward academic research, and isolated within academic community
- Civilian based think tanks: Under influence of government, or lack of enough financing to maintain their activities
- Lack of financial support for policy research institutes by the public
- Independent think tanks face serious budget challenges and subsequently fail

What Does the Think Tank Landscape in Korea Look Like?

There are three main types of think tanks in Korea: public think tanks, profit-seeking think tanks, and nonprofit think tanks. Public think tanks were founded by and continue to receive funding from the government and dominate the landscape. Profit-seeking think tanks mainly represent the interests of large Korean conglomerates and focus on the economy or business. Nonprofit think tanks on the other hand are often founded by universities or as part of a civic movement and constitute the smallest sector of think tanks in Korea. These nonprofit think tanks face a variety of issues including budget challenges due to a lack of public support, serious governmental influence, or relatively obscurity in academia.

■ Establishment of the East Asia Institute (EAI)

WHY DO WE NEED INDEPENDENT THINK TANKS?

Free From

- Ideological Inclination
- Political Consideration
- Partisan Interest
- Profit-seeking
- Partial Advantage

IDEAS

Toward

- Long-term Policy Research
- Diagnosis of Current Problems without Political Prejudice
- Free Suggestion of Ideas and Policy Alternatives
- Doing Good for Our Society

Why Do We Need Independent Think Tanks?

Independence provides a think tank room to maneuver and to search for policies that truly make society as a whole better rather than serve a specific interest group. Independence frees a think tank from ideology, partisan interests, and profit seeking among other constraints. This freedom allows independent think tanks to focus on long-term policies, to objectively diagnosis society's problems, and to put forward the policy it truly feels is the best answer. In order to realize public good and make the world a better place, we need active independent think tanks who compete in the marketplace of ideas and policy alternatives.

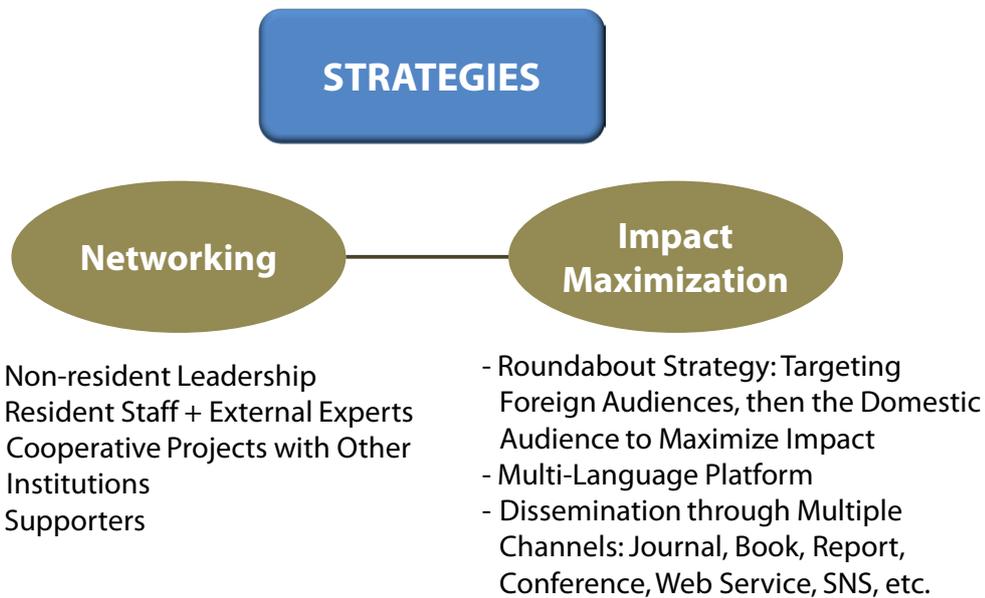
■ Establishment of the East Asia Institute (EAI)



What Challenges Did EAI Face during its Establishment?

Securing funding at the initial stage was a critical challenge. Without sufficient funds, it was difficult to hire experienced experts to produce new ideas and policy suggestions that would be the backbone of EAI's work. It was also difficult to grow within the established think tank marketplace that was dominated by government-funded organizations. Overcoming the Korean public's prejudice against think tanks and convincing civil society that EAI did not serve an existing political institution or political party seeking to acquire further power was another difficult barrier to overcome.

■ Establishment of the East Asia Institute (EAI)



What are EAI's Strategies?

Networks consist of links and nodes. EAI was designed to be a core node, or a hub in a network where many links meet. Serving as a core node also allows EAI to bring in the best ideas through a network of experts while maintaining a relatively small resident staff. That same network also allows the impact of EAI's programs to be spread back out through the network to reach a wider audience.

However, given the difficulties of the Korean think tank market, obtaining recognition proved difficult. This led EAI to adopt a "Roundabout Strategy." This strategy calls for first engaging with the international audience and accruing international recognition thus making the Korean/domestic audience more receptive of EAI's message.

■ Establishment of the East Asia Institute (EAI)

STRATEGY 1 Targeting: Searching for Blue Ocean

- **“Niche Market”: Creating Uncontested Market Space, Targeting Unexplored Customers**

- *Global Audiences* who want to know South Korean views on a variety of regional and international issues
- Building *International Partnerships* through publications, joint studies, and exchange programs with individual experts and overseas organizations

- **The Impact of EAI’s Niche Market Strategy**

- Global: Increase EAI’s Global Reputation
- Domestic: Expand EAI’s Impact on the Korean Policy Community and Reshape the Desires of the Domestic Market

How can EAI compete in the marketplace of ideas?

As mentioned before, EAI, as a private think tank, has a difficult time competing with larger government funded think tanks and faced a credibility challenge with the Korean public based on their skepticism against think tanks which they assume have a partisan agenda. Therefore, EAI, in an effort to seek space to maneuver and build credibility, sailed out into the “blue ocean” to create a new market for its ideas and sought to engage a previously ignored group of clients. EAI’s blue ocean is international audiences who are curious about South Korea and its approach to a variety of international issues. This allows EAI to build an international reputation which in turn increases its domestic profile. In this way EAI avoided an uphill battle of directly engaging entrenched government and business sponsored think tanks and communicated its ideas to an international audience first, then, after earning credibility in the international market, reshaped the domestic market by offering unbiased reports and policy suggestions that the public may trust.

■ Establishment of the East Asia Institute (EAI)

STRATEGY 2 Organization: Network-based Research

- **Research Networks of Nonresident Leading Experts**
- **The Benefits of Network-based Research**
 - Differentiation: Targeting Experts According to Each Specific Project
 - Low Cost and High Productivity
- **Keys to Success for Network-based Research**
 - Incentives: Collaboration with Other Leading Scholars on the “Hot” Issues
 - Effective Leadership: Coherent Collective Work
 - EAI Resident Staff’s Capability: Managing and Guiding the Project
 - Sustainability: Continuation of Networks Founded on Personal Ties

How Can EAI Maximize its Impact with Limited Resources?

Due to funding constraints, hiring leading experts as resident research fellows is difficult. Instead EAI relies on program coordinators to network in non-resident experts to produce insightful and innovative research at a low cost. In order to pull this off, EAI relies on the networking ability of its few resident research fellows to recruit expert researchers and leading opinion leaders and EAI’s leadership creates an environment where collective work is brought together to form a coherent argument and policy idea. This is not a one way street either as EAI’s vast network allows scholars to engage with ideas and work that they may otherwise be unable to access and raises the profile of the researcher through opportunities to be published and attend a variety of domestic and international seminars and conferences.

■ Establishment of the East Asia Institute (EAI)

STRATEGY 3

Financing: Proactive External Project Financing

- **Diversity of Financing Sources**

- 70% of Annual Expenditures Covered by External Financing

- **Overseas Grants**

- MacArthur Foundation (Asia Security Initiative Program, Middle Power Diplomacy Initiative); Chiang Ching-kuo Foundation, Japan Foundation, and Henry Luce Foundation (EAI Fellows Program); NED (ADN, ADRN, CSO Capacity Building), etc.

- **Domestic Funders**

- Korea Foundation (KF-EAI Korea Frandship), YBM/KIS (EAI Fellows Program), Samyang Company (EPIK Young Leaders Program), Hanssem Foundation (Renaissance 2.0), SBS (Korea Unification Project), etc.

How Can EAI Raise the Necessary Funds to Support its Activities?

EAI relies on project based financing to fuel its programs. Individual grants are sought for each program so that even before a program is initiated, the funds necessary to see the project through to the end and realize maximum impact are guaranteed to be available. EAI's project based fundraising strategy has the added benefit of diversifying its funding sources thus contributing to its ability to remain independent and stable. And above all, this strategy allows EAI to review projects on a case by case basis to assure they are in line with EAI's mission statement and that funds are not spread too thinly.

■ Establishment of the East Asia Institute (EAI)

STRATEGY 4 Dissemination: Multi-Language Platforms

- **Innovative Dissemination Through Cutting-edge Electronic Publication Outlets**
- **Multiple Languages**
 - EAI's Website: Korean, English, and Chinese
 - Real-time Updates of the Website in Each Language
 - Newsletter: Korean, English, and Chinese
- **Various Channels**
 - EAI's Publications: Books, *Journal of East Asian Studies*, Print Reports, etc.
 - Online Dissemination: Website, Newsletter, Blog, SNS (Youtube, Facebook, and Twitter)
 - Media Relations: Broadcasting, Newspapers, Magazines, etc.

How can EAI Engage its Intended Audience to Realize a Positive Impact?

With EAI dedicated to its “Roundabout Strategy” of targeting international audiences, it is crucial to provide programs and research in multiple languages and use a variety of channels to reach people across the globe. To this end, EAI's website and newsletter are available in Korean, English, and Chinese and the website is updated in real-time in all three languages, avoiding the trap of lagging behind in foreign language content production. Also, EAI goes to great lengths to ensure that content in all three languages is meticulously proofread and accurate to ensure maximum impact. Also, being based in Seoul, the use of a variety of channels is necessary to reach audiences around the globe. EAI is actively using Social Networking Services along with its website and newsletter to reach more people, maintains close relationships with influential members of both the domestic and international media, and publishes a variety of reports and books in both English and Korean along with running the English language *Journal of East Asian Studies*.

■ Establishment of the East Asia Institute (EAI)

MISSION STATEMENT

Knowledge-Net for a Better World

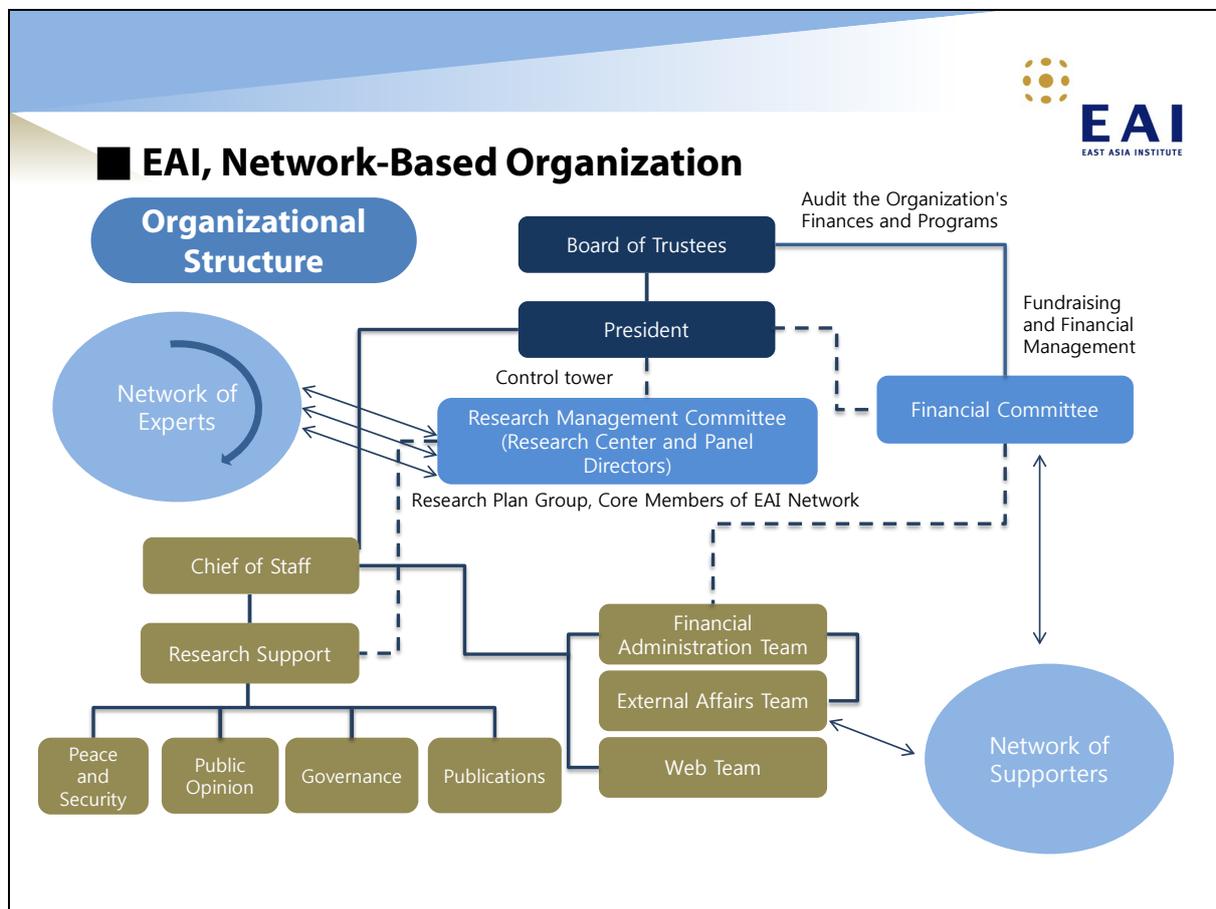
“The East Asia Institute (EAI) is a nonprofit research institution based in Seoul, South Korea, that provides creative policy alternatives and promotes liberal values.”

- Promote **liberal democracies** that respect civil rights and human dignity
- Contribute to the **peace and prosperity** of the international community, based on liberal democracy, a market-oriented economy, and open societies
- Propose policy recommendations to construct a **democratic community** and realize a peaceful East Asia
- Provide **good ideas** for South Korea’s domestic and foreign affairs
- Nurture **future leaders**
- Construct a knowledge-net for a better world in the belief that **good ideas can change the world**

What is a Mission Statement and What Role Should it Play?

A mission statement is a declaration of the what a CSO believes, the goals it hopes to achieve, and the methods it will use to achieve its goals. Mission statements should be used when deciding on what programs to plan and implement and what are appropriate sources of funding. They are also helpful tools to communicate with clients and gives potential funders a clear statement of what your CSO or think tank is all about. For example, given that EAI is dedicated to “providing good ideas for South Korea’s domestic and foreign affairs,” it is crucial that EAI maintain its independence and not be influenced by a special interest group or political party. It is for this reason that EAI focuses on project based funding and seeks to diversify its funding sources. Also, as EAI hopes to “construct a democratic community,” running its organization in a transparent manner is extremely important. No matter what lofty goals an organization strives to achieve, if the CSO itself is not run in such a manner, the public will not trust the CSO. “Do as I say, not as I do,” cannot be a motto for any CSO.

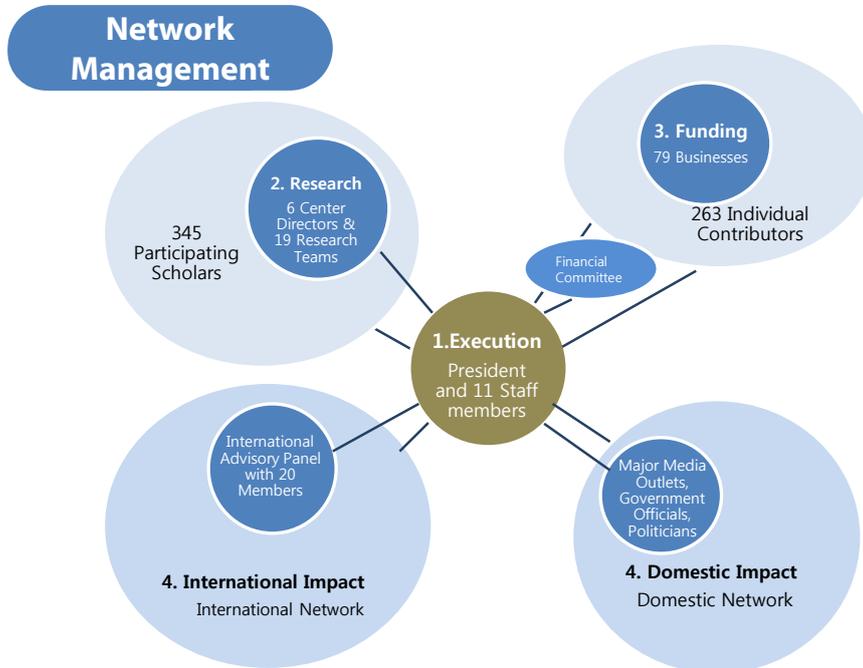
3. Building a Network-based Think Tank



Small but Powerful Think Tank, EAI!

- **Board of Trustees:** Composed of businessmen and executives, lawyers with interest in academia, and professors. Strives to maintain EAI's independence and build an excellent management system. (1 Chairman, 21 Trustees, 2 Auditors)
- **Financial Committee:** Composed of 9 members of the Board of Trustees. Meets quarterly and is responsible for financial management and fundraising. Meets every year periodic audits by the Board of Trustees is carried out to receive Board's approval.
- **Research Management Committee:** Composed of the Directors of the 6 research centers including the Asia Security Initiative Research Center, the Center for China Studies, the Center for North Korea Studies, the Center for Public Opinion Research, the Center for Japan Studies, and the Center for Governance Studies. The 6 Center Directors are non-resident scholars who are affiliated with universities in Korea.
- **Organization:** 1 President and 11 staff members

■ EAI, Network-Based Organization



1. Execution

- The management structure is centered around the President and 11 staff members and they plan the research agenda, consult with participating experts and organizations, and are responsible for managing the research team and budget.
- EAI strives to use an effective management structure that simplifies the process of getting from a decision to implementation.

2. Research

- Plans are made through the President and the Research Center Directors, and then consultation is made amongst EAI' network of experts. Through this process of outsourcing, EAI has built the best domestic research teams.
- In 2014, 19 individual research teams were managed.

3. Funding: Financial security is maintained through private donations and project financing

- Private Contributors
 - Financial Stability through Contributors on the Board of Trustees, Individual Contributors, and Businessmen
 - Among EAI' 263 individual supporters, the 60 core members are organized and forums are held to encourage their participation.
- Sponsorships from Organizations and Businesses
 - Domestic and International Foundations and Businesses are targeted for funding based on the nature of a project
 - In 2014, research plans were submitted to 5 international foundations and 5 domestic foundations and about USD 800,000 was raised
- Financial Management
 - Nine member financial committee meets quarterly and analyzes and manages the organization's finances.
 - The financial committee works closely with the Board of Trustees and meetings held by business contributors and takes the lead on managing finances.

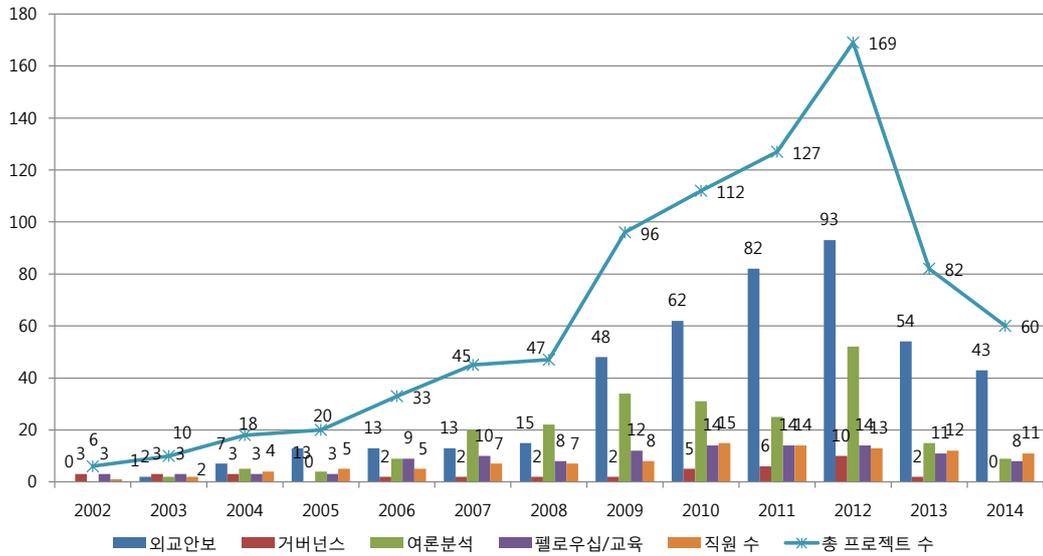
4. Dispersing Impact through Our Network

- Domestic
 - From the beginning, running projects jointly with the media allowed for financial and outreach concerns to be solved.
 - Leading domestic opinion leaders including scholars, government officials, politicians, etc., participate to share their experience and ideas
 - In 2014, around 345 domestic experts participated in EAI programs
- International
 - From its inception, EAI founded a 19 member international advisory panel to build its international network.
 - EAI plans projects that target international scholars such as the *JEAS*, EAI's English language academic journal; EAI's Fellowship Program on Peace, Governance, and Development in East Asia; and International Conferences
 - EAI's President or Research Center Directors attend major seminars and conferences around the world and introduce EAI to scholars from around the world
 - Regular English and Chinese Newsletters are distributed to the international community

EAI, Network-Based Organization

Result of Network Extension

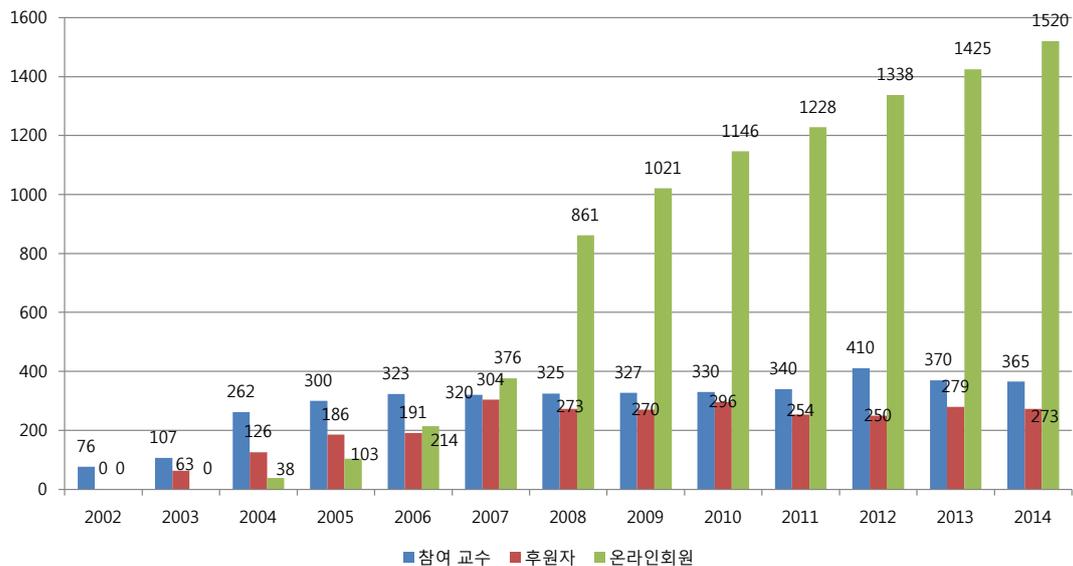
The number of Projects and Staff Members



EAI, Network-Based Organization

Result of Network Extension

The Development of EAI's Community



■ EAI, Network-Based Organization

Result of Network Extension

The 2014 Global Go To Think Tank Index Report: EAI's Rankings

Category	Sub-Category	Ranking
World	U.S. and Non-U.S.	60th
	Non-U.S.	84th
Region	China, India, Japan, and the Republic of Korea	15th
Area of Research	Foreign Policy and International Affairs	73rd
Special Achievement	Outstanding Policy-Oriented Public Programs	54th
	Transdisciplinary Research Program	54th
	Use of Social Networks	53rd
	Conference	50th

1. Initial Stage: Small staff and Network based Research Teams

- Founded in 2002: 1 President and 1 staff member managed 6 outsourced research teams.
- 2003: Contributor committee was founded around professors on the Board of Trustees. 2 staff members and 10 research teams.
- 2004: The number of scholars in EAI's network reached 262 and the number of contributors doubled. The staff size increased to 4 members and 18 research teams were managed. First newsletter was sent and EAI began recruiting online supporters.
- 2005: Held a Large International Conference (Dorasan Lecture), EAI Community (the number of participating professors, online supporters, and contributors) grew. EAI held its first evening event for supporters.
- 2006: 5 staff members and 33 projects. The number of contributors rose to 214 following the contributor event held in 2005

2. Period of Large Expansion: International funding lead to financial stability and allowed for in-depth research

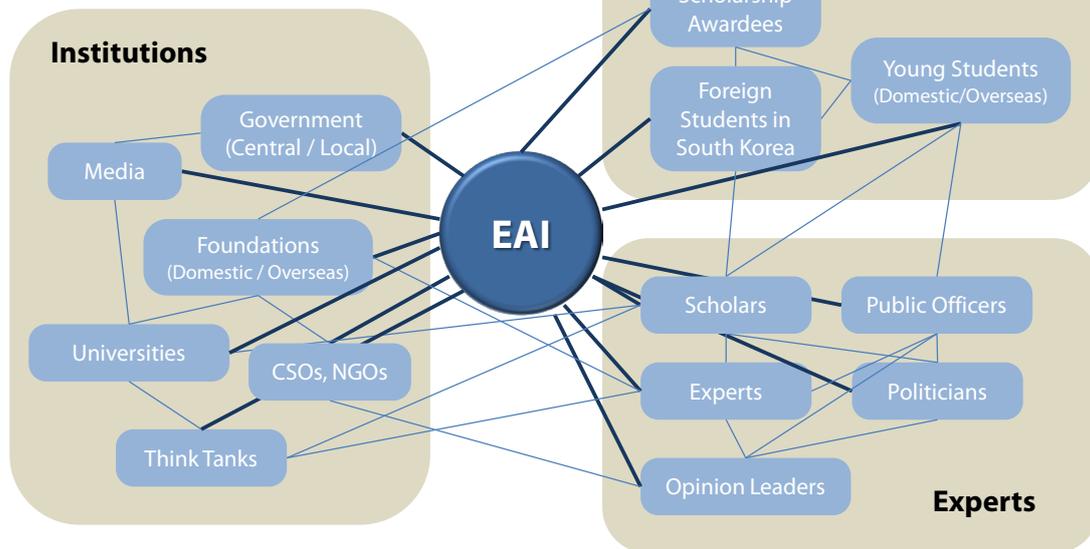
- 2007: Staff size increased to 7 and 45 projects were carried out. EAI's community continued to grow.
- 2008: New President, Dr. Sook-Jong Lee. The number of online supporters grew.
- 2009: Financial stability deepened following being chosen as a core organization for the Asian Security Initiative run by the U.S. based MacArthur Foundation. Staff grew to 8 members and 96 projects were executed.
- 2010: Through a USD 2,450,000 grant to be received over four years, the Peace and Security Unit was founded. 7 new staff members were hired bringing the total to 15 and 112 projects were implemented.
- 2011: 14 staff members and 127 projects. According to the Think Tank and Civil Society Program's (TTCSP) Global Go To Think Tank Index, which ranks more than 6,500 think tanks based on an international survey of scholars, donors, policy makers and journalists, EAI ranked 12th in Asia out of 1,200 institutes. In addition to English and Korean homepages, a Chinese homepage was developed and EAI's international network expanded.
- 2012: 13 staff members and 169 projects. EAI became the representative member of South Korea on the Council of Councils (CoC). Was ranked 24th among 50 institutes in the field of security and international affairs, 26th out of 30 institutes in the field of public policy, and 22nd out of 30 institutes in Asia.

3. Period of Experimenting with Institutionalization: Financial issues must be solved to successfully implement institutionalization

- 2013: 12 staff members and 82 projects. After the conclusion of the MacArthur Foundation's research on Asian Security, efforts have been devoted to multilateral funding to solve financial difficulties. According to the TTCSP rankings, EAI was ranked 65th among all think tanks, 25th in security and international affairs, 17th among institutes in China, India, Japan, and the Republic of Korea, and 49th in the field policy-oriented programs.
- 2014: 11 staff members and 60 projects. The Board of Trustees and the Financial Committee have organized semi-annual funding efforts to help with institutionalization efforts. EAI was ranked in 8 areas of the TTCSP rankings: 65th in Top Global Think Tanks (US and Non-US), 84th in Think Tanks outside of the US, 18th among institutes in China, India, Japan, and the Republic of Korea, 55th foreign policy and international affairs, 54th in policy-oriented research programs, 54th in best think tank conference, 54th in trans-disciplinary research programs, and 54th in best use of social media.

■ EAI's Network

Three Types



■ EAI's Network

Network with Institutions: Council of Councils (CoC)

- Initiated in 2012 by the Council on Foreign Relations, CoC is a network of leading foreign policy think tanks from around the world which promote dialogue on global governance and multilateral cooperation.
- EAI was invited to join the network as a founding member and South Korea's representative think tank.
- Every year, CoC holds one annual conference and two regional conferences. In addition to regular meetings, CoC also publishes Global Memos, briefings are published which gather opinions of global experts from CoC members on major international developments.
- EAI maintains the *sustainability* of its network with CoC by regularly attending and presenting at CoC conferences, and *utility* of its network by authoring Global Memos.

■ EAI's Network

Network with Institutions: Asia Democracy Network (ADN)

- Founded in 2013, ADN is an international network composed of civil society organizations, networks, and democracy advocates in Asia, working toward promotion and consolidation of democracy and human rights.
- EAI was a founding member and is a representative on the Steering Committee.
- The ADN Steering Committee holds semiannual meetings to report on past/current activities and discuss future agendas. It also publishes a monthly newsletters to promote member activities.



■ EAI's Network

Network with Institutions: Asia Democracy Network (ADN)

- EAI's involvement in ADN further led to its initiative in organizing the Asia Democracy Research Network (ADRN) and the Korea Democracy Network (KDN).
 - As a research pillar of the ADN, ADRN aims at providing action-driven, research-based action plans as advocacy tools to promote policy dialogue and reflection among CSOs and advocates.
 - ✓ In 2013-2014, the inaugural workshop was organized, and two reports were published by ADRN member institutions.
 - ✓ In order to strengthen network ties, EAI will organize a workshop and increase publication activities.
 - KDN, which consists of four democracy-related NGOs and think tanks based in Korea, functions as the secretariat of the ADN.
- EAI has been successful in sustaining and expanding ADN.
 - A future challenge is maintaining the sustainability of the ADRN.

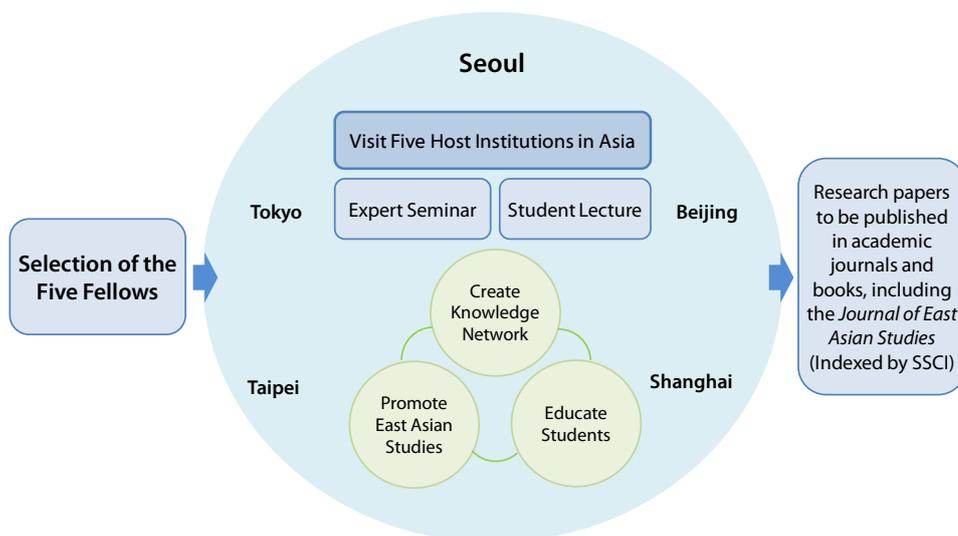
■ EAI's Network

Network with Experts: EAI Fellows Program

- Launched in 2005, this program aims to provide opportunities for East Asia specialists to conduct field research and interact with scholars and students in South Korea, China, Japan, and Taiwan.
- EAI Fellows give seminars and lectures based on their research topic during their research trips to two or more Participating Institutions. Upon the completion of their visits, Fellows are to revise their research papers and submit to an academic journal for review and publication.
- Since 2005, EAI Fellows Program has assisted 53 Fellows.
- EAI's network with Fellows has maintained *sustainability* by promoting academic exchange and communication among scholars with expertise in East Asia to build intellectual networks among East Asia specialists throughout the world and *utility* by regularly holding seminars and publishing 5-6 working papers.

■ EAI's Network

Network with Experts: EAI Fellows Program



■ EAI's Network

Network with Young Students

- EAI's pioneering network program for young students is internships.
 - Since 2004, the internship program has been offered to undergraduate & graduate students for the period of 3 months to apply their education to the real world
 - Over 200 interns are connected through the EAI Intern Facebook page
 - In order to strengthen their ties to the institution, EAI provides weekly intern seminars, an educational program specifically designed for interns
- EAI's internship program *expanded* to other networking opportunities with EAI intern graduates and international students residing in Korea.
 - EPIK Spiders
 - ✓ In 2009, EPIK Spiders, a network of EAI intern graduates, was created
 - ✓ Since 2010, EPIK Spiders has organized an annual academic conference called EPIK Young Leaders Conference
 - ✓ Network is managed through an advisory board of 15 professors and a steering committee made up of EAI intern graduates
 - Korea Friendship
 - ✓ An educational and networking program for international students residing in Korea
 - ✓ Efforts to help international students connect and empathize with Korean society
 - ✓ Korea Friendship Facebook page is used to provide a space for graduates and current participants to keep in touch after the program

EAI as a Hub of Extended Networks

As shown above, EAI is at the center of these three networks (institutions, experts, and young students). These three networks can be brought together in a variety of ways to create greater impact. In cooperation with the Korea Foundation (institution network), EAI is able to create a program for international exchange students living in Korea (young students network). These exchange students participate in a series of lectures to learn more about Korea from some of the top Korean experts in the fields of history, economics, arts, politics, culture and many others (expert network). This synergy of the three programs not only benefits EAI's clients in terms of teaching students and providing experts and institutions with a chance to share their ideas and gain positive media exposure, but in the end it also widens EAI's international network as those young students grow into the experts of tomorrow. Another example is EAI providing opportunities for its interns (young student network) to attend a conference jointly held by EAI and other partner institutions (institution network) at which the keynote speaker is a leading scholar in the relevant field (expert network). The students are able to learn and grow, EAI is able to network and execute a program with a partner institution which reaffirms their link, and experts are able to share their opinions and are drawn further into EAI's network.

■ EAI's Network

Various Roles

- Those within EAI's network, regardless of their type, play different roles, depending on their level of involvement, commitment, and expertise in any given project. EAI's network can be categorized into three different groups according to their roles.

Supporters

Partners

Participants

Various Roles of EAI's Network

Those within EAI's network, regardless of their type, play different roles, depending on their level of involvement, commitment, and expertise in any given project. Allocating various roles to different actors within the network is a necessary requirement for effective network management. Generally, EAI's network can be categorized into three different groups according to their roles: supporters, project partners, and participants. Granted, some institutions or individuals can have interconnected roles; for example, some of them provide funding to a research project while participating as a partner at the same time.

(1) Project Supporters

As a non-profit think tank, EAI has to mobilize funding to carry out its activities. As roughly 70 percent of its expenditures are composed of research funding from outside institutions or individuals, EAI's network with institutions and individuals who act as supporters is crucial. Supporters provide necessary funding for EAI to create, devise, conduct, and disseminate our research projects.

Project supporters within EAI's network consist of the following: overseas foundations (MacArthur Foundation/Chang Ching Kuo Foundation/Henry Luce Foundation/National Endowment for Democracy); Korean government (Ministries of Foreign Affairs/Unification); domestic media (SBS); domestic grant-making institutions (Korea Foundation/Korea Foundation for Advanced Studies); private companies (Samyang/Hanssem/Maeil Dairy); and individual donors.

(2) Project Partners

The second role of EAI's network is that of project partner. In many projects and activities, EAI has been working in partnership with many institutions and individuals. Project partners, be it an institution or individual scholar, within EAI's network collaborate closely with EAI from inception to completion of activities. Since EAI focuses on network-based research with non-resident experts on an ad hoc basis, EAI's network with partners is a key to successfully implementing and executing projects made possible by supporters.

Partners are recruited based on project-specific and expertise-based grounds. EAI's relationship with partners can be described as a network consisting of various smaller networks, since partners oftentimes bring in experts and scholars in their own personal and professional network. EAI's Asia Democracy Research Network (ADRN) is a prime example in which the network members are also part of Network of Democracy Research Institute (NDRI), thereby bringing NDRI network into EAI's network.

(3) Project Participants

While supporters make the inception of a project possible and partners work toward execution, it is participants who finalize the process by contributing to dissemination of the final outcome. Participants are those in EAI's network who follow up on our activities and outcomes via newsletters, EAI website, or SNS channels; attend events; and participate in educational programs provided by EAI such as internships.

EAI maintains a close relationship with participants by regularly sorting through its newsletter mailing list and updating information through online and offline channels. This group is usually our target audience for project outcomes. Therefore, it is vital to keep the communications and dialogue with participants interactive, free-flowing, and open.

■ EAI's Network

Key Concepts of EAI's Network Strategy

- Three key concepts, which are vital in planning, executing, and evaluating the network activities and outputs, act as a double-sided coin in that they are necessary in maintaining effective networks and yet, they are, to a certain extent, an outcome of an effective network.

Sustainability

Utility

Expandability

Key Concepts of EAI's Network Strategy

EAI's network strategy zeroes in on three key concepts which are vital in planning, executing, and evaluating the network activities and outputs. The following key concepts act as a double-sided coin in that they are necessary for maintaining effective networks and yet, they are, to a certain extent, an outcome of an effective network.

(1) Sustainability

Sustainability is the first core concept to maintaining EAI's network. In order to build up and collaborate within its network, the network itself needs to be sustainable. Sustainability depends on many factors. One such factor is funding. Without a stable source of funding to support the network activities, the network's existence cannot be maintained, let alone provide an impact. Another factor is a shared sense of commitment and willingness among network members. As any network is made up of individuals, thereby making it dependent on human interaction, a shared sense of solidarity and commitment is important.

EAI maintains the sustainability of its network by regularly participating in and providing

inputs to network activities. Such close relationships nurture a strong sense of solidarity and shared identity among network members. EAI's regular attendance and insightful inputs at the Council of Councils (CoC) conferences has earned it a reputation for reliability, leading to an increased role and presence assigned to EAI by the Council on Foreign Relations (CFR). This, in turn, helps maintain EAI's network with the CoC.

(2) Utility

Our network's sustainability is further enhanced by utility. If an output of network activities does not align with, contribute to, or complement the ultimate goals of the network, the very necessity of its existence can be questioned. In the end, it is utility that is a measurable indicator of a network's success or failure. Conscious efforts to produce outputs that make significant contributions to the goals of a network and to objectively evaluate its performance are necessary in managing a network.

EAI's network-based strategy has enabled it to maximize its outputs at a low cost. Once a project is funded and confirmed, EAI assembles a research team of non-resident scholars with expertise for specific issues targeted for a particular project. For every project, EAI also assigns a group of reviewers who are within EAI's network of scholars but not participating in this particular project to evaluate objectively the progress and outcome. This careful selection and assembly of experts ensures the quality of outputs, thereby strengthening EAI's network.

(3) Expandability

An effective network should go beyond its own boundaries and expand its sphere of influence and impact other networks. As the very definition of "network" suggests interconnectedness with other networks and creation of subnetworks, expandability is a core concept in maintaining and managing a network.

EAI's network strategy is characterized by expandability. EAI successfully expanded its role as a founding member of the Asia Democracy Network (ADN) to launch its own research network with like-minded democracy research think tanks across Asia. Based on the shared perception that activities of democracy activists and NGOs in the ADN need to be bolstered and strengthened by scientific research methods and policy-driven action plans, ADRN complements the ADN and is closely connected with the goals of promoting and consolidating democracy in Asia.

4. Programs and Activities



■ Network-based Research Program

National Security Panel (NSP)

• The Signature Research Panel of EAI

- The National Security Panel (NSP) was established early in EAI's history.
- Chair: Dr. Young-Sun Ha (EAI Chairman of Board of Trustees / Professor Emeritus Seoul National University)
- Members are university professor who are invited based on their research agenda and their expertise. From its establishment, around 40 scholars in total have participated in the NSP's cutting-edge projects.
- NSP analyzes current and emerging foreign affairs and national security issues in the era of transformation throughout the world. It also releases policy-relevant reports which provide an analytic framework for explaining and predicting such issues. The NSP generates rigorous discussions among domestic/foreign experts on foreign affairs and security in East Asia as well as in Korea.

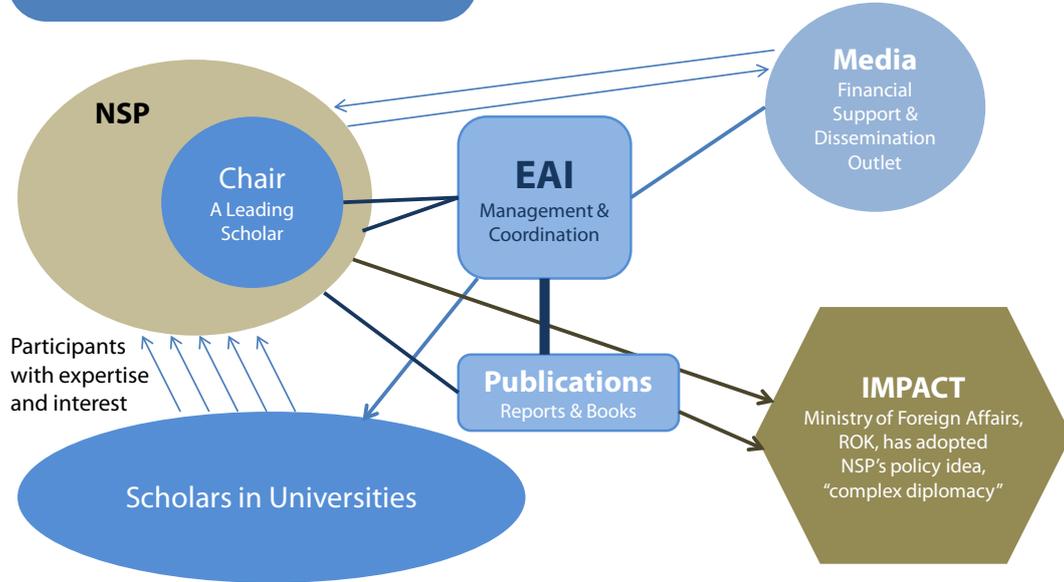
The National Security Panel (NSP) advocated the concept of “complex diplomacy” to address the changing security challenges of the twenty-first century. The concept was born from the complexity of the post-Cold War global order, and argues that the traditional issues of security and economy have been joined by a number of diversified and inter-linked challenges in the areas of environment, culture, and technology.

After several years of advocating for “complex diplomacy,” EAI has seen this notion become incorporated into the thinking of the Ministry of Foreign Affairs, Republic of Korea. At his inaugural speech on October 8, 2010, Foreign Minister Kim Sung-hwan described new foreign-policy strategies including “total diplomacy” for multiple actors and “complex diplomacy” for issue contents, as well as “digital-network diplomacy” and “soft-power diplomacy.”

Several EAI scholars also participated in a workshop with the Ministry of Foreign Affairs to discuss new visions and goals for Korea's foreign policy.

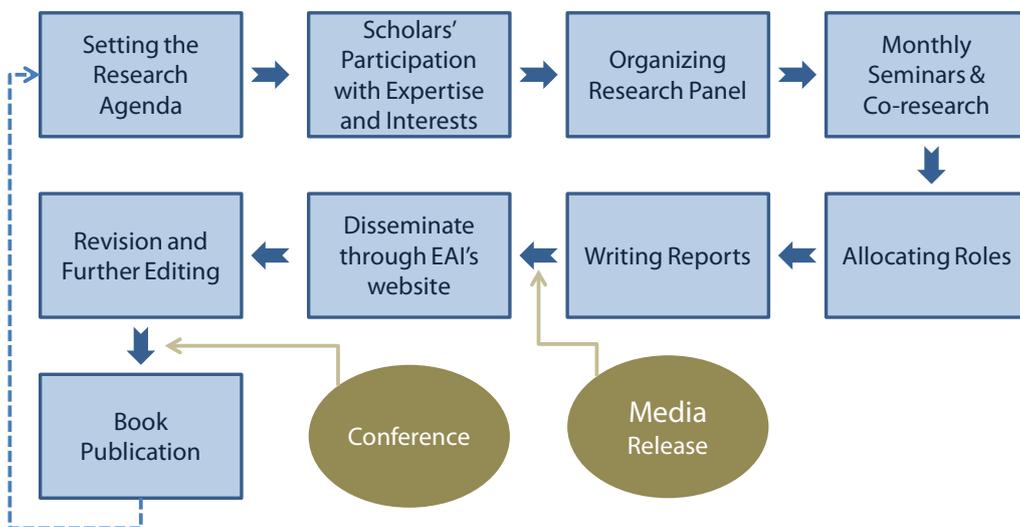
■ Network-based Research Program

Establishment of NSP



■ Network-based Research Program

Cycle of NSP's Research Activity



■ Network-based Research Program

Election Studies Panel

• Targeting Niche Market of Election Studies and Public Survey

- Panel survey method is appealing for studying elections because one of the interesting topics of election study is individual changes in voting behavior over time. EAI introduced the merits of the panel survey method to Korea's election studies, which attracted interest from politicians, political parties, the media, and the academic community.

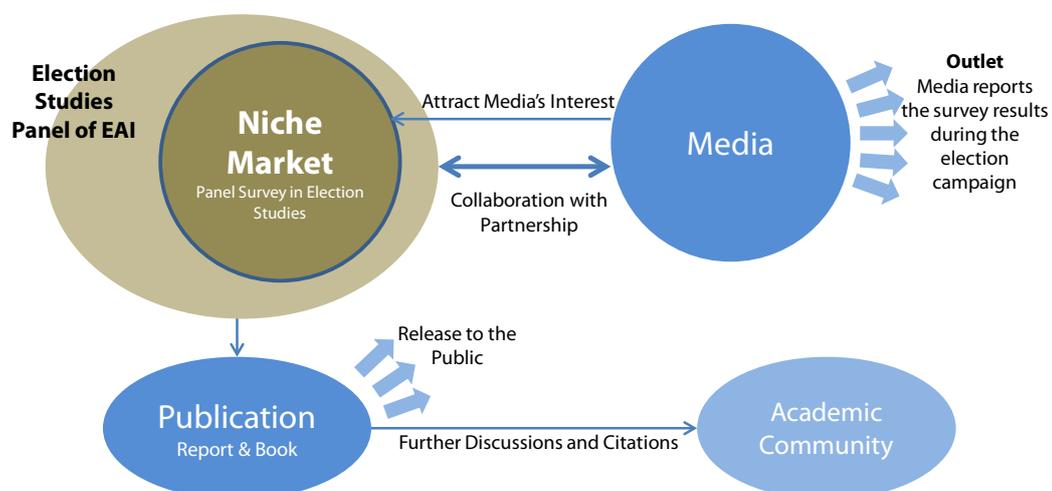
• Collaboration with Media

- From the start, the research proposal suggesting the use of panel surveys appealed to the media. EAI was able to collaborate with media, SBS and Joongang Daily, and disseminate its result through its media partners.

• **The Election Studies Panel has announced the panel survey results of local, general, and presidential elections since 2006.**

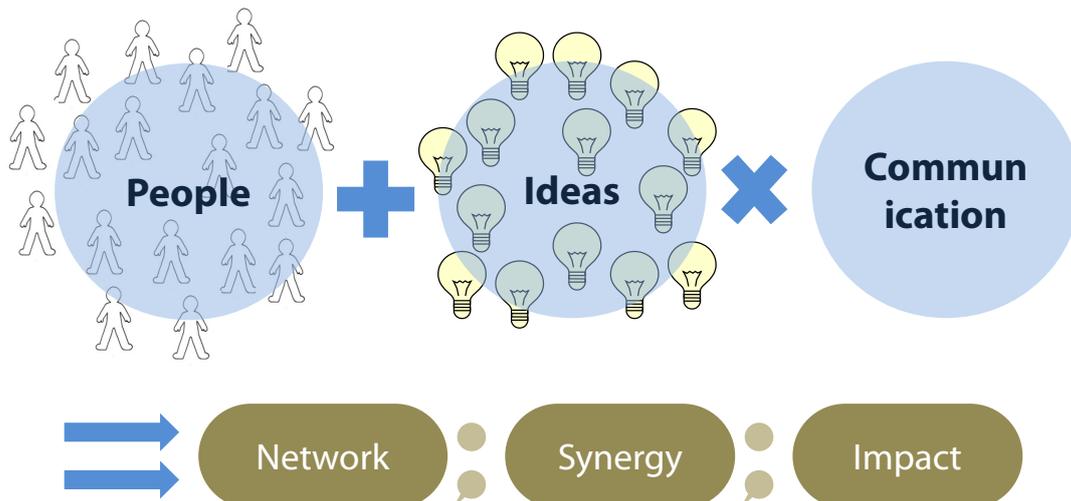
■ Network-based Research Program

Election Studies Panel



■ Forums and Conferences

Market Place of Ideas



■ Forums and Conferences

Conditions for a Successful Conference

- 

Agenda Good agendas attract good participants, including speakers (experts), audiences, and media representatives. The best format should be designed based on the agenda..
- 

Speakers Famous participants can encourage other experts' active participation and attract attention from the media and public.
- 

Management Managing the whole procedure of a conference is essential and it should flow smoothly from start to finish.

■ Forums and Conferences

Inviting Expert Participants

- List Candidate Experts Considering Their Experiences, Expertise, Affiliation, Nationality, Gender, Personality, Etc.
- Snowball Effect: Inviting one key participant who is well-known is essential. Then he/she can encourage other participants to respond to attend.
- Quality conference requires quality participants.
- Sequential Invitation: Sending invitations simultaneously can create a mix up.

No.	Name	Role	Yes	No
1	David	Keynote		v
2	John	Keynote		v
3	Mary	Keynote	v	
1	James	Discussant		v
2	Laura	Discussant		v
3	Lucy	Discussant	v	
4	George	Discussant	v	
1	Cindy	Presenter		v
2	Rachel	Presenter		v
3	Steve	Presenter	v	

■ Forums and Conferences

Successfully Managing the Conference

- **Satisfying Strategy: “EAI’s conference is worth attending”**
 - Whom should we satisfy? Expert Participants and Audience
 - Expert Participants’ Expectations: Share his/her Opinions and Ideas Freely, Communicating with Other Experts, Exchanging Ideas, Exposed to Public and Media
 - Audience’s Expectations: Meet Famous Experts, Listen to Their Ideas and Opinions, Communicate with Experts and Other Audience members, Opportunity to Raise Their Opinions
- **Check list**
 - Checklist is intended to facilitate the process and includes various activities that should be performed to assure successful conference organization.
- **Seamless Operation of the Whole Procedure**
 - Simulation in advance will help to minimize unexpected accidents.
 - Scenarios in each event and linking plan among events should be established.

■ Forums and Conferences

Successful Managing the Conference

•Contingency planning

- Prepare a plan for unexpected events and plans need to be regularly updated and tested through simulations. Prepare for problems such as missing or late speakers by organizing a few concurrent activities and keeping your organization flexible.

-Examples: Controlling the audience Q&A is difficult so try using written questions. When using simultaneous translation services , you should be prepared for confusion between the different language channels. When moving between venues, announce the proper route to avoid going back and forth.

• Publicize the Conference

-Encourage Awareness and Interest for the Conference
- Take Advantage of Multiple Channels: Posters, Invitation Letters, Placards, Media Releases, Website, Newsletter, SNS, Etc.

■ Forums and Conferences

Post-Conference

• Networking

-Forums and Conferences offer opportunities for leading scholars in Korea to meet and engage with prominent figures from around the world.
-If the conference experience is positive, the expert participants will be powerful nodes in EAI's network. It will be much easier to invite them to future events.

• Dissemination

-Policy ideas which have been produced by the conference should be widely disseminated so they can benefit society. EAI posts video clips, booklets, and reporters on the website, and opens them to the public.
-EAI tries to arrange media outlets through which expert participants can express their ideas and opinions, including interviews, dialogues, article contribution, etc.

Example: Check List for Conference Management, “The 3rd Korea-Japan Future Dialogue”

Program	Time	Items	Quan.	Person in Charge	Note
Welcoming Dinner July 17(Thur)	18:30~21:00	Name Tent	40	The Westin Chosun Hotel	
		Dinner Menu : Western x 40pax			Photographer by 6pm
		Seating Board	1		Interpreters by 6:30pm
		Red wine x 6 (1 bottle per table)	6		Banner set by 2pm
		Annual Report (ENG/KOR)	40	EAI	
		Books(2 x Korean panelists, 1xJapan panelists)	60		
		Seating Plan	10		Meeting with President Kudo at The Circle at 5:30pm
		Logistic plan	10		
		Program	40		
		Present for Guests	40		
		EAI file	40		
		Leaflet	50		
Korea-Japan Future Dialogue July 18(Fri)	Closed Session (09:00~12:00)	Name tag		The Westin Chosun Hotel	
		Seating Plan			Photographer by 9:30am
		Morning Break from 9:00-9:30	30		Interpreters by 9:30am
		Business card holder			Banner set by 8am
		Attendants List		EAI	
		Name Tent			Hotel manager : 010-3***-1**3
		Staff name tag			
		Registration list			
		Participant Table setting : Annual report(ENG,KOR), Leaflet, Logistics, Pen			
		Laptop	3		
	Luncheon (12:00~13:30)	Name tent		The Westin Chosun Hotel	1 x speech from each party
		Lunch Menu: Chinese	40		
		Seating Plan			
	Open Session(13:30~18:00)	Seating Plan		The Westin Chosun Hotel	Interpretation booth needs to relocate
		Afternoon Break	100		
	Reception (Rose Room, 18:00~18:30)	Set up : cocktail table, scattered chair		The Westin Chosun Hotel	
		Buffet menu	40		
	Farewell Dinner (18:30~20:00)	Set up : cocktail table, scattered chair		The Westin Chosun Hotel	Pianist by 6pm : 010-3372-3309
		Dinner Menu : Standing Buffet	100		
		VIP Registration		EAI	

■ Forums and Conferences

Advice to Conference Managers

Big Picture

Conference managers should always keep the “big picture” in mind while the conference is going on. Use it as a guideline.

Decisions and Instructions

Everyone will ask you constantly for decisions and instructions during the event. Your decisions and instructions should be quick and accurate.

Smile

An overwhelming feeling is “normal.” You can control and manage them all. Be confident, and smile!

Don't Regret

Fortunately, conferences are short-lived events. Don't regret anything that cannot be fixed. Focus on “NOW.”

The Importance of Conferences

As an independent think tank, the one of the main mediums for disseminating the research and ideas that are produced is conferences. Conferences are crucial because, as opposed to publications which are passive, they provide an active opportunity for the audience, experts, and institutions to come face to face with each other and share their opinions. But due to the number of people and the active nature of conferences, they can also be burdensome and difficult to manage. They can also be expensive and have a negative impact if poorly planned. Therefore, making a checklist and checking it twice is crucial to executing a solid conference where ideas freely flow and the organization comes out looking like an able communication facilitator.

■ Educational Program: KF-EAI Korea Friendship

Program Background

• Nurturing the Future

- Talented youth should lead in the future, and EAI recognizes the value in investing in education and human development.
- EAI's knowledge and ideas can be utilized as tools for education.

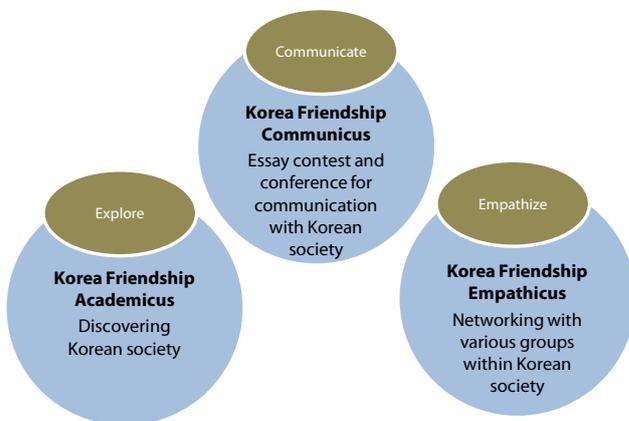
• Korea Beginning to Use Public Diplomacy

-KF-EAI Korea Friendship is a program that aims to provide educational and networking opportunities to international exchange students living in Korea. Through deepening participants knowledge of Korea, the hope is that these students will look upon Korea more fondly and become Korea's ambassadors to the world. The program also offers EAI the opportunity to expand its global network.

■ Educational Program: KF-EAI Korea Friendship

About the Program

- The programs are composed of a lecture series and networking opportunities in which students can "explore," "communicate," and "empathize" with Korea.



Event	Information
[Korea Friendship Academicus] 8 part lecture series	Discovering various aspects of Korea : economy, culture, arts, society, diplomacy, politics, and national security
[Korea Friendship Communicus] Next Generation Conference	Essay Contest and Conference
[Korea Friendship Empathicus] Korea Friendship Gala and EAI Young Festival	Commencement Ceremony and Networking Gala Program

■ Educational Program: KF-EAI Korea Friendship

The Main Characteristics

- **Maximizing Synergy and Impact through Linkage with Other Programs**
- EAI linked KF with other international conference programs, such as the 2nd Korea-Japan Future Dialogue and the Korea Global Forum 2014. Foreign students who are members of KF attended these events as observers and audience members, and they were able to experience the real public diplomacy of today and had opportunities to interact with experts and scholars.



2nd Korea-Japan Future Dialogue



Korea Global Forum 2014

■ Educational Program: KF-EAI Korea Friendship

The Main Characteristics

- **Network Expansion**
- Focus on networking between Korean society and the international community residing Korea.
- Allow international students and Korean students to expand mutual understanding through sharing ideas and cultural exchange.



Next Generation Conference



Korea Friendship Gala



EAI Young Festival

5. Impact and Dissemination



■ Impact and Dissemination: Media Relations

Media and Civil Society Organizations

• A Channel to Engage the Public in a Meaningful Way

- Media plays an important role in terms of connecting CSOs to society and maximizing the organization's impact.
- Developing an effective and sustainable media relations strategy is crucial for CSOs from the very beginning.

• Spread Your Ideas, Learn from Others

- Having an effective media relations capability allows CSOs to capitalize on the media's dissemination and feedback functions.
- Through the media, CSOs can learn just as much about the public as they can offer, ensuring projects are in touch with society as a whole.

The Importance of the Media

The media is a very important channel for CSOs to engage the public in a meaningful way. Not only does the media provide free publicity for the CSO and its activities, it also offers an opportunity to maximize impact through dissemination and feedback. Without the media, the impact of a given project would be limited and it will only be able to reach a small audience. The media is also important because it provides a glimpse into key issues that are relevant and interesting to the public. Through the media, CSOs can learn just as much about the public as they can offer and this allows them to ensure the projects are in touch with society as a whole.

Dissemination is a crucial factor for maximizing impact. Developing an ongoing relationship with the media equips CSOs with the best way to reach people who are not necessarily familiar with their projects and provide them with an opportunity to learn more

■ Impact and Dissemination: Media Relations

The Importance of the Media

• Dissemination

- CSOs can reach people who are not familiar with their projects and provide them with the opportunity to learn more about the organization by disseminating their outputs through the media.
- Media relations is key to ensure the effectiveness of the CSO's website or subscription base by increasing their accessibility to the public.

• Feedback

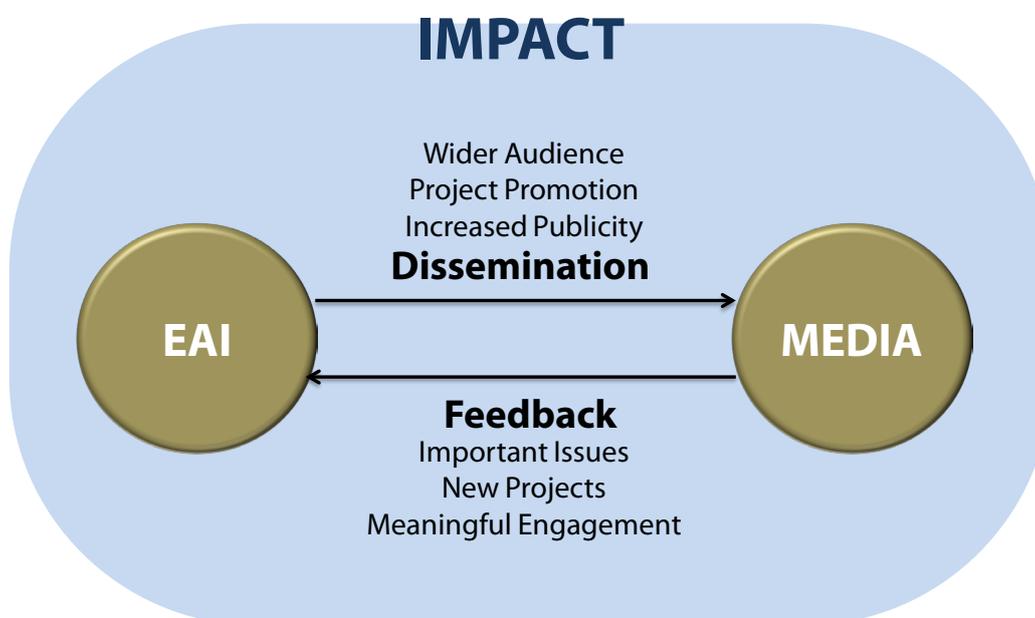
- The media can offer a glimpse into key issues that are relevant and interesting to the public by means of providing feedback to CSOs.
- CSOs can also raise new and important issues for society by engaging with the media and identifying what issues are not being addressed.

about the organization as well. While a well-managed website or a strong subscription base is necessary to increase the public's accessibility to the CSO, media relations is key to ensure the effectiveness of such channels by bridging them with a wider audience.

Feedback is another important factor for CSOs to consider when they seek to maximize impact. Without knowing how the outcome of a given project is received by the public, CSOs could often find themselves isolated from the relevant issues among its peers as well as the public. Oftentimes, reporters can provide important feedback to CSOs by letting them know what they are interested in, which in turn reflects the interest of the general public. This does not mean that CSOs should always invest in projects that the media desires, and it is equally important for CSOs to raise new issues that the media or the general public are not aware of. Nevertheless, CSOs can learn from the feedback they receive from the media, and use them to the benefit of ongoing and future projects.

Considering these aspects, the media plays an important role in terms of connecting CSOs to society and maximizing the organization's impact. Starting from the very beginning, therefore, it is crucial for CSOs to utilize the media and benefit from its capabilities including dissemination and feedback by developing an effective and sustainable media relations strategy.

■ Impact and Dissemination: Media Relations



EAI's Media Relations Strategy

EAI has always considered the media to be a key partner in promoting its projects as well as the institute, improving the quality of its research, and addressing the most relevant issues that are of interest to people of South Korea and the world. In order to ensure an effective and sustainable media relations capability, EAI has been implementing a network based strategy by nurturing its relationship with a core group of individual journalists as well as newspaper companies.

For EAI, the media is not only a channel to promote its projects, but also a platform where researchers and journalists come together to develop new ideas under a common interest. For instance, EAI would engage in joint projects with a newspaper company by identifying a topic that is interesting from the media's perspective, and that which EAI could offer its expertise. This has been the case for a number of activities under EAI's public opinion studies program including projects related to Korea-U.S. relations, Korean identity, and perceptions toward the economy.

■ Impact and Dissemination: Media Relations

EAI's Media Relations Strategy

- **Why Media Matters**

- EAI has always considered the media to be a key partner in promoting its projects as well as its institute, improving the quality of research, and addressing the most relevant issues that are of interest to the general public.

- **Finding Common Ground**

- For EAI, the media is not only a channel to promote its projects, but also a platform where researchers and journalists come together to develop new ideas under a common interest.

- **Building a Sustainable Network**

- Nurturing a meaningful relationship with individual journalists as well as newspaper companies is key to EAI's network based media relations strategy.

The EAI-Press Forum is an ongoing monthly seminar series that offers a core group of domestic and international journalists the opportunity to interact with experts and engage each other through discussions on a topic of mutual interest. Through this program, EAI has been able to nurture meaningful relationships with these journalists who are eager to learn about other projects in the organization and become more active in terms of dissemination and feedback.

While joint projects and seminars proved to be an effective way to increase EAI's visibility and exposure to the media, such opportunities were often rare during the early stages of EAI's growth and development. Taking the first step required EAI to exert extra effort in terms of establishing itself as a reputable expert organization that not only appeals to the South Korean public but also to the broader international community. It also required EAI staff members to engage with journalists and manage their contact information on a regular basis, often by providing Korean and English newsletters as well as well written press releases for projects and events.

■ Impact and Dissemination: Media Relations

How EAI Works with the Media

- **Joint Projects in Public Opinion Studies**

- EAI's public opinion studies program, including topics related to Korea-U.S. relations, Korean identity, and perceptions toward the economy, were carried out as joint projects with the media.

- **EAI-Press Forum**

- Through a monthly seminar series, EAI offers a core group of domestic and international journalists the opportunity to interact with experts and engage each other through discussions on a topic of mutual interest.

Prior to these projects, EAI had to first establish itself as a reputable expert organization that could appeal to the general public.

It was also important for EAI staff members to regularly engage with journalists, manage their contact info, and provide newsletters and well written press releases on projects and events as necessary.

As a small but effective organization, the key to EAI's media relations strategy was in the networking capability of the staff members who could develop relationships with journalists in a sustainable manner. Finding common ground has also been a focal point in EAI's approach to the media, which often led to new and more interesting projects that could bring about a greater impact on society. Based on this strategy, EAI continues to strengthen its media relations capability so that it contributes to the goal of maximizing impact.

■ Impact and Dissemination: Publication

Journal of East Asian Studies

- **Publication Model based on Roundabout Strategy**

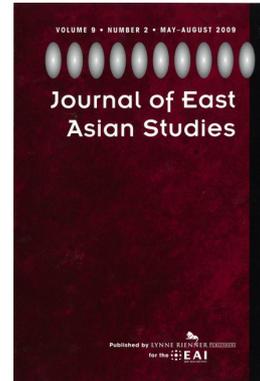
- Targeting scholars all over the world whose expertise is East Asian study
- Publication of quality articles made the journal prestigious.
- Since 2008, JEAS has been included in the Social Science Citation Index.

- **Leading Role of Editor**

- EAI invited Prof. Stephan Haggard (UC San Diego) to be the Editor of JEAS, as he is one of the leading scholars on Asian studies with high productivity.
- EAI endowed him with leadership to shape and develop the journal into a world class publication.

- **Partnership with a Publisher based in the U.S.**

- Considering the target readers and market, EAI decided to outsource publication and marketing to U.S. based Lynne Rienner Publishers
- Beginning in 2016, JEAS will start a new partnership with Cambridge University Press.



■ Impact and Dissemination: Publication

Journal of East Asian Studies

It was very difficult to put the JEAS on the “normal” track of an academic journal. No one knew about the journal so there was a lack of quality article submissions, and scholars hesitated to be peer-review referees. Two strategies were considered: linking and network.



Prof. Stephan Haggard
Editor, JEAS

Linking Strategy: Linking with Other Programs

- EAI Fellows Program: Fellowship awardees were required to submit their research paper to JEAS
- Conferences: Presentation papers at a conference were encouraged to submit to JEAS
- Submission of Quality Articles to the JEAS

Network Strategy: Editorial Board and Referees Group

- Construction of the JEAS Editorial Board with Leading Scholars from all over the World
- With the editorial board members' network, inviting a peer-review referee became easier.

■ Impact and Dissemination: Publication

Annual Report

In business, an annual report is a comprehensive report on a company's activities throughout the preceding year. Annual reports are intended to give shareholders and other interested people information about the company's activities and financial performance.

Publicize
Activities and
Performances

Include
Financial
Report for
Shareholders



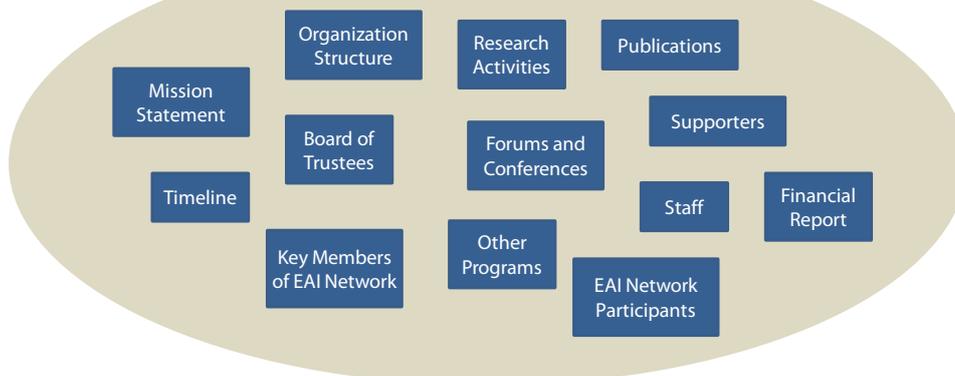
Legal Requirement (for Profit-seeking organization)

■ Impact and Dissemination: Publication

EAI's Annual Report

- Considering its capacity, EAI chose to publish a "biannual" report.
- Without legal requirement, EAI focuses on its publicizing function.
- English and Korean versions are published.

EAI's Annual Report



■ Impact and Dissemination: Publication

Reports and Books

- Reports and Books are the final product of EAI's research programs, and they deliver ideas to readers who are interested in the issue.

Reports

- Timing is important.
- E-Publication: Rapid release and dissemination
- Various Formats: Working Paper, Issue Briefing, Memo, Special Report, etc.

Books

- Long-term publication
- Book publication takes much longer than reports.
- Outsourcing: Design, Printing, Marketing, Stock Management
- Catchy Cover Design and Title

* All of EAI's publications should be registered to the governmental authority, the National Library of Korea.

Publications are your First Impression

Whether it is a poster inviting the public to a conference, an article in a newspaper, or the homepage of your website, publications often provide your clients with their first impression of your organization. And as we all know, first impressions are extremely important and can often make or break a relationship. Publications need to be catchy and attention grabbing, well designed, use accurate language and grammar, and be informative, all at the same time. Publications should be reviewed, reviewed, and then reviewed one more time. Catching that one tiny error may be the difference between having the audience show up at 10:00 am instead of 10:00 pm.

Impact and Dissemination: Web Service

Building a Website

● Main Components : Domain, Web and Server Hosting, Web Document

- **Domain** : Find a Professional Service and Register
- **Hosting** : Find a Company that Has a Dedicated Line for High-speed Internet that Leases or Provides Server Space Internet
 - Web Hosting: Used by Multiple Users at One Time, Cheap Price, Limited Authority and Resources
 - Server Hosting: Single User Server, Guaranteed Security, Independent Network, High-speed Access
- **Web Document** : HTML and other coding and design work can be done through a manufacturer
- **Procedure for Building a Website**



Impact and Dissemination: Web Service

EAI Website

● Introduction

- Redesign: June 1, 2009
- Languages: Korean, English, Chinese
- Menu: About the Institute, Publications, News and Events
- Special Features
 - All Three Languages are Updated Simultaneously
 - Contents are Searchable by Title, Keyword, and Tags
 - PDF Files are Freely Downloadable
 - Interviews, Lectures, and other Videos are Viewable
- Mobile site will open in September 2015.



■ Impact and Dissemination: Web Service

EAI Website

● Functions

- Provides Access to All EAI Programs and Contents
- Functions as a Public Space Where Anybody Can Access EAI Research and Reports
- Serves as an Archive for All of EAI's Research

● Admin Page (<http://www.eai.or.kr/admin/>)

- A Separate Page for Posting Content, Only the Webmaster Can Access this Page
- Real-time Updates on Newsletter Subscriptions, Requests for Conferences and Other Activities

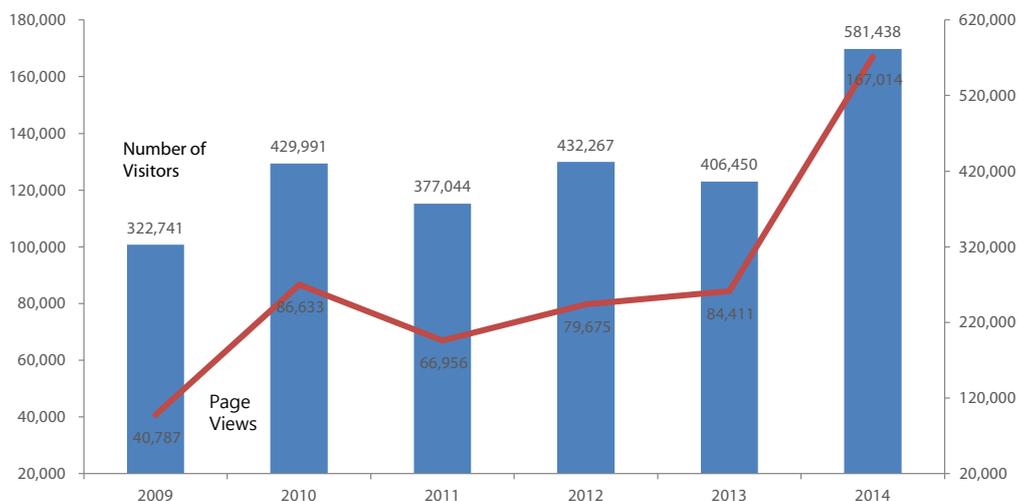
● Analysis of Visitors: Drawing up Monthly Reports on Visitor Activity

- Utilization of Google Analytics <https://www.google.com/analytics/>
- Programs can be improved or planned based on the number of views
- Understanding the Country of Origin, the Access Method, etc.

■ Impact and Dissemination: Web Service

EAI Website

Page Views and the Number of Visitors by Year (June 2009 – December 2014)



■ Impact and Dissemination: Web Service

EAI Website

Visitors Based on Country (July 1 – 31 2015)

Nations	Rate of Visitors	Change in Rank
1.  South Korea	71.82 %	-
2.  United States	9.48 %	-
3.  Japan	2.89 %	-
4. (not set)	2.80 %	 Previously 5th
5.  China	2.27 %	 Previously 4th
6.  United Kingdom	1.13 %	 Previously 7th
7.  Germany	0.97 %	 Previously 10th
8.  Taiwan	0.86 %	 Previously 6th
9.  Australia	0.71 %	 Previously 19th
10.  India	0.56 %	 Previously 11th

■ Impact and Dissemination: Web Service

EAI Website

● Posting

- Posting Procedure: Request for Posting → Apply for an ISBN → Convert File to PDF → Compile Images → Connect with Related Project and Event → Enter Each Itemized Content → Upload Main Page → Request Confirmation → Disseminate on Facebook and Twitter
- Decide Before Posting Whether the Content will be Included in the Newsletter.
- If content includes a video, prepare the video in various formats on Youtube. After uploading on Youtube, enter the source code and share on Facebook and Twitter.

● Cost

- Domain : 20 USD/Year
- Server Hosting : 190 USD/Month (Firewall, Storage, Network)
- Licensing Fees for Server Management (One-time Fee) : Windows Server 2012, MS SQL Server 2014, Dext Upload, SSL Security Key

■ Impact and Dissemination: Web Service

Newsletter

● Introduction

- Languages: Korean, English, Chinese
- Types: Monthly Newsletter, Publications, Event Invitations, Media Releases, and Other Announcements
- Recipients: Email Group Register on EAI's DB
- Procedure: Request Newsletter Release (Headline and Article) → Design Sample (HTML Coding) → Pre-test → Final Confirmation → Release (High Volume Email Sender)

● Email Group

- Target : Subscribers, Supporters, Participants of EAI's Network, Etc.
- Monthly Newsletter: Korean (Around 5,200 Recipients), English (1,200), Chinese (500)
- Targeting Recipients Based on the Type and Contents of the Newsletter

■ Impact and Dissemination: Web Service

Newsletter

● Points to Keep in Mind

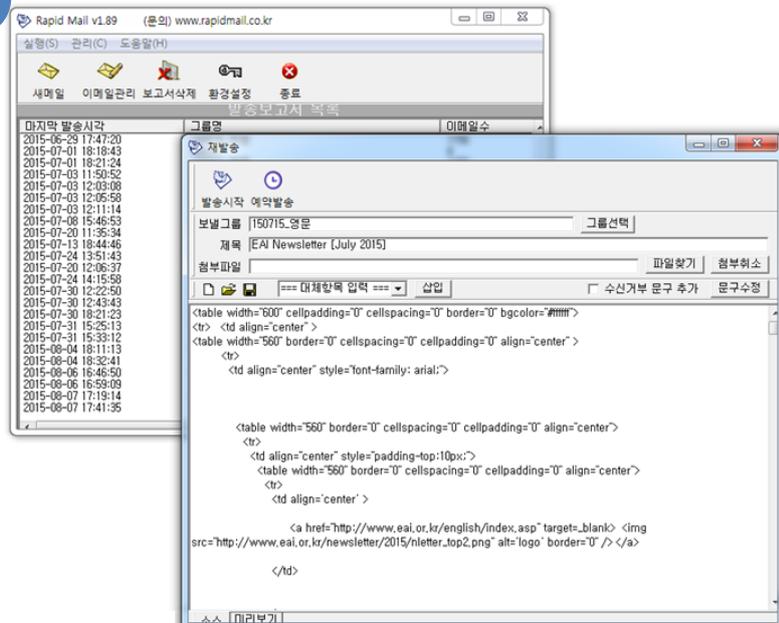
- A Window into EAI
 - Design Gives the First Impression
 - Draw Attention to Core Contents
 - Use Images, Minimize Text
- Reader Friendly
 - Importance of Cover Story
 - Catchy Headline
 - Simple and Concise Articles
 - Followed Up With Articles about EAI's Various Activities and Publications



■ Impact and Dissemination: Web Service

Newsletter

**High
Volume
Email
Sender**



■ Impact and Dissemination: Web Service

Social Network Service (SNS)

● Why is SNS Important?

- SNS is one of the most active communication tools today
- EAI can disseminate updates quickly and widely through SNS
- EAI also manages closed groups for some projects on SNS

● Current Status of EAI's SNS Usage (As of August 14, 2015)

- Facebook: 2,188 Likes on EAI Page
- Twitter: 9,879 Followers
- Youtube: 43,416 Views



• www.facebook.com/EAIorkr



• twitter.com/eai_2002



• www.youtube.com/eaiorkr

■ Impact and Dissemination: Web Service

Effective Management of Web Service

Real-time and Simultaneous Updates

- Website
 - Newsletter
 - SNS
- + Multi-Language

User Friendly Design

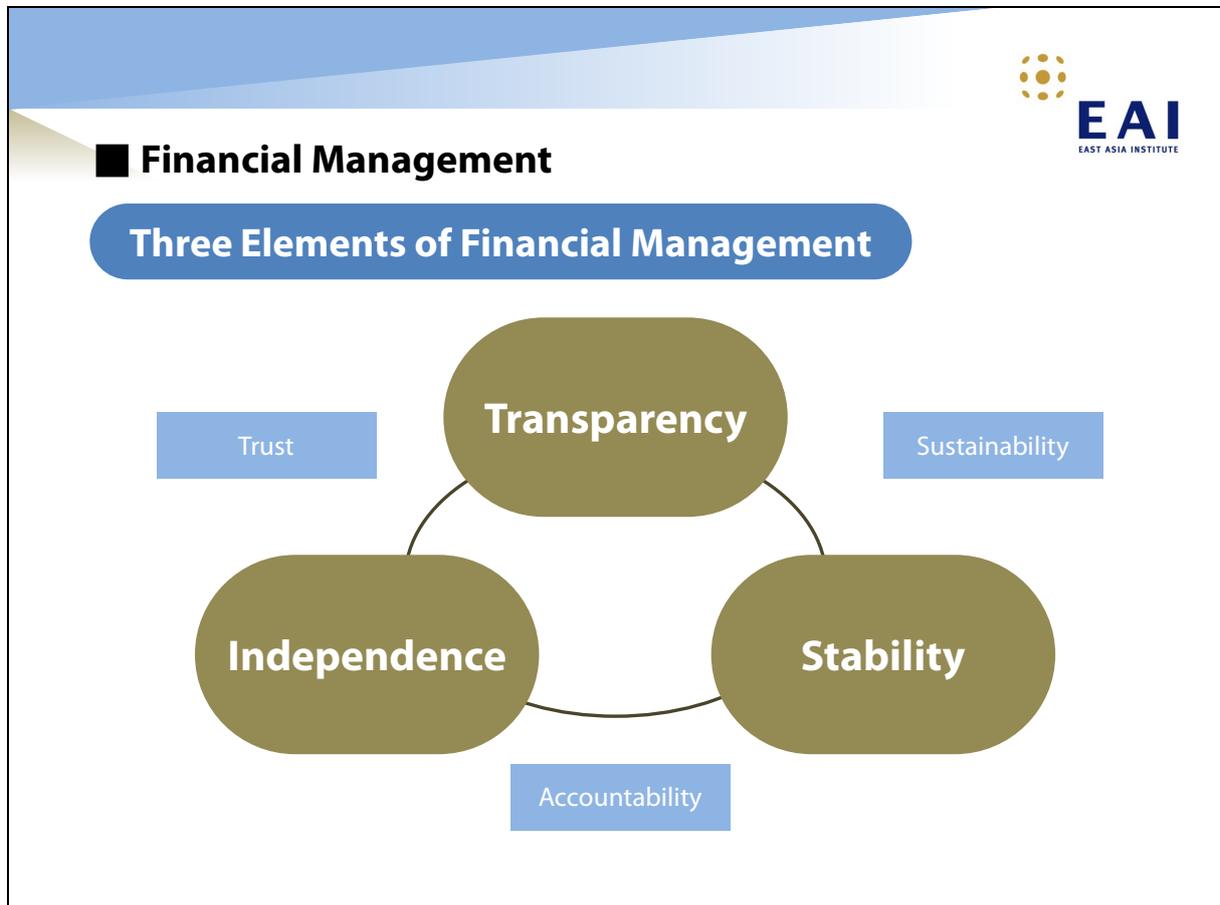
- Good Impression
- Easy Access

Multiple Channels

- Access to EAI
- Disseminate to the Audience
- Extension of Impact

With the development of internet and information technology, small think tanks with limited funds can use these channels to disseminate their ideas and products to more people than ever before. Therefore, we should take advantage of these new outlets.

6. Financial Management

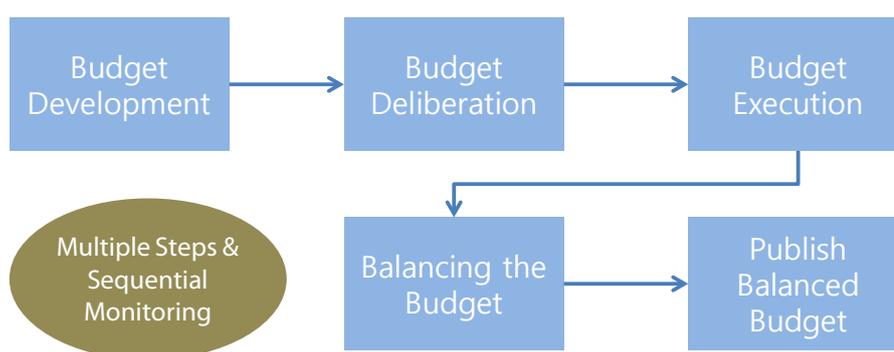


- Transparency guarantees that donors and the public can monitor how EAI uses its funds. This builds trust in the organization by proving that EAI uses its funding for research and programs that better society.
- To be an independent think tank requires deflecting attempts by funders to control the results of research or program planning. This builds up accountability by showing that EAI is not shackled by interest groups or political influence.
- Stability requires that there is a constant inflow of funds and that those funds are properly budgeted and not wasted. Financial stability helps an organization to be sustainable by allowing it to continuously impact society.

■ Financial Management

Transparency

- EAI strives to have an open and transparent process of financial management as a means of building up public trust by setting up multiple steps of sequential monitoring.



- **Budget Development:** At the end of every year, we receive the following year's budget for individual programs from each Program Officer and the chief of staff and accountant develop a budget for the entire organization.
- **Budget Deliberation:** The budget is then put before the Board of Trustees for approval.
- **Budget Execution:** After receiving the approval of the Board of Trustees, the budget is executed. The process of implementing the budget contains the following steps: 1) Program Officers make a request to the Administration Team for paying expenses 2) The Administration Team reviews the request and organizes appropriate materials 3) The Chief of Staff approves the request 4) After the funds are dispersed, the accounting records are updated 5) Accounting records are balanced monthly 6) Chief of Staff reviews the accounting records 7) Board of Trustees receives a monthly report.
- **Balancing the Budget:** Every year, program expenses used over the course of a year (January - December) need to be accounted for and thus the budget is balanced. After preparing the necessary financial documents including financial statements, an external audit is performed and the results of this audit are submitted to the Board of Trustees. The Board of Trustees then approves the final draft of a balanced budget report.
- **Publish the Balanced Budget:** The information such as the amount of funds raised and how those funds were used is published on the EAI website and EAI provides the National Tax Service with the required financial documents.

■ Financial Management

Independence

- Without financial independency, carrying out independent research may be difficult, thus adversely affecting accountability.
- EAI's fund-raising strategy is focused using diverse sources and project-based funding.
 - Since EAI raises funds from a variety of individuals, businesses, and foundations both domestically and internationally, no one individual or group can exert overbearing influence on EAI operations and research.
 - This also helps EAI remain stable. If one source of funding is withdrawn or the economic situation deteriorates causing businesses to cease funding, EAI can continue operating using other funding sources.
 - Independence keeps its financial management transparent. Because each funding source is applied to a specific program, it is difficult for those funds to be shifted towards other uses.
 - Most importantly, research can be conducted free of outside political or financial influence.

EAI works very hard to maintain its financial and operational independence so that it can be considered a reliable and unbiased organization. If EAI relies too heavily on a single individual, business, or foundation, there is the danger that that individual contributor will exert influence over EAI's research and programs. Also, if one organization has heavy influence over the financial management of EAI, it may be difficult to maintain transparency.

Therefore, maintaining financial independence is critical for ensuring that research is conducted independently and in the best interest of the public, financial management is transparent, and EAI can continue to freely pursue its mission statement. EAI's main strategy for maintaining its financial independence is working with a wide variety of foundations, businesses, and individuals, and also receiving funds from different sources based on the project those funds will be used for.

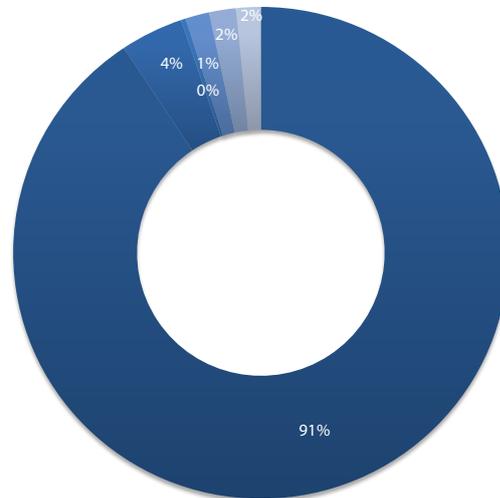
Financial Management

Independence

Diverse Funding Sources by Numbers

(Average from 2010-2014)

- Individual
- Corporation
- Media
- Government (Central/Local)
- Domestic Foundation
- Overseas Foundation



	Individual	Corporation	Media	Government (Central/Local)	Domestic Foundation	Overseas Foundation
Number	291.4	13.2	1	5	5.6	5.2
Rate	91%	4%	0%	2%	2%	2%

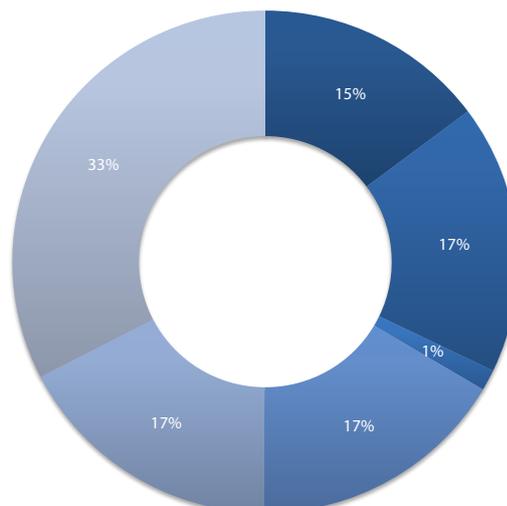
Financial Management

Independence

Diverse Funding Sources by Volume

(Average from 2010-2014)

- Individual
- Corporation
- Media
- Government (Central/Local)
- Domestic Foundation
- Overseas Foundation



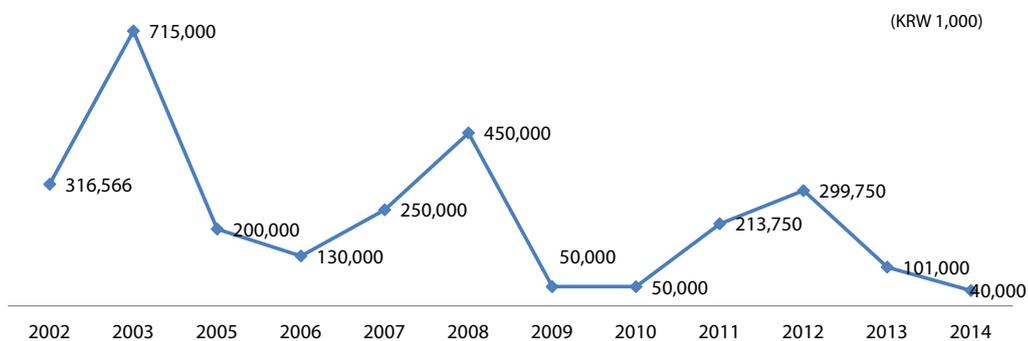
	Individual	Corporation	Media	Government (Central/Local)	Domestic Foundation	Overseas Foundation
KRW 1,000	263,455	309,300	23,992	295,754	308,708	580,342
Rate	15%	17%	1%	17%	17%	33%

■ Financial Management

Stability

- Long-term Development Fund: EAI has created a fund that can be used for short-term operating costs in emergencies and also provides a sense of stability for the organization.

The Long-term Development Fund's Fundraising Status



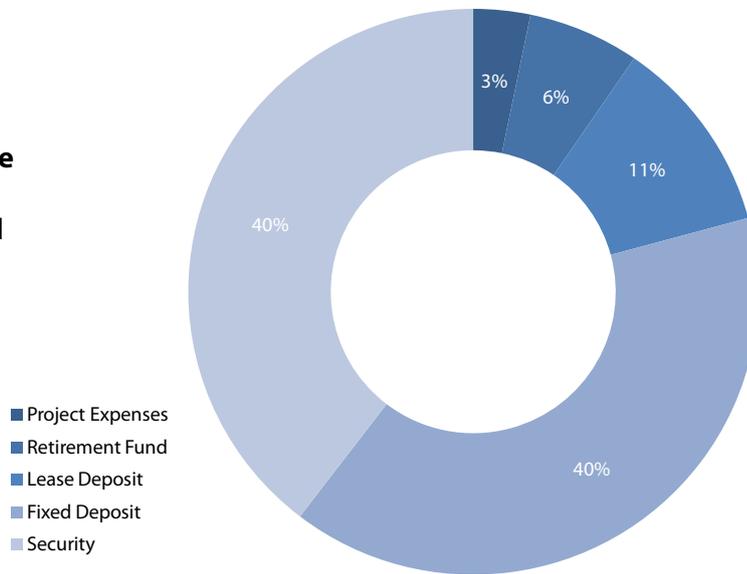
Becoming financially stable is the most vexing problem for independent organizations. Nonprofit organizations that are dependent on outside donations and funding can be affected greatly by outside circumstances. For example, if the economy turns bad or even the attitude of management changes, a business or foundation providing funds to EAI may suddenly cease making contributions. Therefore, nonprofit organizations must have a back-up plan.

EAI conducts separate fundraising activities to develop a long-term development fund, the fund providing a much needed sense of stability for the organization. Short-term operating funds can be taken from this fund, and EAI's long-term stability can also be planned. In addition, EAI's financial committee is composed of 9 finance experts who can effectively and stably manage this fund. They provide expert advice for EAI's daily operations as well.

Financial Management

Stability

Current Status of the Long-term Development Fund





LEADERSHIP DEVELOPMENT PROGRAM

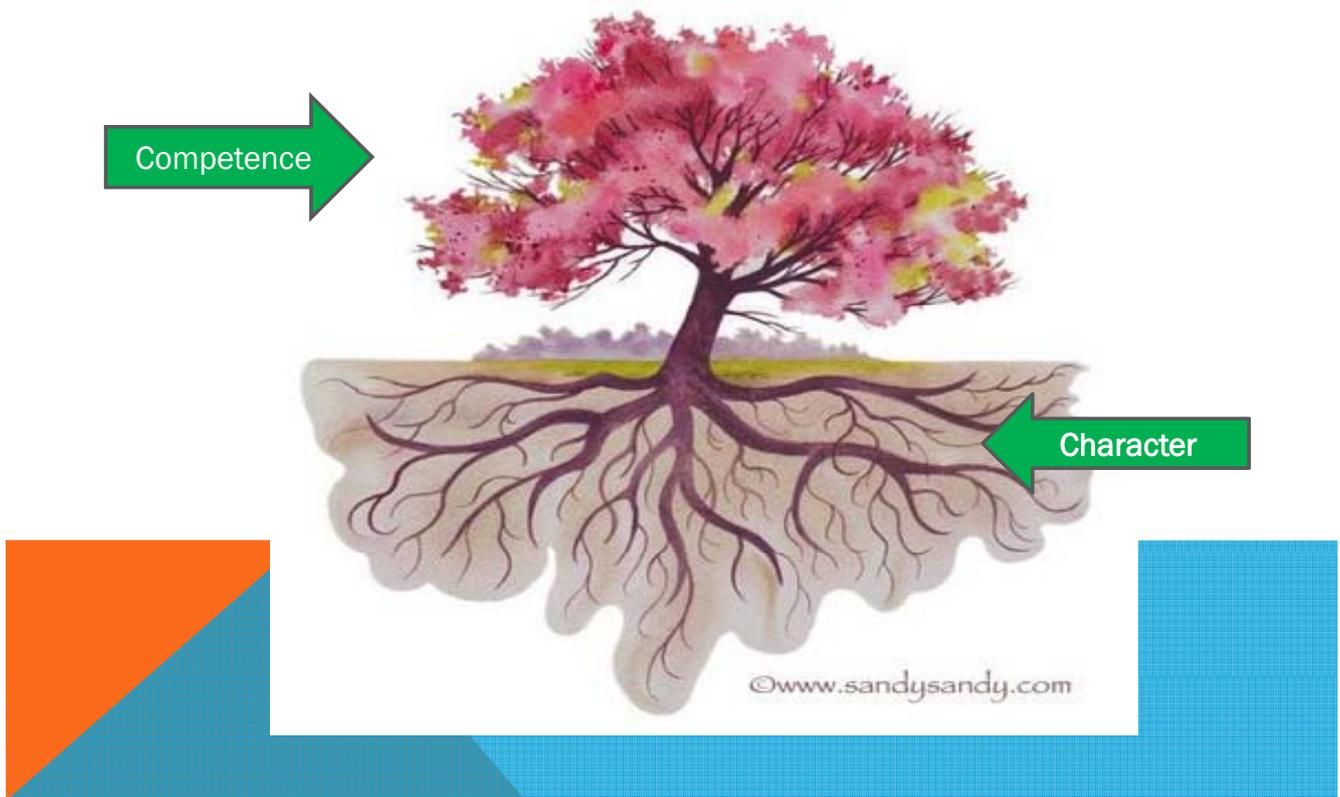
LEADERSHIP PROGRAM

Women Leadership

Youth Leadership

Political Leadership

TO BE A GOOD LEADER



LEADERSHIP SKILLS

- ❖ Leadership skills
 - self awareness, self analysis,
 - analytical tools, social research skills
 - time management
 - decision making
 - negotiation, conflict resolution
 - community mobilization,
 - Communication skills
 - Women Can Do It followed by two-minute talk of each participant
- Knowledge
 - reproductive health,
 - gender,
 - Laws for women protection,
 - women rights and politics,
 - women rights and laws related to women in Myanmar,
 - human rights,
 - governance, public policy
 - Special talks, joining events, excursion trip

PROCESS

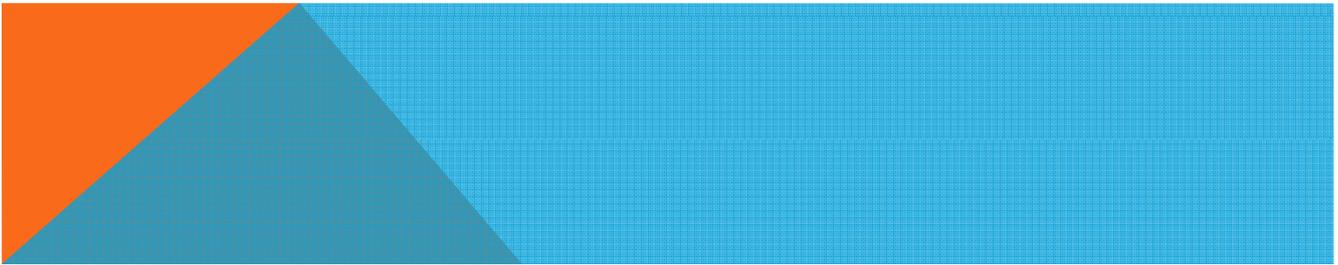
Participants are from different parts of the country, from different political parties and civil society organizations and from the age range of 16 to 35 (but up to 40)

- Six weeks long training, living in the same hostel
- Assign duties to different groups for hostel as well as for class
- Work together to submit research paper at the end of the program

Create equal, inclusive and supportive environment for all!

Democratic practices:

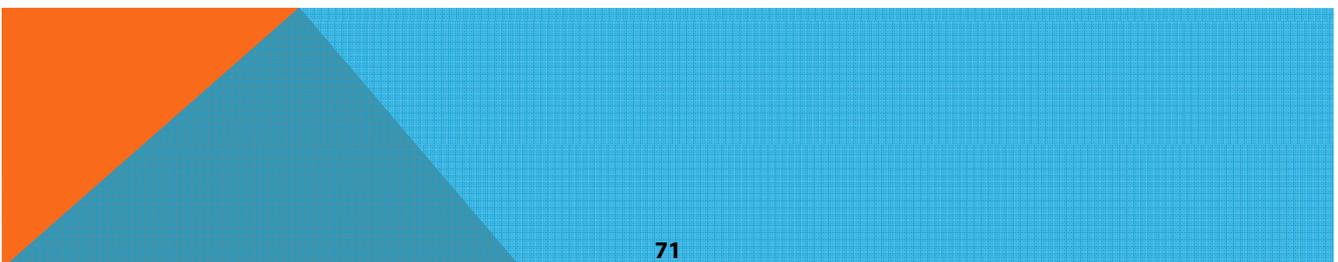
- All the participants agree on the criteria to score the best paper
- Each participant votes for the best paper and outstanding student democratically



THE MOST SIGNIFICANT CHANGES

Nearly 250 women from all over Myanmar joined the training program since 2012.

- After six-week training program, can see more confident women
- Get acknowledgements from their leaders
- Some got promoted or became leaders in their political parties especially in ethnic parties
- Candidates for 2015 election
 - 4 candidates in NLD
 - 1 from KPP
 - 1 from MNP
 - 1 from Kayan National Party
 - 1 from TNDP
 - 2 from Lahu Party





**THANK YOU FOR YOUR KIND
ATTENTION**
DISCUSSION TIME.....

Organization and Human Resources



Sandhi Governance Institute



What is an organization?



- Basically, an organization is a group of people intentionally organized to accomplish an overall, common goal or set of goals.



ESSENTIAL ELEMENTS OF AN ORGANIZATION

What are the key components of an organization to function well?

Key Components



If we think of organization as a system, it needs inputs, processes, outputs and outcomes.





I. Oversight and vision

- **Advisory board - oversight**
- **Vision statement**
- **Mission statement**
- **Autonomy – for decision making**



II. Management resources

- **Information system**
- **Planning**
- **Participatory management**
- **M&E**
- **Leadership style**
- **Communication system**



III. Human Resources

- **Staff skills**
- **Staff development**
- **Organizational diversity**



IV. Finance Resources

- **Finance Management**
- **Financial Vulnerability**
- **Financial Sufficiency**



V. External Resources

- **Ability to work with NGO**
- **Ability to work with CBO**
- **Relations with the Government**
- **Public Relations**

III. Human Resources





Human Resources

- Why important?
- What are important?
- Challenges
- How to improve? What is Sandhi doing?



Why important?





Why important?



What are important?



Human Resources

1. Organizational chart
2. Transparent Interview Process
3. Staff Training Strategy
4. Job descriptions
5. Committed staff
6. Conflict Resolution Procedures
7. Internal Training

Challenges



Staff recruitment

- Trust
- Chemistry with existing team
- Right skills, knowledge, teamwork,
- Level of experience
- Getting right staff

Challenges



- Second line leaders
- Committed staff
- Governance: Clear reporting system (accountability and transparency)

How to improve?



Page 1

Management Resources

Management resources include management of human resources, financial resources and material resources in addition to planning and monitoring the whole procedure. However, in this training catalogue subject-related training and expertise including financial reporting, financial system setup and some human resources and computer related trainings will not be included for individual learning.

All minimum standard an organization should have a clear direction. Then depending on the size and nature of the organization, management capacity needs can be different among different organizations. Management resources include learning, monitoring and evaluation of organization process and impact, and communication system. Then again, leadership skills of different organizations shape the organization's culture and direction. The capacity of an organization can be seen by looking at how an organization manages its resources effectively and efficiently. Different range of trainings and workshops are recommended under management resources and it is highly recommended to send the appropriate staff to join the appropriate training or workshop organized to get the results expected.

Management is doing things right. Leadership is doing the right things.
Peter Drucker

Leadership and Management Trainings and Workshops

Topic: How to be a good manager
Duration: 3 days
Who should join: Managers and staff into managing the projects and organization.
Expected outcome: Improved general management skills.

Topic: Office Management
Duration: 3 days
Who should join: Admin staff or staff responsible for office management.
Expected outcome: Improved filing system, resource management and office management skills.

Topic: Organizational Management
Duration: 2 days
Who should join: Relevant staff responsible for organizational development.
Expected outcome: Improved organizational management skills including designing org structure and organizational policies.

Topic: Managing team
Duration: one day
Who should join: Relevant staff from program and operations.
Expected outcome: staff with improved team management skills.

Topic: Team building and leadership skills
Duration: 2 days
Who should join: Organization's leaders and key staff.
Expected outcome: Improved team building and leadership skills.

Topic: Team building
Duration: one day
Who should join: The whole organization.
Expected outcome: Improved team spirit and understanding among the organization.

Topic: Designing an organizational structure chart
Duration: one day
Who should join: Responsible managers, leaders and Directors/ Admin staff.
Expected outcome: updated organizational structure of the organization.

March 2011

Page 2

Leadership and Management related workshops

Topic: Effective decision-making skills for managers
Duration: three days
Who should join: managers and key staff of the organization who want to learn decision-making skills, analytical tools and decision-making skills.
Expected outcome: Managers can better create thinking and decision-making skills.

Topic: How to develop administrative procedures
Duration: 1 to 2 days
Who should join: Office Admin managers or staff who are responsible for administration and appropriate admin officials staff.
Expected outcome: Well defined administrative procedures for the organization.

Topic: Decision making on management is an important skill - and making the right decisions is essential. Always making or should be looking to improve their decision-making skills.

Topic: Partnership management
Duration: one day workshop
Who should join: staff responsible for partnership management in the organization and key staff who need to get involved in the partnership program.
Expected outcome: a potential sharing employee organization to set up effective partnership program.

Topic: Volunteer management
Duration: one day
Who should join: staff responsible for volunteer management and key staff who needs to manage volunteers.
Expected outcome: Effective volunteer management strategy and volunteer program.

Topic: Time management
Duration: half day to one day
Who should join: Managers and admin staff.
Expected outcome: Improved time management.

Project Cycle Management trainings

Topic: Project Cycle Management
Duration: 3 days
Who should join: Program project managers, staff who are responsible for the projects of the organization.
Expected outcome: skilled project managers and project staff who can manage the project's effectively.

Topic: Proposal writing
Duration: 2 days
Who should join: Program project managers, staff who are responsible to write proposals.
Expected outcome: increased number of staff who can prepare proposal for the project, they can follow-up.

Topic: Monitoring and Evaluation
Duration: 2 days
Who should join: Program staff and staff involved responsible to monitor the progress of organizational plan in general.
Expected outcome: Improved monitoring, evaluation skills and could develop SMART indicators.

Topic: Social research skills for project managers
Duration: 3 days
Who should join: Program staff and staff involved responsible to design project and do research.
Expected outcome: improved social research skills essential for project managers.

How to improve?



- ✓ At individual level,
 - Work related skills, knowledge, working with team, Attitudinal change, work ethics
- ✓ At organizational level
 - Strategic plan, organization chart, clear JD, organizational policies, clear communication channel, performance management system, regular meetings and information sharing system,

How to improve?



- Create enabling environment for staff
Motivation, friendly working environment, open door policy, working space, career prospects, equal opportunities, inclusive environment
- Delegation of work
- Team building, team spirit
- Second line leaders



Thank you!

Questions and Answers



Organization as a System

A system is an organized collection of parts that are highly integrated in order to accomplish an overall goal.

The system has various inputs which are processed to produce certain outputs, that together, accomplish the overall goal desired by the organization.

There is ongoing feedback among these various parts to ensure they remain aligned to accomplish the overall goal of the organization.

There are several classes of systems, ranging from very simple frameworks all the way to social systems, which are the most complex. Organizations are, of course, social systems.

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Organization as a system

- ❖ Systems have inputs, processes, outputs and outcomes.
 - Inputs to the system include resources such as raw materials, money, technologies and people.
 - That go through a process where they're aligned, moved along and carefully coordinated, ultimately to achieve the goals set for the system.
 - Outputs are tangible results produced by processes in the system, such as products or services for consumers.
 - Another kind of result is outcomes, or benefits for consumers, e.g., jobs for workers, enhanced quality of life for customers, etc.
- ❖ Systems can be the entire organization, or its departments, groups, processes, etc.

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Organization as a system

Feedback comes from, e.g., employees who carry out processes in the organization, customers/clients using the products and services, or from the larger environment of the organization, e.g., influences from government, society, economics, and technologies.

- The organizational system is defined by, e.g., its legal documents (articles of incorporation, by laws, roles of officers, etc.), mission, goals and strategies, policies and procedures, operating manuals, etc. The organization is depicted by its organizational charts, job descriptions, marketing materials, etc. The organizational system is also maintained or controlled by policies and procedures, budgets, information management systems, quality management systems, performance review systems, etc.

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Organization as a system

- Each organization has numerous subsystems, as well.
- Each subsystem has its own boundaries of sorts, and includes various inputs, processes, outputs and outcomes geared to accomplish an overall goal for the subsystem.
e.g. departments, programs, projects, teams, processes to produce products or services, etc.
- Organizations are made up of people -- who are also systems of systems of systems -- and on it goes. Subsystems are organized in an hierarchy needed to accomplish the overall goal of the overall system.

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What is organizational development?

- Organization Development is the attempt
 - to influence the members of an organization to expand their candidness with each other about their views of the organization and their experience in it, and
 - to take greater responsibility for their own actions as organization members.

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What is organizational development?

The assumption behind OD is that when people pursue both of these objectives simultaneously, they are likely to discover new ways of working together that they experience as more effective for achieving their own and their shared (organizational) goals. And that when this does not happen, such activity helps them to understand why and to make meaningful choices about what to do in light of this understanding.”

-- Neilsen, “Becoming an OD Practitioner”, Englewood Cliffs, CA: Prentice-Hall, 1984, pp. 2-3.

26

How to change:



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Organizational Development Paradigm - 1



- Fundamental supposition: Power is abundant
- Power is a positive-sum game. Everyone wins
- The purpose is to maintain the game and the players
- Changing systems is the strategy of choice.
- Differences are cause for curiosity and learning.
- Being different is valued and safe; conformity is a matter of personal choice. Authority is a matter of function, not superiority.
- Diversity leads to adversity. Diversity leads to learning and synergy.
- Partnerships and teamwork are supported by curiosity and learning from differences. Ease of collaboration is only a matter of practice.

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Organizational Development Paradigm - 2



- Doing with others is valued. Doing to others is not.
- Ignorance is valued as a necessary precursor to curiosity, learning, and increased knowledge. Doing is more important than being.
- Being is seen as the path to effective doing. Taking time is essential.
- A game to be played well and joyfully as no ones survival is at stake
- A self-fulfilling prophecy because potential partnerships are secure and unlimited.
- The paradigm of choice when growth and learning are primary goals.

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Data, Database and Data-Driven Website: The OMI Story

Htin Kyaw Aye, Deputy Research Director, Open Myanmar Initiative

Data

The government produces data in many ways: from press releases to parliamentary answers, from features in mouthpieces to gazettees. The only problem that exists is that they are not well archived or compiled. Most governments going through a transitional period and low-income countries have a well-established reputation of incompetence in archiving and handling data. In Myanmar, most—if not all—government data is both unreliable and raw.

Given the level of government secrecy for decades, most government data cannot be relied upon for analysis. Though monitoring has different story. It has been widely agreed that government data is an effective tool for monitoring the government itself.

Data is a set of values of variables. We have to set out which variables we will employ to measure the performance of the government institutions. Here are a few questions we have to answer before we go on:-

Where can we collect the government data?

The source of data is crucial not only in terms of reliability but also the availability of government data can be questionable. We need to make sure data is publicly available. Are there any legal frameworks that provide a means to collect data? For example, the parliamentary information OMI collects have to be made public according to parliamentary rules and regulations. If not, we have to question why certain data is hidden away from the public?

How much data can we collect?

The amount of data is also an important factor to consider before starting a project. Since we

cannot expect to find refined datasets from government offices, we have to assess our own capacity to make sure we have all the necessary resources to deal with a bunch of raw data to get one useful dataset.

How consistently can we collect this data?

Consistency is one of the major factors that need to be considered. The lack of consistency from the data source could affect the timeline of the project. In the case of OMI, the release of our first report had to be delayed due to the failure of the parliament to publish one volume of its meeting minutes (Hansard) for about one year after the end of the session.

How much public data is reliable?

During analysis, the level of reliability is a critical question. Yes, most government data is unreliable. But as a monitoring tool, it still is effective. Budget documents the government offices sent to the parliament may not carry sincere estimates, but they could still make an impact by letting the people access this information.

Will there be enough data for a reliable analysis?

Sometimes, the government institutions produce data which does not tell a story. We should assess whether the data we receive from the government is plentiful enough to perform an analysis.

Dataset

Data needs to be analyzed or accessed. We need to compile datasets for analysis and databases to give the public wider access. We do not assume systematic datasets will be provided by the government institutions, but rather raw data.

OMI use parliamentary meeting minutes (Hansard) to compile datasets for measuring the performance of the parliamentarians. Extracting statistics from hard copies of the meeting minutes is time consuming and back-breaking. But we have experienced a few challenges with how this data is provided. We even witnessed some too.

But most of the datasets the government provides are not systematically compiled. For

example, there are two significant formats different government institutions used for submitting the government budget estimates to parliament. One format is the one which has been used since the colonial times and the other one is the newly-developed format. That's the basic challenge we face in developing the datasets with the government data.

Database

To provide the public with wider access, we need a web database where the data is stored and archived systematically for later use. The government has been reciting “e-government” mantra for years. But all they are willing to provide to the public are mere press releases. Even in rich and established democracies, the websites of the civil society groups with government data are closer to the public while the boring government web databases are only updated as a duty. Understanding the problems of the people, the civil society groups' websites provide all-you-need-to-know information to the people, and this is more direct and life-affecting.

Databases are where you store data systematically in specific tables. Individual pieces of data are kept with a unique key. We can link relevant data from different tables using these keys. So we can later browse or search for the relevant data which are properly linked.

For building a database, the data we want to store should be structured into different tables. As for parliamentary information database, we have a MP profile table where bio data of parliamentarians are stored and a Questions table where date, house, detailed questions, responses and miscellaneous data points are stored. These two tables are linked with the unique key of questioning MP. By browsing the MP, the database could provide details of questions he/she raised.

For data-driven websites, these tables are stored in a cloud. The user interface, the website as we see it, is designed to enable users to search for relevant data from these tables.

The OMI Story

Back in 2013 on a raining afternoon in July, we were at a teashop saying that it would be better to have a website where parliamentary information could be accessed easily. At that time, we had already started collecting data from the Hansard. But developing a website was still a pipe dream then. But a few days later, we were in meeting with a tech group for the website. They were also willing to develop a data-driven website to promote open data. We agreed to build a parliamentary monitoring website where the parliamentary information which could only be accessible in hard copies could be accessed easily.

We had to meet and brainstorm heavily for several weeks to agree on the structure of the database. We studied the parliamentary rules and regulations to know how the plenary were held. We read the Hansard to find out which information is provided and in which ways since we want the website database to emulate the proceedings of the parliament so that we could store all information. After months of brainstorming and efforts to structure the data, we compiled and built the database. We entered data into the web database. It took a lot of time and effort. The website was launched in January 2014 with data covering up to the sixth regular session. The website offers a lot of advanced search options where you can search Mps by location and their activities by categories for example. Now we are collecting data through the eleventh regular session.

Developing data-driven websites is not a sacred thing, but it requires a lot of zeal and dedication. One thing we need to keep in mind is that: It all starts with data.

data, database, data-driven website

the **omi** story

the **omi** story

- parliamentary hansards
 - 70 pages a day for 3 years
 - all on paper
- parliamentary datasets
 - page/page data collection & analysis
 - questions
 - motions
 - bills and more
- parliamentary monitoring website
 - mp (can be browsed by location, party, region and so on.)
 - activities (can be browsed by mps, categories and so on.)

data

- government data
 - press releases
 - parliamentary answers
 - government newspapers
 - gazettes and etc...
- challenges
 - low-quality archives
 - paper-based
 - actually, no data at all most of the times

gov't data, where?

- questions
 - Who holds government data?
 - Publicly available?

how much?

- it's always better not to expect refined datasets from public offices.
- weigh up between benefits of resulting data and backbreaking efforts for scrapping loads of raw data (even if the offices provide).

reliability

- no sincere estimates
- no ground data
- dissemination of these data alone is a huge deal, though

dataset

- no gov't datasets
- mostly paper-based raw data
- different formats
 - two different formats of government budgets
 - older one since colonial era
 - newly developed one

database

- e-government
 - with press release websites? no!
- civic websites
 - closer to the people than government (apparently)

- data stored in different tables and linked with unique keys for each set of data

Q&A

thank you

htin kyaw aye
open myanmar initiative
moenay7@gmail.com



RENAISSANCE INSTITUTE

Renaissance Institute

- **Vision:**
 - To be an organization of excellence on sustainable development policy research, capacity development and advocacy in Myanmar.
- **Mission:**
 - To promote knowledge on politic, economics, social and democratic transition process. Changes in the society and economy, issues of local and federal governance and institutional development will be the focus.
 - To achieve its mission, RI: undertakes research projects and generates publications; organizes conferences, seminars, closed-door discussions; and provides knowledge and skills training to civic and political activists to actively participate in the debate of public policy issues.
- **History of the Organization:**
 - RI was formed in 2013, mainly to strengthen political understanding, to promote civil-societies and people empowerment and parliamentary affairs. RI is non-profit organizations and dedicated to promoting public awareness, national reconciliation and sustainable development in Myanmar.

- **Objectives:**
- (1) To strengthen public policy analysis, capabilities of individual and civic organizations;
- (2) To support reform process;
- (3) To conduct professional research and policy analysis.

- **Past Activities:**
- Training courses on Politics, Economics, Management and Organization
- Information and Election Monitoring Trainings
- Budget observation for 2013-14 and 2014-15 Fiscal Year for Parliamentary Economic Committee

- **Current Activities:**
- Ongoing budget observation for 2015/16 Fiscal Year

- **Renaissance Institute will implement the following three programs:**
- (1) Peoples' Empowerment Program (PEP)
- (2) Parliament Support Program (PSP)
- (3) Research and Training Program (RT)

- 1. Peoples' Empowerment Program (PEP)
 - *A: Information and Public Relations Project*
 - *B: Capacity Building Project*
 - *C: Civic Engagement & Youth Empowerment Project*

- 2. Parliament Support Program (PSP)
 - *A: Political and Policy Affairs Project*
 - *B: Legal and Constitutional Affairs Project*
 - *C: Economic and Finance Affairs Project*

- 3. Research and Training Program (RTP)
 - *A: Research Training Project*
 - *B: Research Seminars and Workshops Project*
 - *C: Publications Project*

- **Project: A study on Participatory Budgeting and Fiscal Decentralization**
- National budgets are a crucial link for citizen participation in the democratic process of national development. Ensuring budget transparency is crucial to the well-being of all citizens. Citizens need to know how public funds and resources are allocated and utilized and have their say in these matters.
- **Project Objectives:**
 - To promote civil participation in budget formulation, decision-making, and monitoring of budget execution.
 - To devolve fiscal responsibilities and powers to the states and divisions based on consensus and in a transparent manner.
- **Issues to be addressed:**
 - Limited public access to financial information
 - Reluctance of official to share financial information
 - Complex and technical nature of public budgets
 - Lack of transparency in fiscal matters.
 - Low levels of budget literacy in civil society

- **The Scope:**
 - To convert the complicated information into a simple document that the public can understand.
 - To provide training courses to civic and political activists to increase the knowledge about public finance.
 - To conduct research related to budgeting in some states and divisions (likely to be in Karen State, Mon State, Ayeyarwady and Sagaing Divisions)

Main Topic of Training

- The main topic of training is ***“Course on politics, economics, management and organization”*** and sub topics are as follows:
 - Citizens with National Building Philosophy
 - The Principles of Economics
 - The Contemporary Economics
 - Economics for Policy Makers
- **Training Methodology**
 - The main method for the training is Collaborative Approach that encourages the interaction between theories and real experiences by participants to create a learning environment in order to solve or address issues and problems in the current situation
- **Presentation**
 - The main tools of the training are lecture note, power-point presentations, group discussion and reporting, brain storming exercises

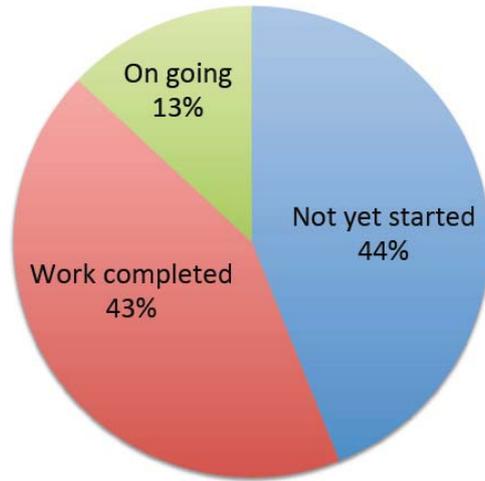
Capacity Training

- From June 27, 2013 to December 19, 2013, the Capacity Building Trainings No. (1) to (7) were conducted. 270 participants from NLD CEC and UNA (United Nationalities Alliance) parties attended the trainings.
- In 2014, Politics, Economics, Management and Organization Trainings No. (1) to (10) were conducted from January 29, 2014 to October 19, 2014. 397 participants from NLD township, district, states and divisions level Chairman, Vice Chairman and Secretary and UNA parties attended the training.
- Information and Election Monitoring Trainings No. (1) to (12) were conducted from January 13, 2014 to December 11, 2014. 350 participants from NLD townships, districts, states and divisions level information officer in-charge attended the trainings.
- (Total 1017 participants)

Budget monitoring

- Since November 21, 2013, FY 2013/14 government budget monitoring project was started for 17 ministries in 79 townships. The findings were analyzed by academics and sent to the NLD MPs to discuss in the parliaments.
- FY 2014/15 budget monitoring was conducted from June 1, 2014 to June 30, 2015. (see detail)
- FY 2015/16 government budget monitoring has being stated in July 2015 for 11544 projects from 32 ministries.

FY 2013/14 government budget implementation



Activities



Resource management training on January 27, 2014



Politics, Economics, Management & Organization Training No. 1 (Jan 28- Feb 7, 2014)

Politics, Economics, Management & Organization Training No. 2 & 3 (NLD & affiliated parties) (Feb & Mar, 2014)



Politics, Economics, Management & Organization Training No. 4, 5 & 10 (NLD & affiliated parties) (Apr, May & Oct 2014)



Government Budget (FY 2014/15) Training to NLD MPs for Parliament budget discussion on Feb 16, 2014



Budget monitoring activities: Budgeting & Taxation workshop with CEC & MPs from NLD, UNA & affiliate Parties on Jan 31, 2015



Government Budget (FY 2015/16) Training to NLD MPs for Parliament budget discussion on Feb 1, 2015



Budget discussion with international academics

FY 2014/15 Budget monitoring research press conference on June 29, 2015



Government Budget Monitoring Research Report (FY 2014/15)

- **EXECUTIVE SUMMARY**

- Introduction

- This reports details the findings of budget monitoring on the works, being accountable by the various government organizations to the Union Parliament's budget allocation for the fiscal year 2014-15. Only the tangible works had been monitored and analyzed in accordance with practicability and concluded with recommendations.

- Program Activities

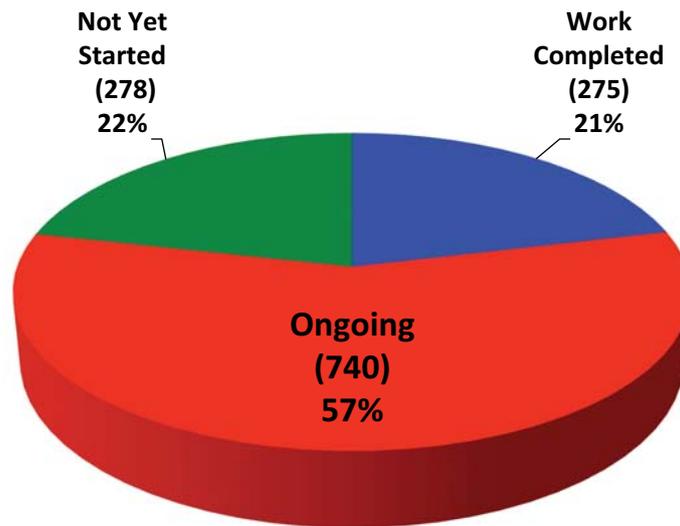
- Reorganizing the budget data township-wise
- Holding Budget Monitoring Workshops
- Field-based Monitoring
- Data collection and compilation
- Analysis

2014/15 budget monitoring workshops



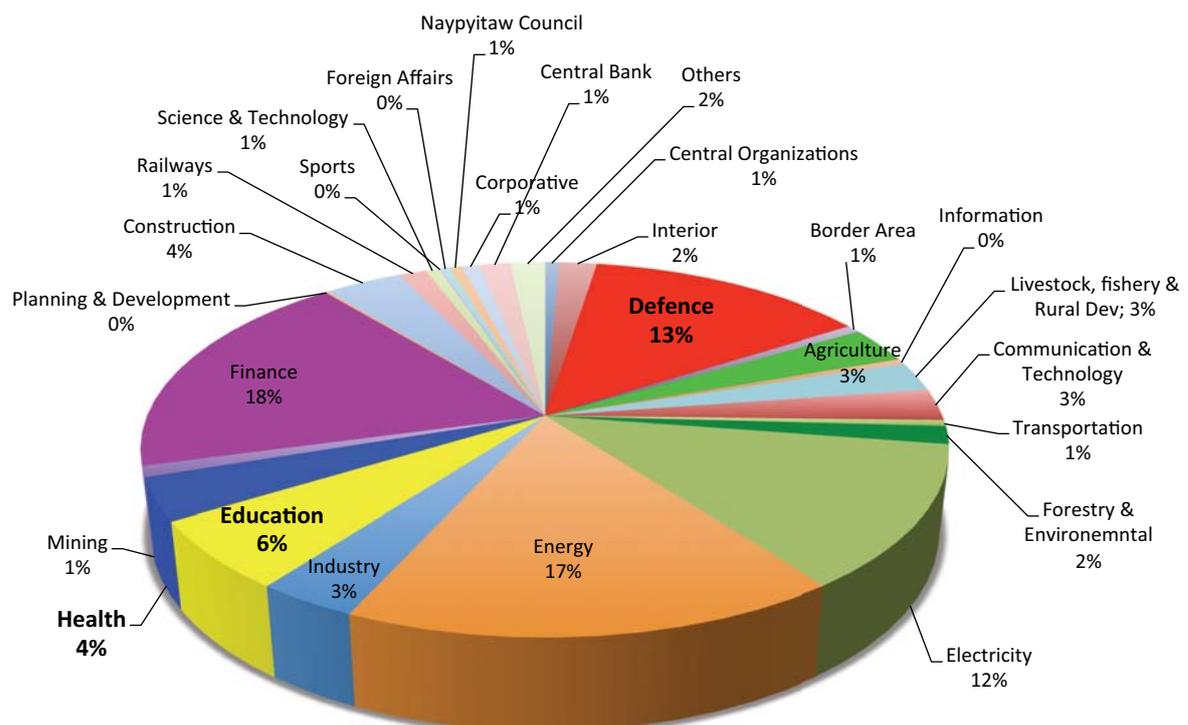
From July 2014 to November 2014, 21 workshops conducted in all states and divisions and 835 participants from 247 NLD townships attended the workshops

Government budget implementation (construction work) in FY 2014/15

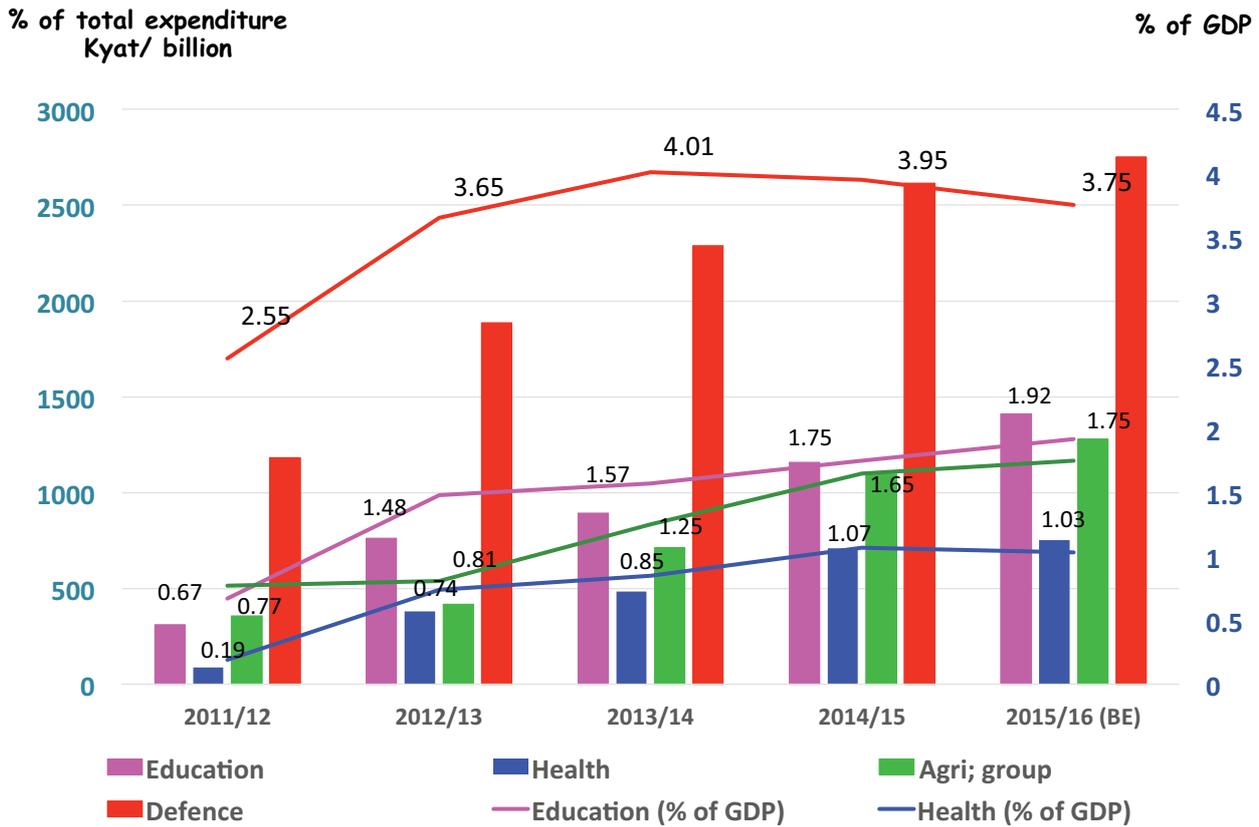


In 103 townships, 1299 works had been observed (total allotted amount for construction in the observed areas is kyat 250,182 million). Out of 1299, only 275 works had been completed (value of finished ones is only kyat 23,081 million), achieving only 9 per cent of assignments. 278 works (value kyat 29,767 million, 12 per cent) are not yet started and the rests are under process (value kyat 197,334 million, 79 per cent).

2014/15 Government Expenditure (Union-RE)



Relative expenditures on Defense, Education, Health and Agriculture group in Burma (2011/12 - 2015/16)



- Findings
- Budget allocation for education is 5.9 percent of the Union government’s spending and only 3.6 percent for health. They present only 1.7 percent and 1.07 percent of GDP, respectively. However, the military expenditure presents 13.44 percent of total spending and 3.95 percent of GDP and much more than that of both education and health combined.
- Generally, many organizations went over-budget and not cost-effective.
- Some under-budgets were not surrender in time.
- Some spending without prior budget approval had been legalized.
- Despite of budget allocation, some works were not implemented in practice.

- Recommendations
- Budget formulation should be based on specific data, contextual factors and annual plan, avoided claiming over requirement.
- Spending without prior budget approval and late application for supplementary should be prohibited and taken proper action.
- Non-implementation of assignment after getting budget allotment should be investigated and taken appropriate action.
- Procurement and tender process should be transparent.

- Conclusion
- For democratization, public views and participation in policy process is essential. Budgets are critical link for citizen participation in the democratic process of national development. Participatory budgeting is grassroots democracy at its best. And it allows governments to adopt policies and enact laws that are relevant to communities and take into account their needs. Public participation may also be viewed as accountability enhancing. Effective public participation depends on the public having accessing to accurate and comprehensive information. Hence proper actions should be taken to have right to know, access of information and freedom of information.

Thank you



Yangon School of Political Science (YSPS)



A Brief History

- ▶ – Was Founded in 2011 August by young political activists who are also former political prisoners
- ▶ – Intended to become an independent academic institution
- ▶ – provide systematic knowledge on political science



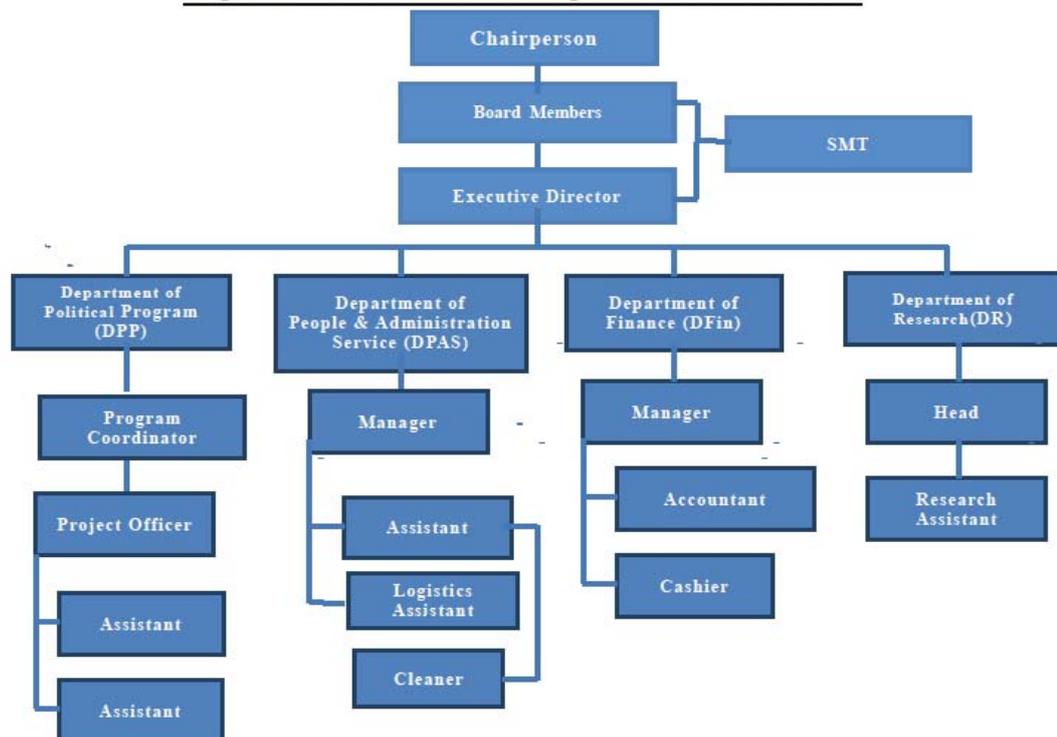
Our Mission

- ▶ YSPS is an academic institution which will be delivering knowledge to transform Burma into Free, Just and Tolerant society with informed, liberated and empowered citizenry.
- ▶ YSPS is a leading front in liberal philosophical movement and research, as part of the global movement towards the same end.



Structure of YSPS

Yangon School of Political Science Organizational Structure Chart





Two Mains Organizational Structures

- ▶ - Program Team
 - - Education
 - - Political Engagement
 - - Research

- Operational Team
 - Administration Department
 - Finance Department



Education Department

- ▶ Since 2011 to 2015– opened “9 Introduction to political science” courses.

- ▶ Over 400 Alumni

- ▶ Master Program, Opened September 1st 2015, Selected 22 Alumni. Hosting in YSPS from Foreign Professors

- ▶ Is responsible for hosting international experts, scholars and distinguished professors for lectures, seminars and public talks



Introduction to Political Science Course



Master Program on “Comparative Politics”

- ▶ Started Master Program on September 1 2015 after preliminary course on Advance English course
- ▶ Gather YSPS Alumni
- ▶ It will take one year

Alumni



- ▶ As we are very weak in Political Science, we intended to give birth Political Scientists regularly
- ▶ Give them chance to be a teacher in YSPS
- ▶ Gather Alumni and established master program
- ▶ Master Program intends to deliver political knowledge to public

Engagement Team



- ▶ Organizes Seminars and Lectures on current political Issues
- ▶ Like constitutional Reform, Electoral Law and process
- ▶ The main goal is to participate in political process as must as possible
- ▶ Outreach Trainings in all States and Divisions



Research Department

- ▶ Founded in 2014 August
- ▶ Did Myanmar Public Opinion Survey with Asian Barometer Survey
- ▶ Pilot – 2014 September and October– 720 respondents– Bago Division
- ▶ National Survey– January 2015 to March 2015 – 1620 respondents– All States and Divisions and Nay Pyi Taw

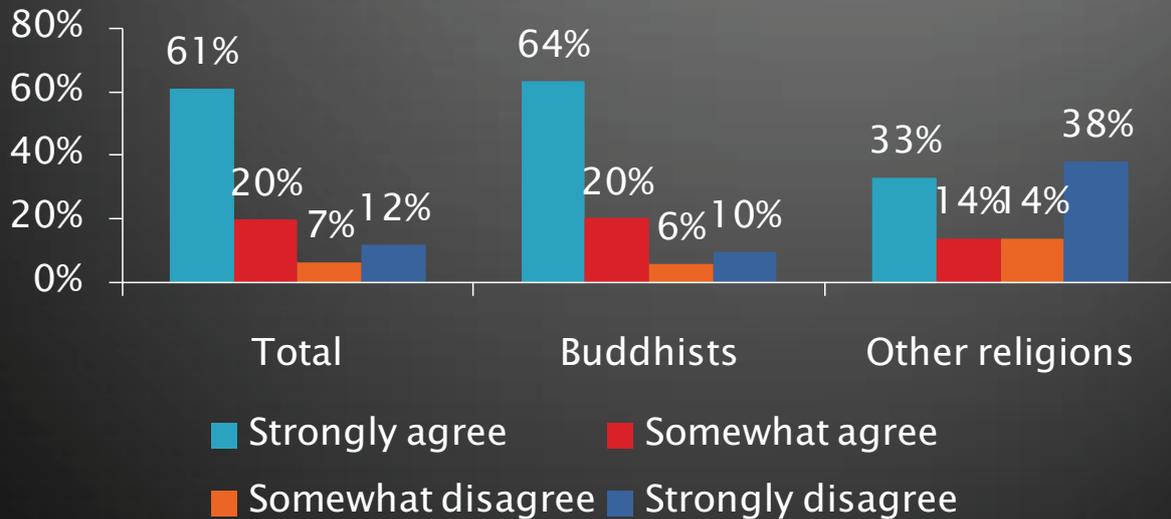
- ▶ YSPS did all the fieldwork– Data Entry– Double Entry– Data Cleaning– Field report writing
- ▶ Used interviewer from YSPS Alumni University Students
- ▶ Results Launch– 2015 August 24
- ▶ Final Report– 2015 December



Citizenship and Religion



Citizenship Based on Religion

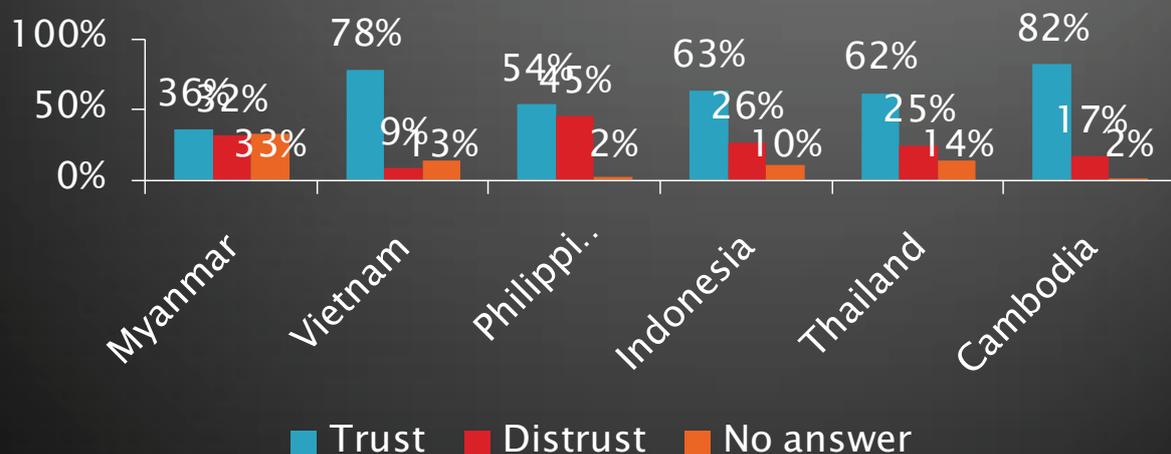


Close tie between religion and citizenship perceived, but less so among religious minorities

Trust in UEC

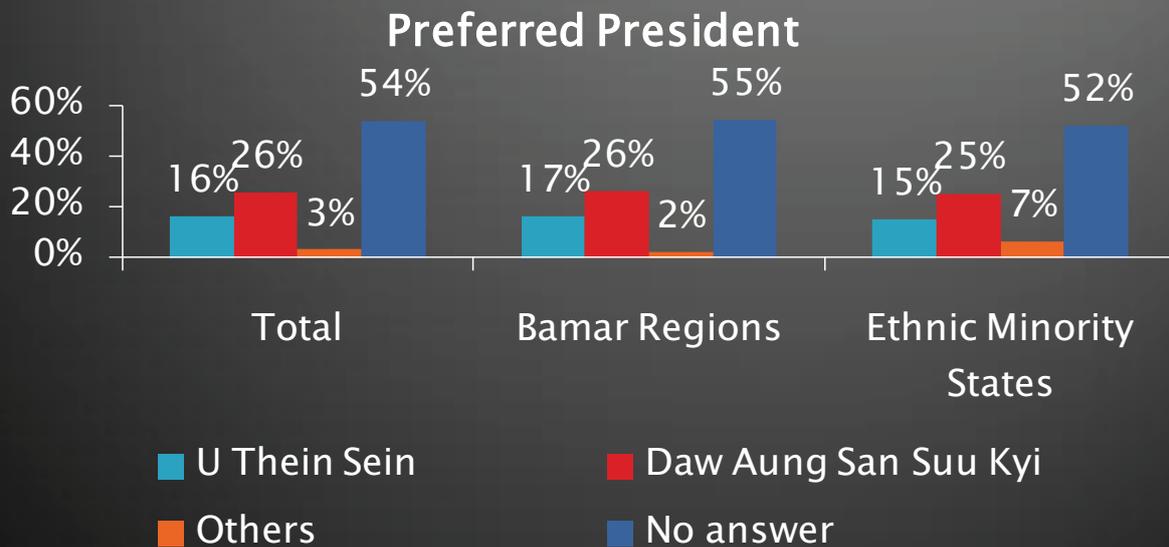


Trust in the Election Commission Cross-National Comparison



Comparatively low trust in the Myanmar Election Commission

Preferred President



Majority reserve in giving preference for president; Those that do prefer DawASSK



Partner Organizations:

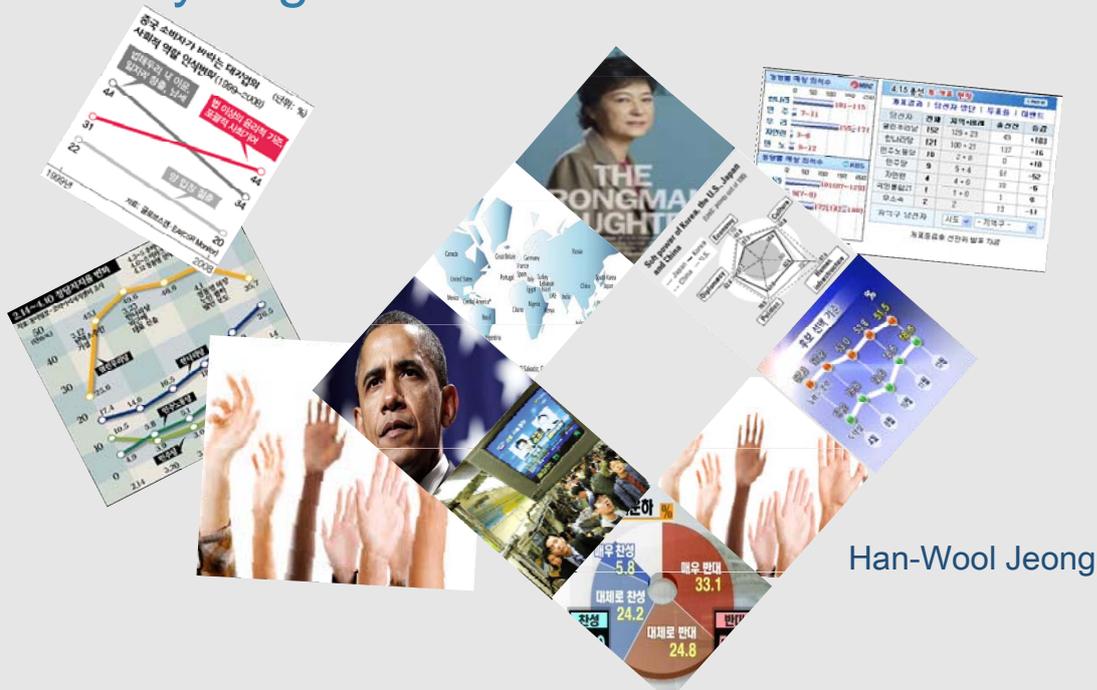
National Endowment for Democracy (NED), International Federation for Electoral System (IFES), Education Initiative (EI), the British Council in Burma, and the Asian Barometer Survey (ABS), Myanmar Knowledge Society (MKS), Renaissance Institute (RI), Rainfall.



Thank You.

Part II
Research Capacity Building

Utilizing the SPSS Statistics Package Understanding the Structure of the SPSS Statistics Package and Methods of Analyzing Data



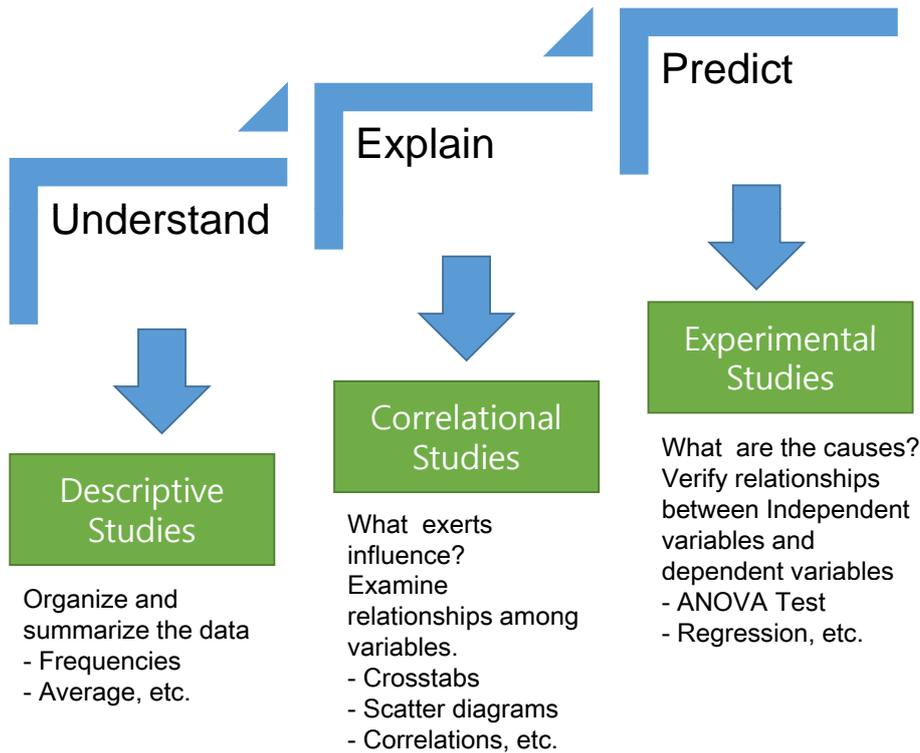
Instructor: Han-Wool Jeong

Han-Wool Jeong is a senior research Fellow at the East Asia Institute and a member of Korean Advisory Committee for UNC/CFC/USFK Commander. He received his Ph.D. in political science from the Korea University and was Executive Director at the Center for Public Opinion Research and the Center for Foreign Affairs and National Security at EAI. His recent publications in Korean or English include "An Empirical Study of South Korean Attitude toward Japan: Japan's Military Threat, Economic Cooperation and Identity", "Ambivalence toward North Korea: South Korean Public Perceptions Following the Attack on Yeonpyeong Island", "Fluctuating Anti-Americanism and the Korea-U.S. Alliance", etc.

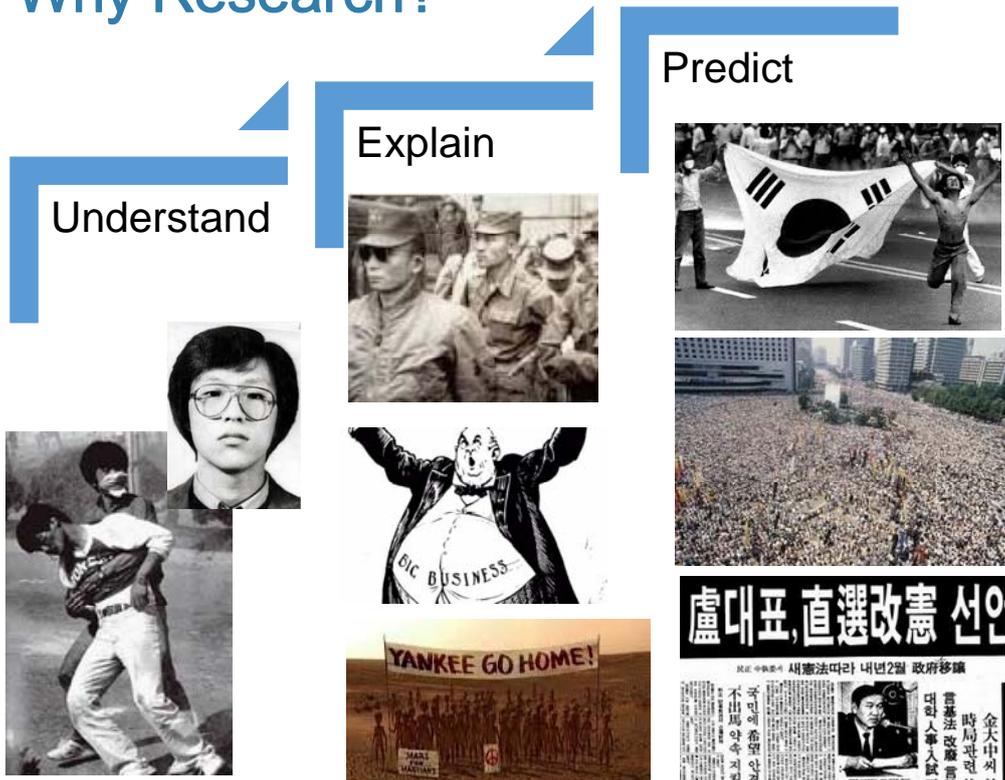
(hwjeong@eai.or.kr).



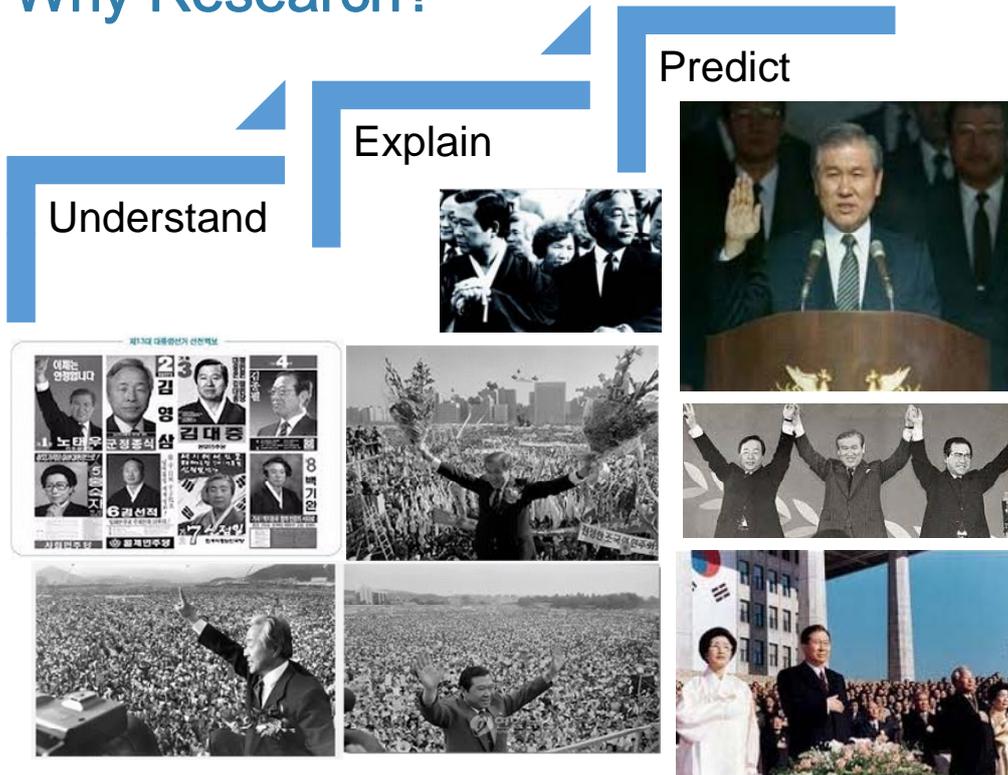
1. Why Research?



1. Why Research?

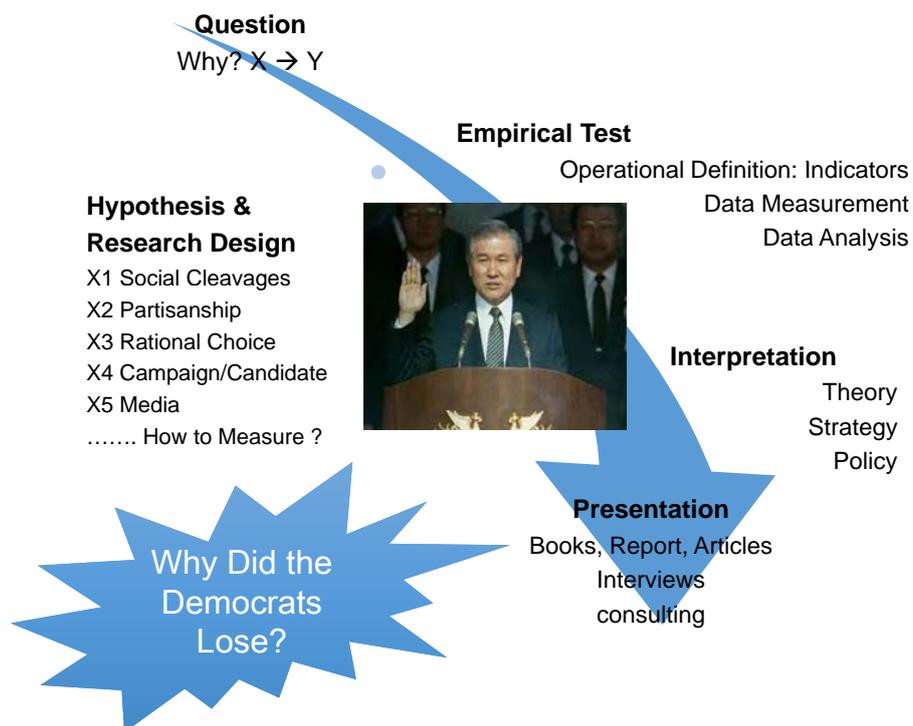


1. Why Research?



5

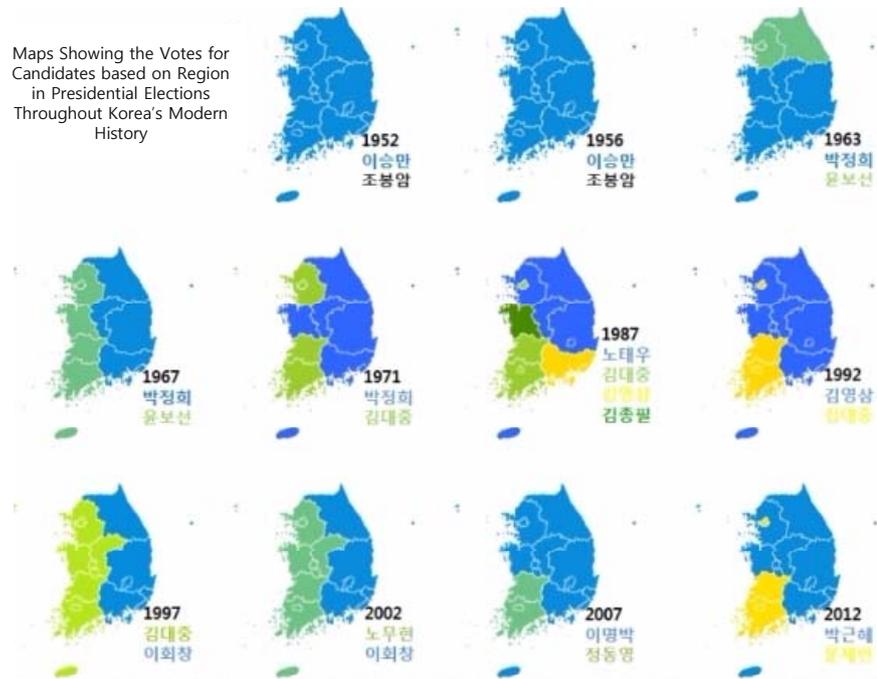
2. What is Research? Process



2. What is Research? Hypothesis

X1 Regionalism

Maps Showing the Votes for Candidates based on Region in Presidential Elections Throughout Korea's Modern History



7

2. What is Research? Hypothesis

X2 Ideological Partisanship



8

2. What is Research? Hypothesis

X3 Economy

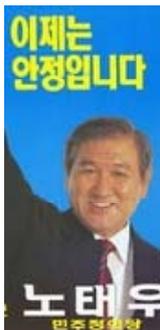
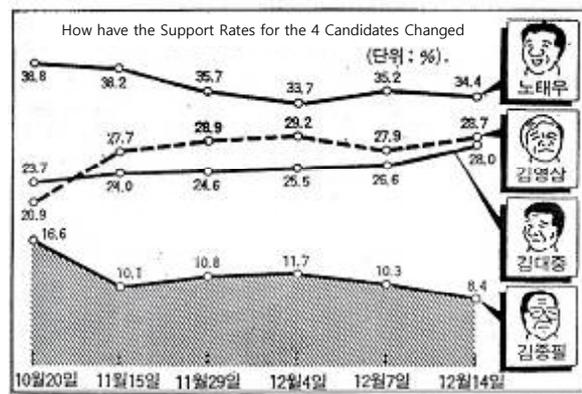
Rate of Economic Growth (Unit: %, Annual Average in 1960s – 2000s)



9

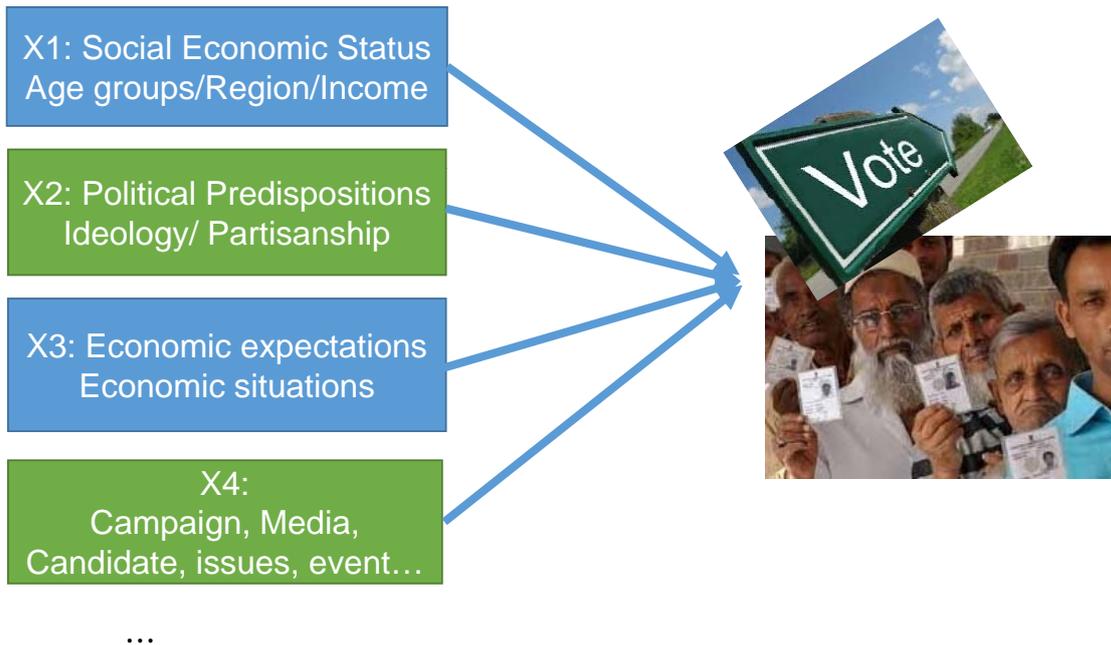
2. What is Research? Hypothesis

X4 Campaign Media Candidate



10

2. What is Research? Need to examine



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3. Measurement: How to Measure?

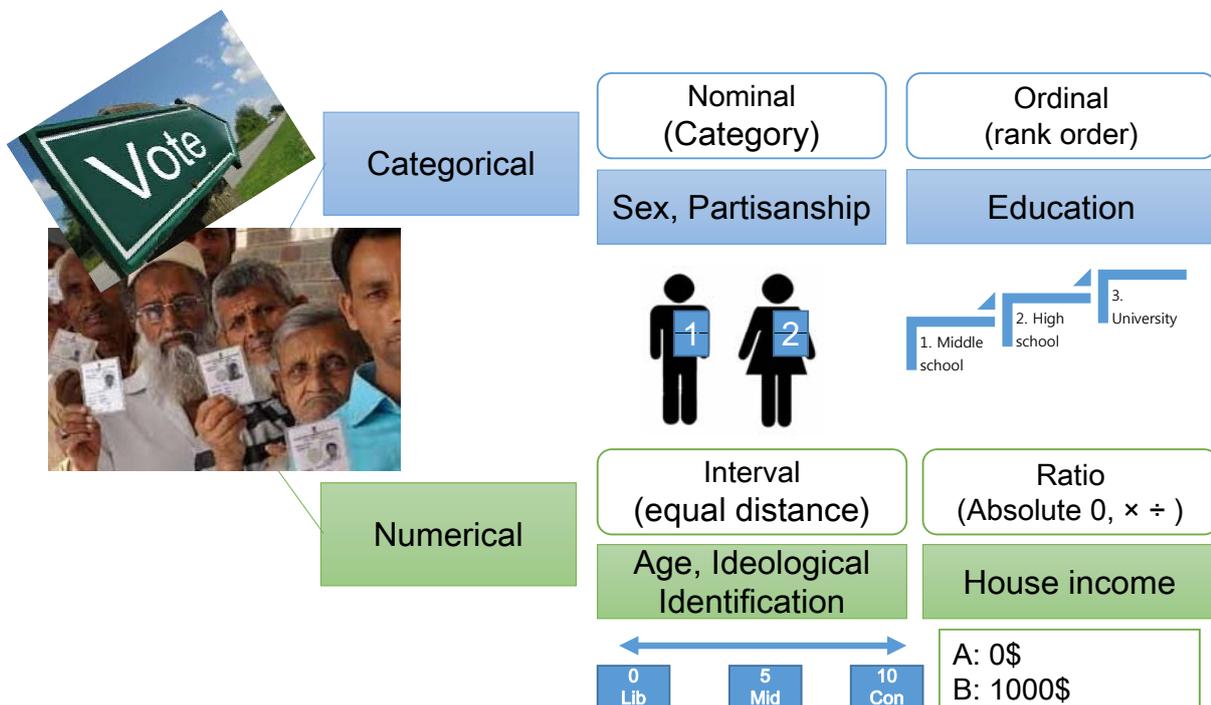
Conceptualization	Indicators To make observable	Variables
Process of formulating and clarifying concepts	Operational Definition and Indicators	Variables =assigned value & label
X: Economy = Abstract/multidimensional	Specify the value of category of a variables	Measured concept that vary by a set of indicators
1. Capitalism 2. <u>State of the national(or house) economy</u>	1. GDP size / economic growth rate 2. <u>Degree of satisfaction with the national economic situation</u>	"To what degree are you satisfied with our country's economic situation?" 1. very satisfied 2. somewhat satisfied 3. so-so 4. somewhat dissatisfied 5. very dissatisfied
Y: Democratization		
1. Free election and multi party system 2. <u>The transition to a more democratic political regime</u>	The rate of votes for Democratic party or its candidates in the presidential election or general election	"Which candidate(or party) did you vote for in the Presidential election?" 1. Grand National Party 2. Democratic party... 3. Non-partisan

3. Measurement : Data

- Data are **observed values** of qualitative or quantitative variables, belonging to **a set of indicators**
<http://en.wikipedia.org/wiki/Data>
- Data is a collection of **numbers** assigned as **values** to quantitative variables and/or **characters(labels)** assigned as values to qualitative variables
 - Andrew Conway (Princeton University)
- Data → Information → Knowledge

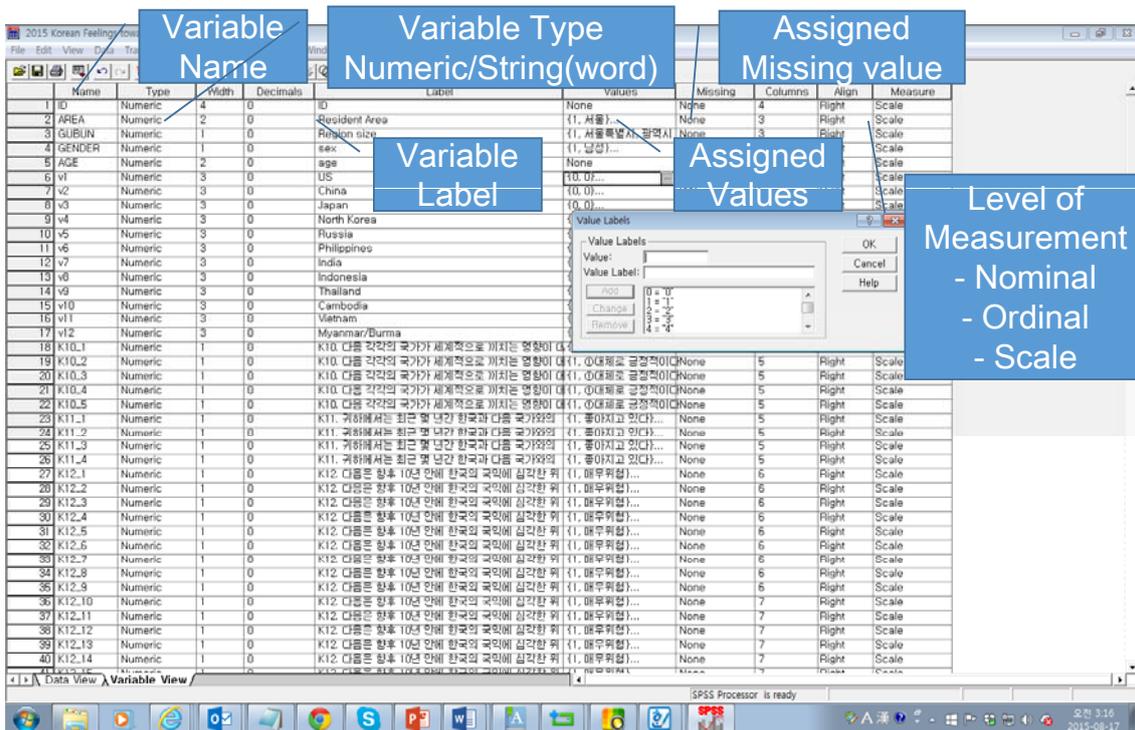
13

3. Measurement: Level determines Method



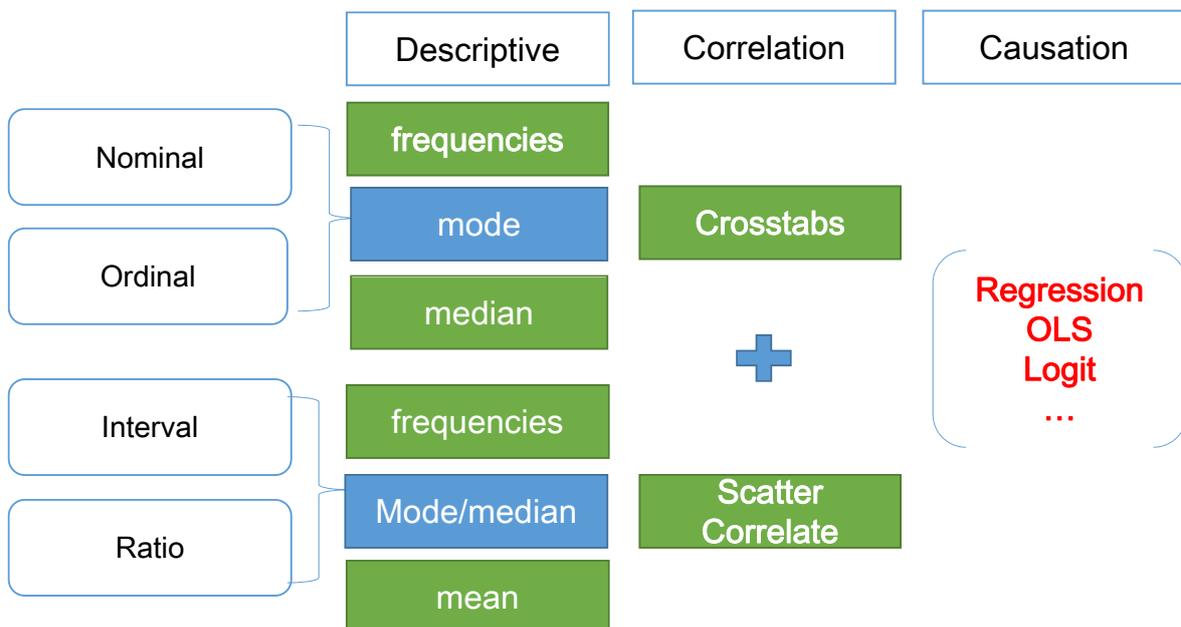
14

3. Measurement : Variable View in SPSS



17

4. Analysis 0 : Analysis Method



4. Analysis 1 : Attitudes toward Myanmar

Descriptive questions for "understanding"
 1. How favorable are Korean feelings toward Myanmar? Warm Or Cool?
 2. Are Korean feelings toward Myanmar more favorable than any other countries?



Korean attitudes toward Myanmar	Operational Definition and Indicators	Variables =assigned value & label
Attitude's dimensions	Emotional feelings toward the target countries	Feeling thermometer on 12 countries
1. <u>Emotional</u> 2. Cognitive 3. Behavioral	<u>Favorable vs. Unfavorable</u>	Please rate your feelings towards each of following 12 countries, with 100 meaning a very warm, favorable feeling, 0 meaning a very cold, unfavorable feeling, and 50 meaning not particularly warm or cold.

Data: EAI Poll (2015, n=1,010)

4. Analysis 1 : Attitudes toward Myanmar

1. "Frequencies" analysis for "Description" : ① Menu

- 1) "v12" (Korean Feelings toward Myanmar) is a "Interval variable"
- 2) [Analysis] → [Descriptive Statistics] → [Frequencies] → send "v12" to "Variable(s)"
- 3) Statistics Options: [Statistics] → [Central Tendency] → Select [Mean or Median or Mode]
- 4) Graph Options: [Charts] → [Bar charts] → [Continued] → OK

① Statistics options

② Graph options

Data: EAI Poll (2015, n=1,010)

4. Analysis 1 : Attitudes toward Myanmar

“Frequencies” analysis method for “Description” : ② Results

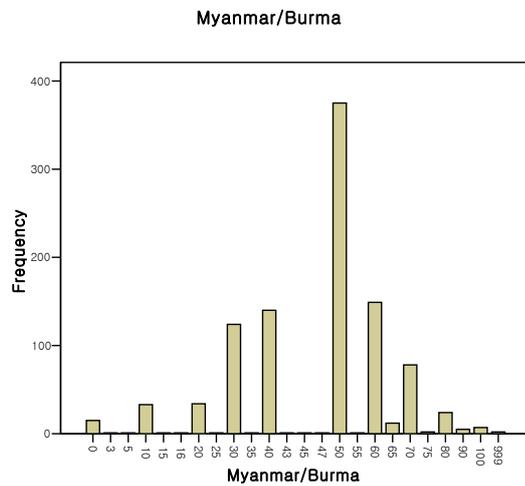
RESULTS will be provided in another file in “SPSS Viewer” named “OUTPUT.spo”

Statistics

Myanmar/Burma		
N	Valid	1008
	Missing	2
Mean		47.39
Median		50.00
Mode		50

Myanmar/Burma

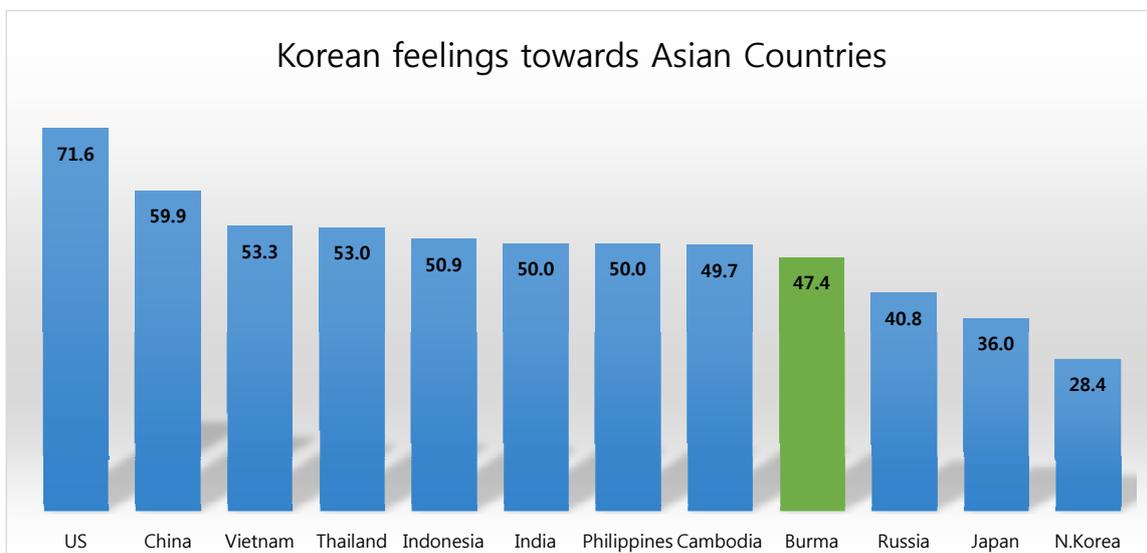
Valid	Frequency	Percent	Valid Percent	Cumulative Percent
0	15	1.5	1.5	1.5
3	1	.1	.1	1.6
5	1	.1	.1	1.7
10	33	3.3	3.3	5.0
15	1	.1	.1	5.0
16	1	.1	.1	5.1
20	34	3.4	3.4	8.5
25	1	.1	.1	8.6
30	124	12.3	12.3	20.9
35	1	.1	.1	21.0
40	140	13.9	13.9	34.9
43	1	.1	.1	35.0
45	1	.1	.1	35.0
47	1	.1	.1	35.1
50	375	37.1	37.1	72.3
55	1	.1	.1	72.4
60	149	14.8	14.8	87.1
65	12	1.2	1.2	88.3
70	78	7.7	7.7	96.0
75	2	.2	.2	96.2
80	24	2.4	2.4	98.6
90	5	.5	.5	99.1
100	7	.7	.7	99.8
999	2	.2	.2	100.0
Total	1010	100.0	100.0	



Data: EAI Poll (2015, n=1,010)

4. Analysis 1 : Attitudes toward Myanmar

2. Comparing means : Results

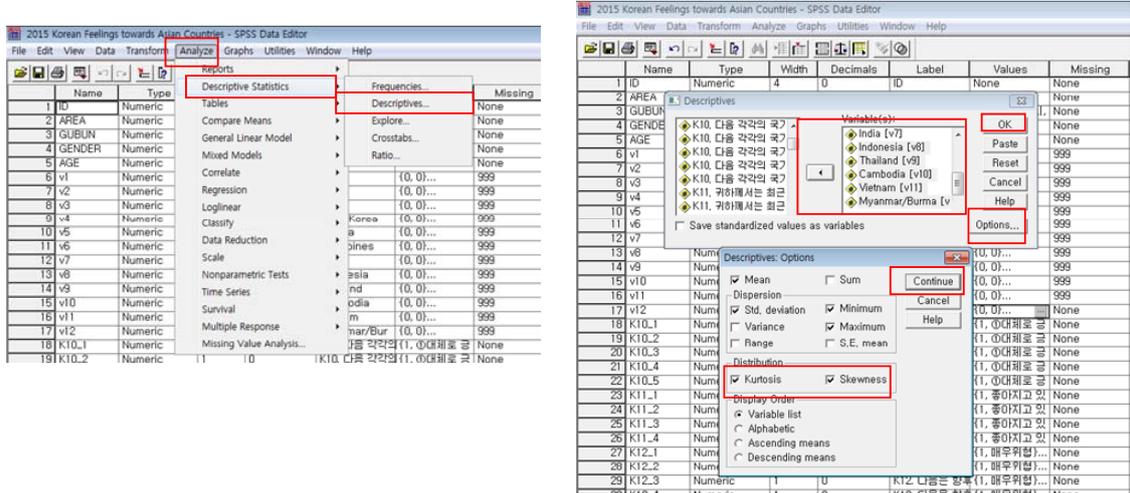


Data: EAI Poll (2015, n=1,010)

4. Analysis 1 : Attitudes toward Myanmar

2-1. "Descriptive" Analysis for comparing means : ① Menu

- 1) "v1~v12" (Korean Feelings toward 12 countries are "Interval variables")
- 2) [Analysis] → [Descriptive Stat] → [Descriptive] → send "v1~v12" to "Variable(s)"
- 3) Options for information on distribution: [Options] → [Kurtosis/Skewness] → [Continued]
- 4) [OK] (no chart option hear → Use Excel for Visualizing)



Data: EAI Poll (2015, n=1,010)

4. Analysis 1 : Attitudes toward Myanmar

2-1. "Descriptive" Analysis for comparing means : ② Checking missing

RESULTS will be provided in another file in "SPSS Viewer" named "OUTPUT.spo"

Descriptive Statistics

	N	Minimum	Maximum	Mean	Std.	Skewness		Kurtosis	
	Statistic	Statistic	Statistic	Statistic	Statistic	Statistic	Std. Error	Statistic	Std. Error
US	1010	0	100	71.60	14.831	-.467	.077	.939	.154
China	1010	0	100	59.88	16.191	-.400	.077	1.516	.154
Japan	1010	0	100	36.04	20.869	.049	.077	-.551	.154
North Korea	1010	0	100	28.39	22.533	.529	.077	-.447	.154
Russia	1010	0	999	42.65	46.179	17.604	.077	363.856	.154
Philippines	1010	0	999	51.85	45.360	18.046	.077	376.134	.154
India	1010	0	999	50.99	33.781	21.894	.077	615.594	.154
Indonesia	1010	0	999	52.77	44.898	18.561	.077	390.413	.154
Thailand	1010	0	999	54.92	44.738	18.640	.077	392.479	.154
Cambodia	1010	0	999	51.58	45.113	18.364	.077	384.937	.154
Vietnam	1010	0	100	53.29	17.020	-.279	.077	.805	.154
Myanmar/Burma	1010	0	999	49.27	45.511	18.017	.077	375.202	.154
Valid N (listwise)	1010								

Warning!
Maximum values included 999
(No Answer/ Don't Know)



Exclude 999 and Recalculate Means!!!

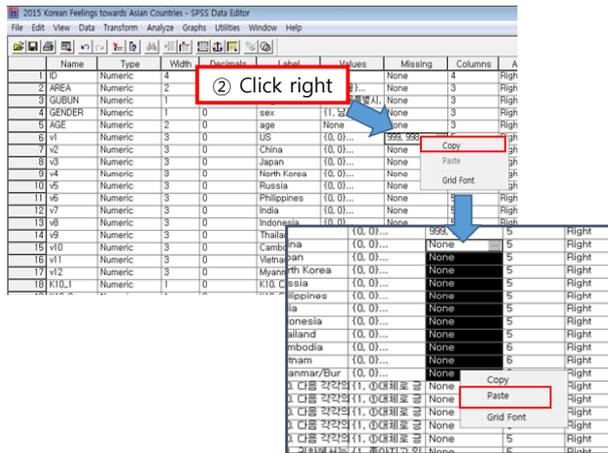
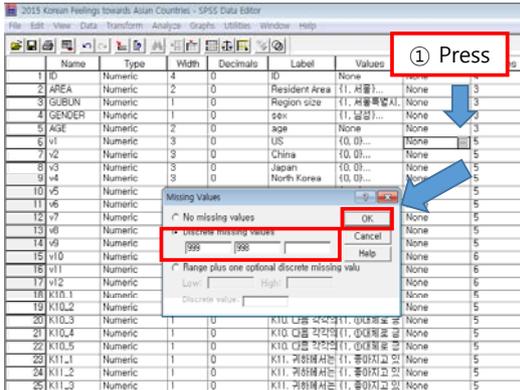
Data: EAI Poll (2015, n=1,010)

4. Analysis 1 : Attitudes toward Myanmar

2-1. "Descriptive" Analysis for comparing means : ③ Excluding missing

How to exclude "999 (missing values)" → Go to [Variable viewer] in Data Editor

- 1) Press right end of the any one variable(here v1)'s "Missing" box among "v1 ~v12"
- 2) Check "Delete missing values" → type 999(No Answer/ Don't know) and 998(Refusal) → OK
- 3) Click the right button of mouse at V1's "Missing"box → [Copy] → Drag v2~ V12 → Click Right → [Paste]
- 4) Retry



Data: EAI Poll (2015, n=1,010)

4. Analysis 1 : Attitudes toward Myanmar

2-1. "Descriptive" Analysis for comparing means : ④ Correct results

RESULTS will be provided in another file in "SPSS Viewer" named "OUTPUT.spo"

	Descriptive Statistics								
	N	Minimum	Maximum	Mean	Std.	Skewness		Kurtosis	
	Statistic	Statistic	Statistic	Statistic	Statistic	Statistic	Std. Error	Statistic	Std. Error
US	1010	0	100	71.60	14.831	-.467	.077	.939	.154
China	1010	0	100	59.88	16.191	-.400	.077	1.516	.154
Japan	1010	0	100	36.04	20.869	.049	.077	-.551	.154
North Korea	1010	0	100	28.39	22.533	.529	.077	-.447	.154
Russia	1008	0	100	40.75	17.794	-.329	.077	.058	.154
Philippines	1008	0	100	49.97	16.624	-.381	.077	1.214	.154
India	1009	0	100	50.05	15.805	-.353	.077	1.157	.154
Indonesia	1008	0	100	50.90	15.430	-.370	.077	1.403	.154
Thailand	1008	0	100	53.05	15.223	-.246	.077	1.157	.154
Cambodia	1008	0	100	49.70	15.904	-.379	.077	1.096	.154
Vietnam	1010	0	100	53.29	17.020	-.279	.077	.805	.154
Myanmar/Burma	1008	0	100	47.39	16.745	-.300	.077	.857	.154
Valid N (listwise)	1008								

Corrected!
Means are changed

Data: EAI Poll (2015, n=1,010)

4. Analysis 1 : Attitudes toward Myanmar

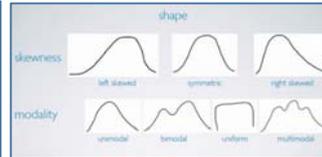
2-1. "Descriptive" Analysis for comparing means : ㉔ Interpretation

RESULTS will be provided in another file in "SPSS Viewer" named "OUTPUT.spo"

Descriptive Statistics

	N	Minimum	Maximum	Mean	Std.	Skewness			Kurtosis		
	Statistic	Statistic	Statistic	Statistic	Statistic	Statistic	Std. Error	Statistic	Std. Error	Statistic	Std. Error
US	1010	0	100	71.60	14.831	-.467	.077	.939	.154		
China	1010	0	100	59.88	16.191	-.400	.077	1.516	.154		
Japan	1010	0	100	36.04	20.869	.049	.077	-.551	.154		
North Korea	1010	0	100	28.39	22.533	.529	.077	-.447	.154		
Russia	1008	0	100	40.75	17.794	-.329	.077	.058	.154		
Philippines	1008	0	100	49.97	16.624	-.381	.077	1.214	.154		
India	1009	0	100	50.05	15.805	-.353	.077	1.157	.154		
Indonesia	1008	0	100	50.90	15.430	-.370	.077	1.403	.154		
Thailand	1008	0	100	53.05	15.223	-.246	.077	1.157	.154		
Cambodia	1008	0	100	49.70	15.904	-.379	.077	1.096	.154		
Vietnam	1010	0	100	53.29	17.020	-.279	.077	.805	.154		
Myanmar/Burma	1008	0	100	47.39	16.745	-.300	.077	.857	.154		
Valid N (listwise)	1008										

Skewness 0 : symmetric
 Negative(-) skewness : left skewed
 Positive(+) skewness : right skewed



4. Analysis 1 : Attitudes toward Myanmar

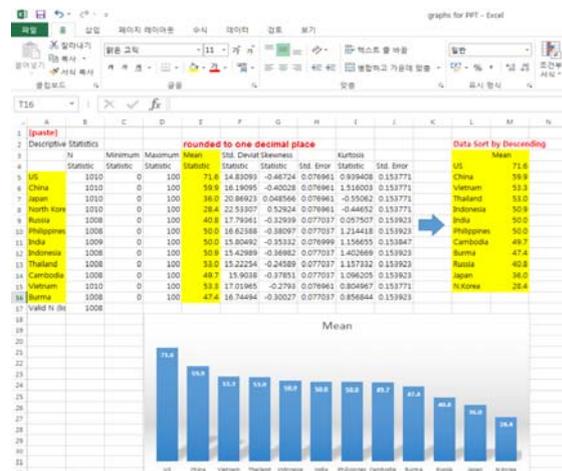
2-1. "Descriptive" Analysis for comparing means : ㉕ Visualizing

Visualization using Excel

- 1) Click right button at the result table of "OUTPUT.spo" → [Copy]
- 2) Click right button of mouse at Excel sheet → [paste]
- 3) Designate chart data range → Chart Insert → [Bar graph]

Descriptives

	N	Minimum	Maximum	Mean	Std.
Statistic	Statistic	Statistic	Statistic	Statistic	Statistic
US	1010	0	100	71.60	14.831
China	1010	0	100	59.88	16.191
Japan	1010	0	100	36.04	20.869
North Korea	1010	0	100	28.39	22.533
Russia	1008	0	100	40.75	17.794
Philippines	1008	0	100	49.97	16.624
India	1009	0	100	50.05	15.805
Indonesia	1008	0	100	50.90	15.430
Thailand	1008	0	100	53.05	15.223
Cambodia	1008	0	100	49.70	15.904
Vietnam	1010	0	100	53.29	17.020
Myanmar/Burma	1008	0	100	47.39	16.745
Valid N (listwise)	1008				



Data: EAI Poll (2015, n=1,010)

4. Analysis 1 : Attitudes toward Myanmar

2-2. "Paired Samples T-test" for difference of means : ① Menu

- 1) To test the difference between the means of two variables for a single group
- 2) [Analysis] → [Compare Means] → [Paired-Samples T-test]
- 3) Test for the significance of the mean difference between v10(Cambodia) and v12(Myanmar): Assign v10 as variable 1 and v12 variable 2 → Paired variables
- 4) Test for the significance of the mean difference between v12(Myanmar) and v5(Russia): Assign v5 as variable 1 and v12 as variable 2 → Paired variables

Compare means	
Independent-Samples T-test	The Independent-Samples T Test procedure compares means for two groups of cases. To compare means of 2 groups
Paired-samples T-test	The Paired-Samples T Test procedure compares the means of two variables for a single group.
One way ANOVA	The One-Way ANOVA procedure produces a one-way analysis of variance for a quantitative dependent variable by a single factor (independent) variable. To compare means of 3+ groups

Data: EAI Poll (2015, n=1,010)

4. Analysis 1 : Attitudes toward Myanmar

2-2. "Paired Samples T-test" of comparing means : ② Results of significance

RESULTS will be provided in another file in "SPSS Viewer" named "OUTPUT.spo"

Paired Samples Statistics

		Mean	N	Std. Deviation	Std. Error Mean
Pair 1	Cambodia - Myanmar/Burma	49.70	1008	15.904	.501
Pair 2	Russia - Myanmar/Burma	47.39	1008	16.745	.527

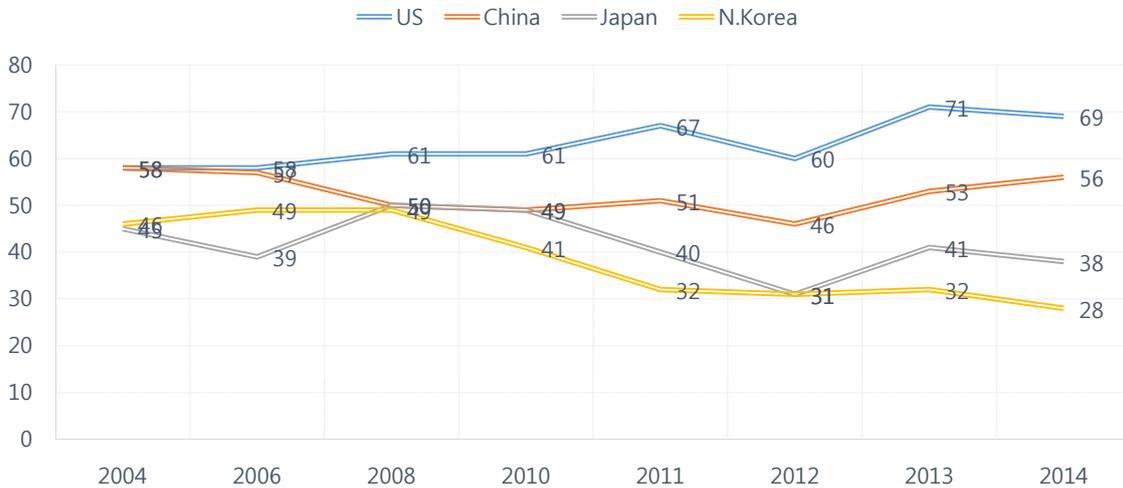
Paired Samples Test

		Paired Differences				t	df	Sig. (2-tailed)	
		Mean	Std. Deviation	Std. Error Mean	95% Confidence Interval of the Difference				
					Lower				Upper
Pair 1	Cambodia - Myanmar/Burma	2.311	10.046	.316	1.690	2.931	7.302	1007	.000
Pair 2	Russia - Myanmar/Burma	-6.640	18.944	.597	-7.811	-5.469	-11.128	1007	.000

4. Analysis 1 : Attitudes toward Myanmar

3. Attitude Changes across Time

KOREAN FEELINGS (POINTS)



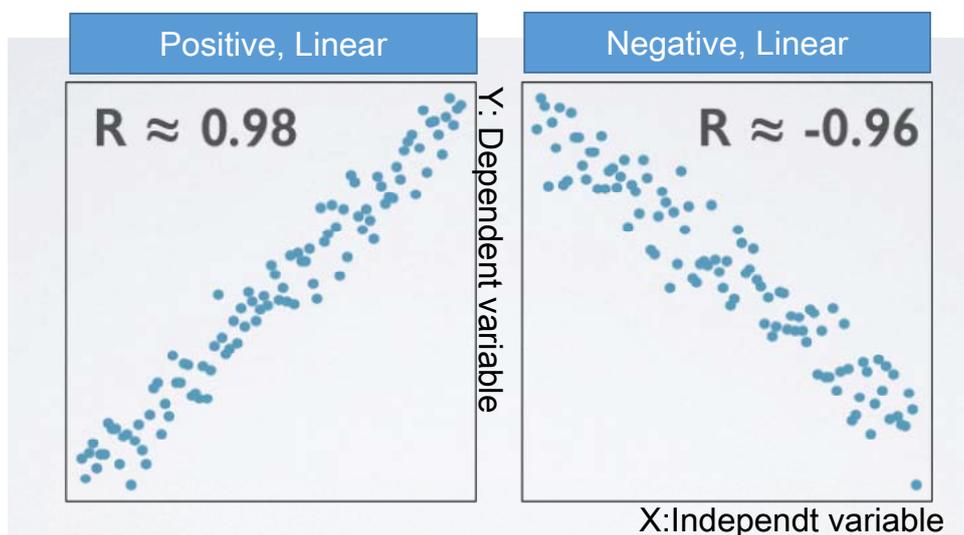
Data: EAI Poll (2004-2014)

31

4. Analysis 2 : What exerts influence?

1. What is "influence"? : Definition: Correlation

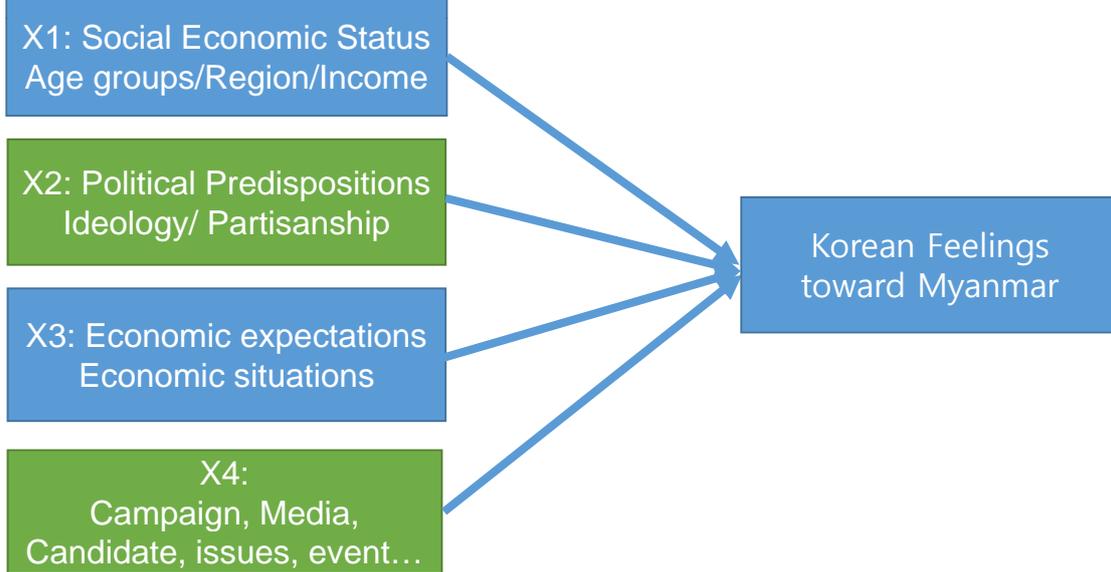
- 1) "Influence" means "Correlation" → the "linear" relationships between two variables
- 2) If two variables are correlated, they influence each other
- 3) Denoted as R (magnitude of the correlation coefficient measures the strength of the relationship)



4. Analysis 2 : What exerts influence?

2. What exerts influence? : What is X?

Hypothesis : Social factors + Political factors + Economic factors + other factors(no data)



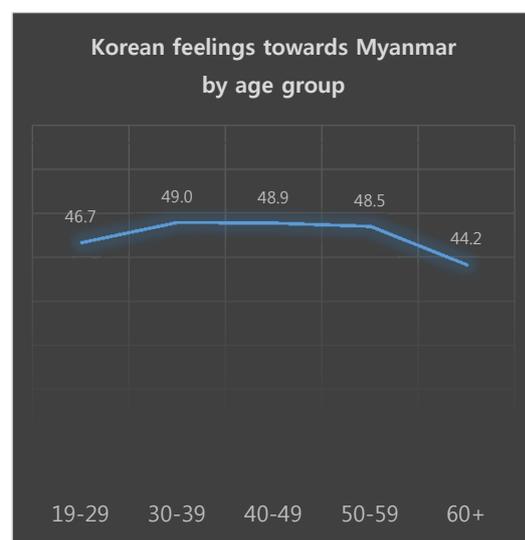
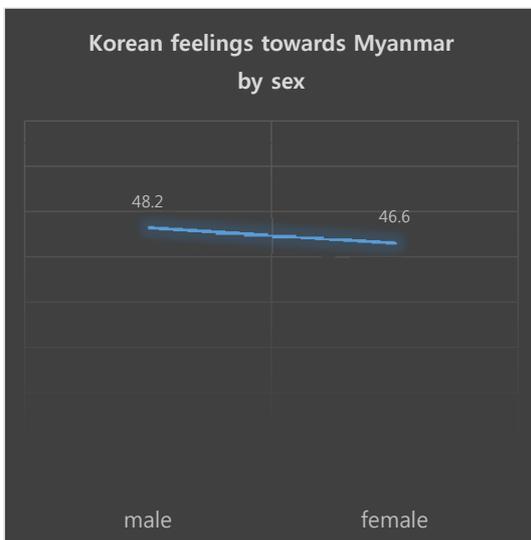
33

...

4. Analysis 2 : What exerts influence?

3. Results of "ANOVA" Test : Sex and Age groups

"ANOVA Test(or Means)" compares the means of 3+ subgroups



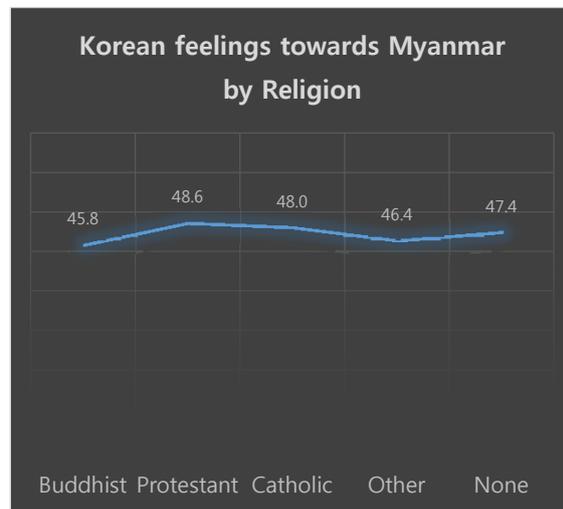
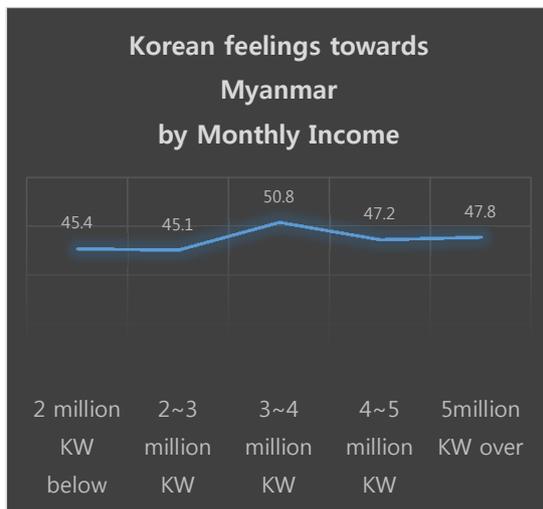
Data: EAI Poll (2015)

34

4. Analysis 2 : What exerts influence?

3. Results of "ANOVA" Test

"ANOVA Test(or Means)" compares the means of 3+ subgroups



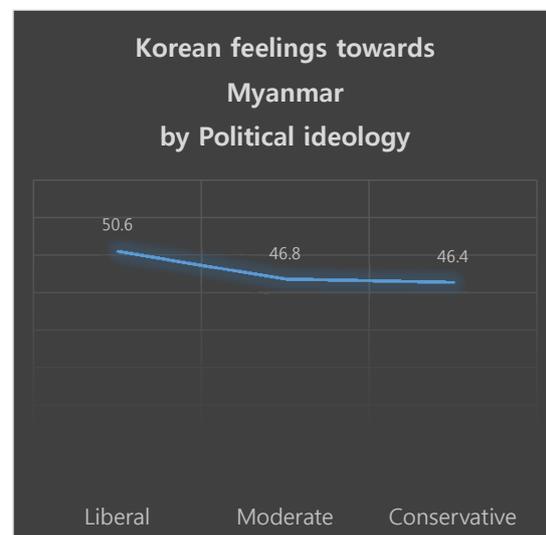
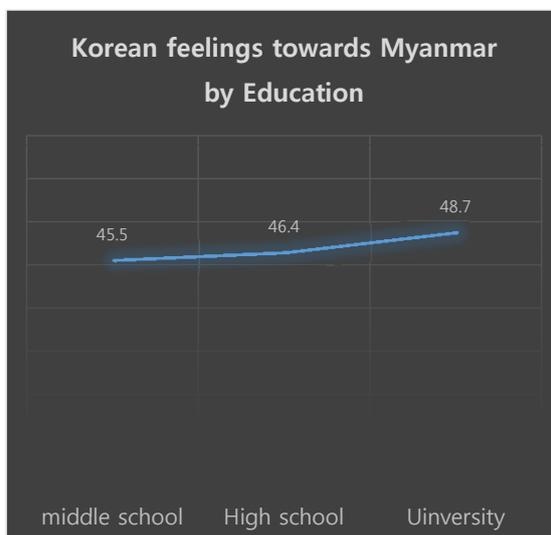
Data: EAI Poll (2015)

35

4. Analysis 2 : What exerts influence?

3. Results of "ANOVA" Test : Education and Political Ideology

"ANOVA Test(or Means)" compares the means of 3+ subgroups



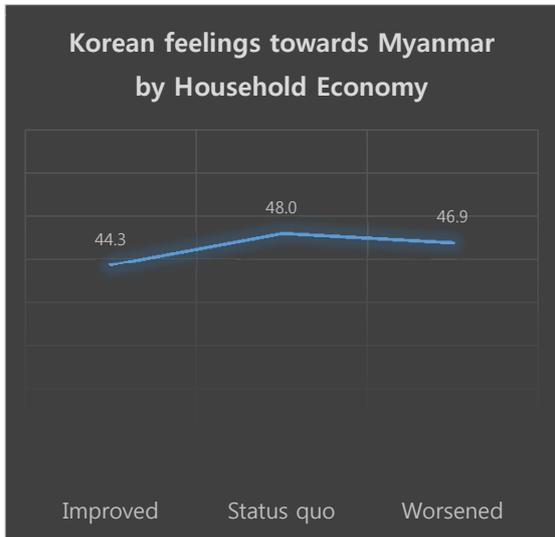
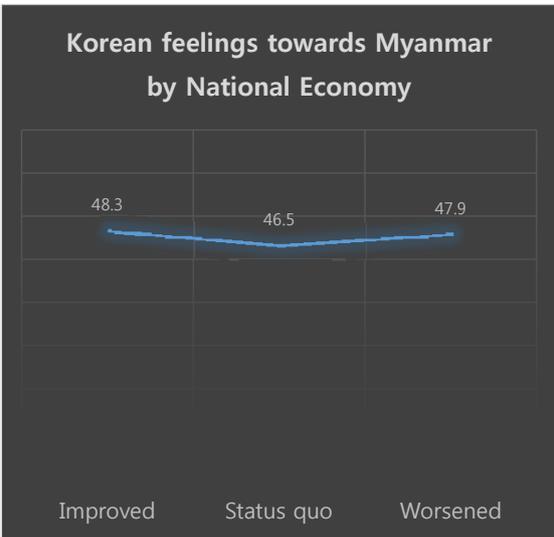
Data: EAI Poll (2015)

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4. Analysis 2 : What exerts influence?

3. Results of "ANOVA" Test : Economic Evaluations on Nation and House

"ANOVA Test(or Means)" compares the means of 3+ subgroups

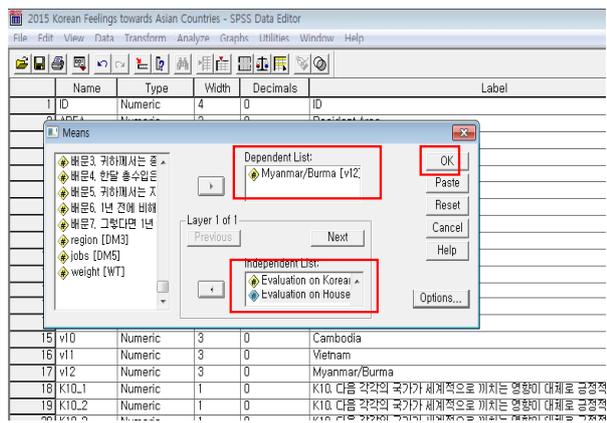
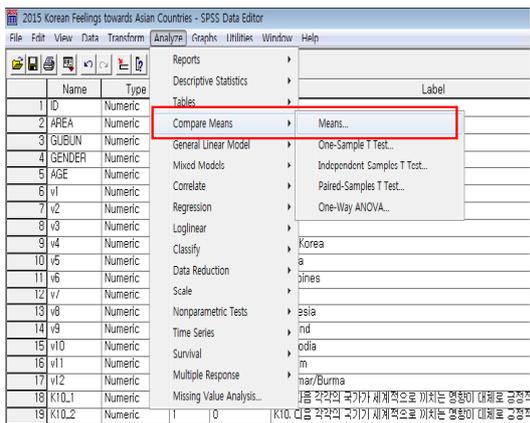


Data: EAI Poll (2015)

4. Analysis 2 : What exerts influence?

4. "Means" for comparing means of sub-groups

- 1) V12 is a interval variable
- 2) [Analysis] → [Compare Means] → [Means]
- 3) Click [v12] → [Dependent List]
- 4) Click [sex, age groups, education, income, religion, ideological identification, Evaluation on Korean Economy, Evaluation on Household Economy] → [Independent List]
- 5) OK



Data: EAI Poll (2015)

4. Analysis 2 : What exerts influence?

4. Results of "Means"

- 1) [Copy] table → [Paste] at Excel sheet
- 2) Designate the data range → [Charts] → Select [line graph] → Graph

Social factors

Myanmar/Burma • sex

sex	Mean	N	Std. Deviation
male	48.25	499	16.806
female	46.55	509	16.658
Total	47.39	1008	16.745

Myanmar/Burma • income

income	Mean	N	Std. Deviation
1 million KW below	45.30	221	15.217
2~3 million KW	45.13	172	17.701
3~4 million KW	50.83	216	17.138
4~5 million KW	47.25	194	14.103
5million over	47.77	202	18.429
DK/NA	60.00	3	20.000
Total	47.39	1008	16.745

Economic factors

Myanmar/Burma • Evaluation on Korean Economy

Evaluation on	Mean	N	Std. Deviation
Improved	48.28	58	18.174
Status quo	46.55	352	16.248
Worsened	47.89	598	16.959
Total	47.39	1008	16.745

Myanmar/Burma • age

age	Mean	N	Std. Deviation
15-29	46.68	179	17.853
30-39	48.95	191	17.137
40-49	48.88	217	16.599
50-59	48.50	197	17.066
60+	44.20	224	14.922
Total	47.39	1008	16.745

Myanmar/Burma • religion

religion	Mean	N	Std. Deviation
Buddhist	45.81	203	17.371
Protestant	48.61	216	17.232
Catholic	48.04	84	19.044
Other	46.36	11	14.334
None	47.44	488	15.873
Total	47.39	1008	16.745

Myanmar/Burma • Evaluation on Household Economy

Evaluation on	Mean	N	Std. Deviation
Improved	44.32	78	17.583
Status quo	48.02	621	16.246
Worsened	46.91	309	17.431
Total	47.39	1008	16.745

Myanmar/Burma • education

education	Mean	N	Std. Deviation
middle school	45.55	150	13.772
High school	46.43	378	16.683
University	48.72	480	17.545
Total	47.39	1008	16.745

Myanmar/Burma • Ideoloical identification

Ideoloical identification	Mean	N	Std. Deviation
Liberal	50.55	203	17.130
Moderate	46.00	426	16.507
Conservative	46.36	379	16.953
Total	47.39	1008	16.745

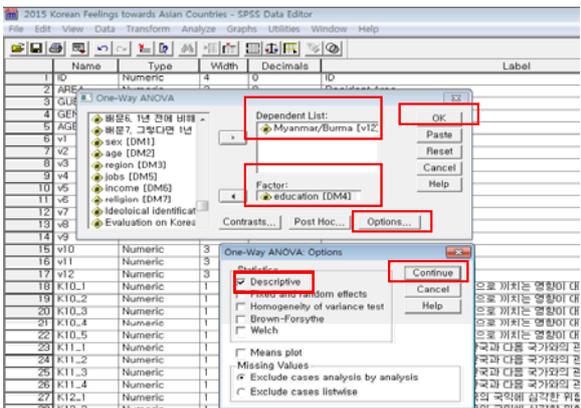
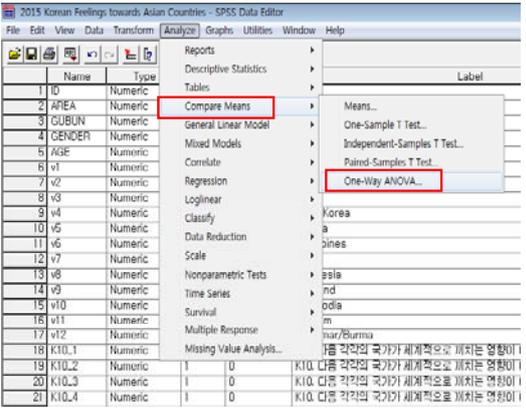
Political factors

39

4. Analysis 2 : What exerts influence?

5. Are there differences between means by education level "significant"?

- 1) [Analysis] → [Compare Means] → [One Way ANOVA]
- 2) Click [v12] → [Dependent List], Click [Education(DM4)] → Factor
- 3) [Options] → check [Descriptive] → [Continued]
- 4) [OK]



40

4. Analysis 2 : What exerts influence?

5. Results of ANOVA(Analysis of Variance)

- 1) ANOVA tests whether the means of y(feelings toward Myanmar) differ across subgroups of X (education)
- 2) Table of [Descriptives] provides Means among the groups by education level
- 3) H_0 (Null Hypothesis): equal means, H_A (Alternative Hypothesis): Not equal means
- 4) Table of [ANOVA] shows the result of Significance Test(sig=p-value). P-value **0.47** [$p=P(\text{observed or more extreme outcome} \mid H_0=\text{True})$] is very lower than the significance level α (**0.05** at 95% confidence level) means that **we can reject the hypothesis of equal means** (Null hypothesis)

Descriptives

Myanmar/Burma		N	Mean	Std. Deviation	Std. Error	95% Confidence Interval for Mean		Minimum	Maximum
						Lower Bound	Upper Bound		
middle school		150	45.55	13.772	1.124	43.32	47.77	0	80
High school		378	46.43	16.683	.858	44.74	48.12	0	100
Unlversity		480	48.72	17.545	.801	47.15	50.30	0	100
Total		1008	47.39	16.745	.527	46.35	48.42	0	100

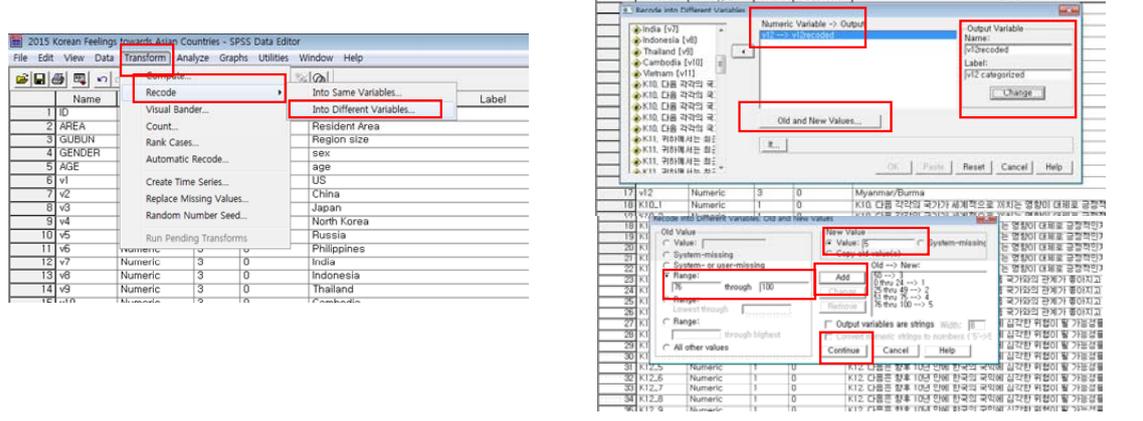
ANOVA

Mvyanmar/Burma		Sum of Squares	df	Mean Square	F	Sig.
Between Groups		1711.884	2	855.942	3.065	.047
Within Groups		280643.893	1005	279.248		
Total		282355.777	1007			

4. Analysis 3 : What exerts influence?

1. Transform V12 of interval variable into New variable of ordinal variable

- 1) [Transform] → [Recode] → [Into Different Variable]
- 2) Click [v12] → [Numeric Variable -> Output] → Type [Name] and [Label] of New Variable
- 3) [Change] → [Old and New Values]
- 4) [0 through 24 (old value) → 1(new)] → add + [25 through 49 (old value) → 2] → add + [value 50 (old) → 3 (new)] → add + [51 through 75 → 4] → add + [76 through 100 → 5] + [All other values → Copy] → add → [Continued]
- 5) OK

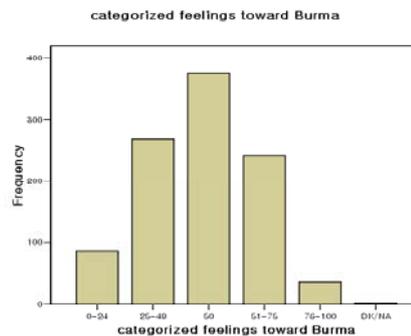


4. Analysis 3 : What exerts influence?

2. Frequency table of New variable [v12recoded]

[Analysis] → [descriptive statistics] → frequencies → [v12regcoded] → OK

Valid	Frequency	Percent	Valid Percent	Cumulative Percent
0-24	86	8.5	8.5	8.5
25-49	269	26.6	26.6	35.1
50	375	37.1	37.1	72.3
51-75	242	24.0	24.0	96.2
76-100	36	3.6	3.6	99.8
DK/NA	2	.2	.2	100.0
Total	1010	100.0	100.0	

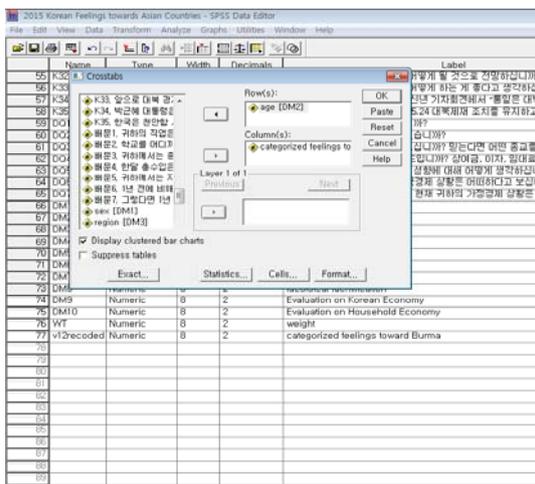


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4. Analysis 3 : What exerts influence?

4. "Cross tabs" for the associations between two categorical variables

- 1) [Analysis] → [descriptive statistics] → [Cross tabs]
- 2) Click age[DM3] → Row(s), Click v12recoded(categorized feelings towards Myanmar) → [column(s)]
- 3) [Statistics] → [chi-square] → [Continued]
- 4) [Cells] → [Percentages] → check [row] → [Continued] → OK



		categorized feelings toward Burma					Total	
		0-24	25-49	50	51-75	76-100		DK/NA
age	19-29	Count	19	44	88	45	5	119
		% within age	10.6%	24.6%	36.9%	25.1%	2.8%	100.0%
30-39	Count	16	39	81	46	9	0	191
	% within age	0.4%	20.4%	42.4%	24.1%	4.7%	.0%	100.0%
40-49	Count	18	47	86	57	9	0	217
	% within age	0.3%	21.7%	38.6%	26.3%	4.1%	.0%	100.0%
50-59	Count	12	55	68	52	10	1	198
	% within age	6.1%	27.0%	34.3%	26.3%	5.1%	.5%	100.0%
60+	Count	21	94	74	42	3	0	235
	% within age	9.3%	37.3%	32.9%	10.7%	1.3%	.4%	100.0%
Total	Count	86	269	375	242	36	2	1010
	% within age	8.5%	26.6%	37.1%	24.0%	3.6%	.2%	100.0%

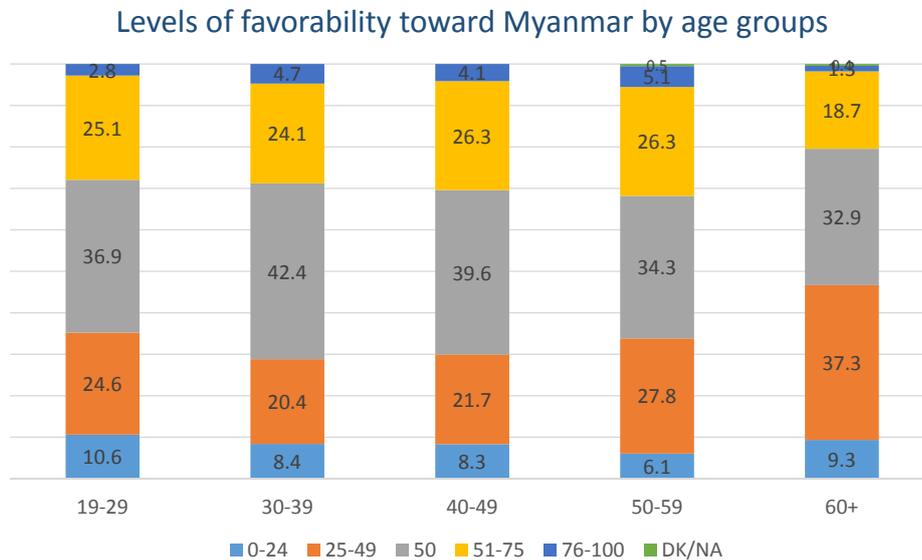
	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	32.877 ^a	20	.036
Likelihood Ratio	33.758	20	.028
Linear-by-Linear Association	1.885	1	.172
N of Valid Cases	1010		

a. 5 cells (16.7%) have expected count less than 5. The minimum expected count is .36.

Significance Test
P-value 0.036
 [p=P(observed or extreme outcome | H₀=True)] is very lower than the significance level α (0.05 at 95% confidence level) means that **we can reject the Null hypothesis of Independence**

4. Analysis 3 : What exerts influence?

4. Visualizing the results of “Cross tabs”



45

5. Practices

Analyze Korean Electorate's votes using KEPS Panel Election Data(2012)

- 1) Describe the rate of support for each candidate by using the data collected in December before the election D-day.
- 2) Analyze changes in the rate of support for election candidates from March to December
- 3) What exerted influence on voting behavior during 2012 Presidential Election in Korea?

Workshop
Building Civil Society Capacity in Myanmar through Budget Monitoring

An Introduction to Research Methodology and Report Writing

Jae Hyeok Shin
Korea University

An Intro to Research Methods and Report Writing

Outline

1. Research Methodology

Topics
Questions
Arguments
Evidence

2. Report Writing

Introduction
Theoretical section
Empirical section
Conclusion

3. Q & A

1. Research Methodology

Topic

Theme or subject of inquiry

Democracy or democratization

Economic development or poverty

Violence or peace

.

.

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1. Research Methodology

Topic

Government Budget Monitoring in Myanmar:
Current Situation and Challenges

Purpose of budget monitoring?

to reduce the waste of taxpayer money

Government waste:

process and reasons

Budget monitoring must center on that process and must contribute to eliminating those reasons.

1. Research Methodology

Question

How does something happen?

How does a country go to war?

How does a country democratize?

How does a country remain poor?

How does the government waste taxpayer money?

Why does something happen?

Why does a country go to war?

Why does a country democratize?

Why does a country remain poor?

Why does the government waste taxpayer money?

1. Research Methodology

Question

Why does something happen?

Why does a country go to war?

Why does a country democratize?

Why does a country remain poor?

Why does the government waste taxpayer money?

→ Why do some countries go to war, while others don't?

→ Why do some countries democratize, while others don't?

→ Why do some countries remain poor, while others get richer?

→ Why do some governments waste more taxpayer money than others?

1. Research Methodology

Question

1. How does the Burmese government waste taxpayer money?
 2. Why does the Burmese government waste taxpayer money?
 3. Why does the Burmese government waste more taxpayer money than the others?
- What should be done to reduce the government waste?
- On what and how should budget monitoring be focused?

1. Research Methodology

Arguments

1. How does a country democratize?
Process, descriptive (series of events)
2. Why does a country democratize?
Reasons, analytic (chains of causality)
3. Why do some countries democratize, while the others don't?
Reasons, analytic, scientific (generalizable causal explanations)

1. Research Methodology

Arguments

1. How does the Burmese government waste taxpayer money?

Process, descriptive (series of events)

2. Why does the Burmese government waste taxpayer money?

Reasons, analytic (chains of causality)

3. Why does the Burmese government waste more taxpayer money than other states?

Reasons, analytic, scientific (generalizable causal explanations)

1. Research Methodology

Evidence

1. How does a country democratize?

Mass protests broke out. Then dictator decided to step down.

History

2. Why does a country democratize?

Mass protests led to the dictator stepping down because he believed that his successor would win the subsequent election.

History, logic

3. Why do some countries democratize, while the others don't?

Dictators concede to democracy when they expect to hold on to power in a democracy.

History, logic, comparative

1. Research Methodology

Evidence: Comparative Methods

Q. Why do some countries democratize, while the others don't?

- **Most Similar Systems Design**

Country 1: democracy 1M, well-educated, rich, ..., powerful party

Country 2: autocracy 1M, well-educated, poor..., weak party

- **Most Different Systems Design**

Country 1: democracy 1M, well-educated, rich, ..., powerful party

Country 3: democracy 100M, less-educated, poor, ..., powerful party

- **Cross-national quantitative studies**

Country 1: democracy 1M, well-educated, rich, ..., powerful party

Country 2: autocracy 1M, well-educated, poor, ..., weak party

Country 3: democracy 100M, less-educated, poor, ..., powerful party

Country 100: autocracy 500M, less-educated, rich, ..., weak party

1. Research Methodology

Evidence

1. How does the Burmese government waste taxpayer money?

History

2. Why does the Burmese government waste taxpayer money?

History, logic

3. Why does the Burmese government waste more taxpayer money than other states?

History, logic, comparative

2. Report Writing

Introduction

Deductive writing:

Important things come first.

In Introduction,

Question

Arguments

Evidence

2. Report Writing

Theory section

Arguments

Process, descriptive (series of events)

Reasons, analytic (chains of causality)

Reasons, analytic, scientific (generalizable causal explanations)

2. Report Writing

Empirical section

Evidence

History

History, logic

History, logic, comparative

2. Report Writing

Conclusion

Summary of findings

The causes of the problem

Policy suggestions

How to eliminate the causes of the problem

Workshop

Building Civil Society Capacity in Myanmar through Budget Monitoring

An Intro to Research Methods and Report Writing

Q & A

Civil Society Budget Monitoring Activities: Methods and Issues

Won Hee Lee

(Hankyung University)

(Director at Korea Institute of Public Finance)

Contents

- I. Concepts and Importance of the Budget
- II. The Budgetary Process
- III. World Trend: Encouraging Participation and Transparency
- IV. Participatory Budgeting System
- V. Proposals for Budget Monitoring Strategies

I. Concepts and Importance of the Budget

1. The Definition of “Budget”

- [Accounting Approach]

Expected Revenue and Expenditures over a Certain Period of Time

- [Political Approach]

Realization of Financial Democracy: the legislature, which represents civil society as a whole, has budget appropriation authority

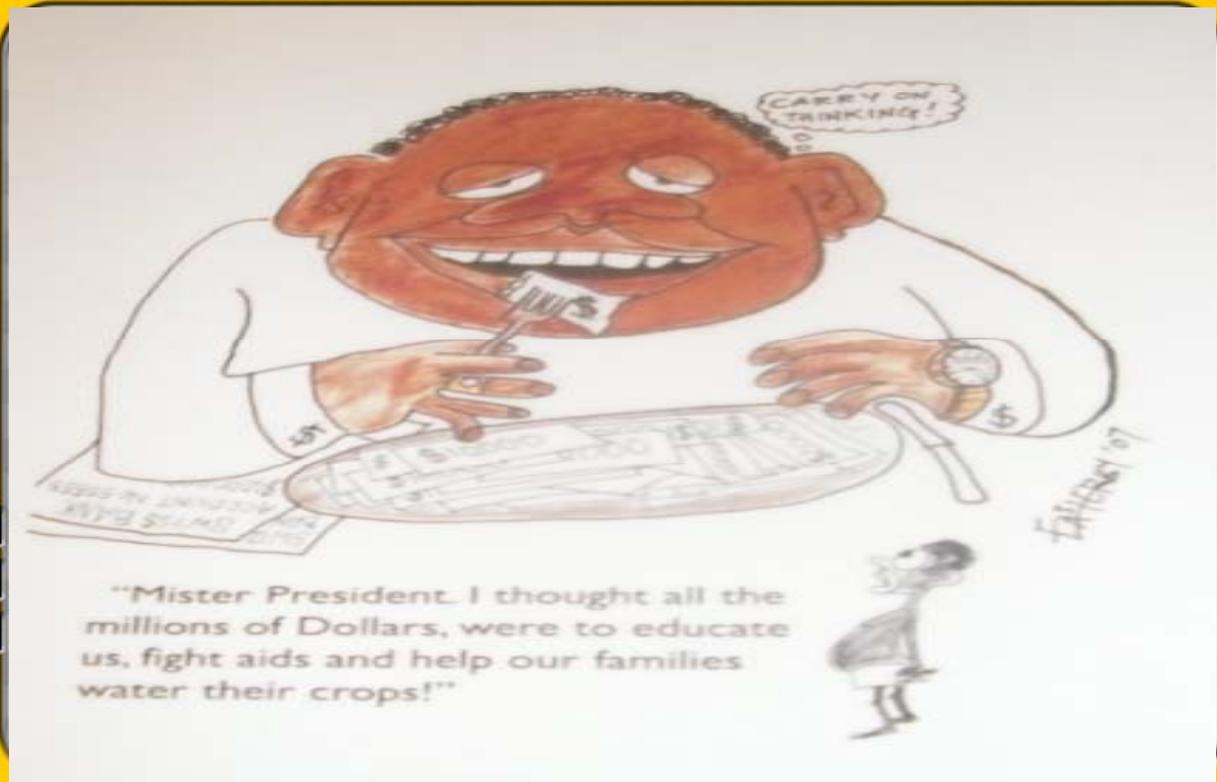
2. What is Financial Democracy?

- Realizing Democracy Through the Budget Process
- Participation, Transparency, Accountability
- Fiscal Discipline

3. Why Should Civil Society Monitor the Budget?

The Budget:

- Is the product of the people's taxes and effort
 - Should be approached from the perspective of opportunity costs
- Is made every year
- Has significant influence on local societies
- Reflects the policy priorities of the Executive Branch
- Should reflect consumer sovereignty, not supplier sovereignty
 - * Participatory Budgeting System









4. Difficulties in Civil Society Budget Monitoring

- Lack of Information on the Budget
- The Government's Monopoly over a Closed Budget Process
- Difficulty in Understanding Budgetary Documents
- Indifference of the People

General problem



Less engagement

A specific problem

For most people, participation in democratic decision-making is unappealing.

It is boring, painful, and pointless.



II. The Budgeting Process

Budget Paradigm Shift

Former Paradigm

- Budgets are a Mechanism to Implement State Power
- Enforcement of Laws
- Supplier Sovereignty
- Closed Process

New Paradigm

- Budgets are a Mechanism to Provide Public Services
- Consumer Sovereignty
- Transparency and Competition [New Public Management]

Budget Cycle



1. Issues with Budget Formulation Process

- Overcoming the Government's Closed Process
- Introducing Participatory Budgeting Systems
- Coordinating Planning and Budgeting
- Building a System for Managing Performance

2. Issues in the Budget Approval Process

- Interest from All Citizens Rather than Only Representatives of Concerned Districts
- Strengthen the Review Activities on Wasteful Government Practices
- Establish Budget Review Governance:
Cooperation Needed among Citizen Groups, Experts, and Localities
- Control Pork Barrel Politics

3. Issues in the Budget Execution Process

- Control Corruption
- Control Corruption in the Process of Concluding Contracts
- Unspent Funds [Need for Tracking]

4. Issues in the Budget Oversight Process

- Control Wasteful Spending
- Check Performance
- Strengthen Field Inspections

Means to Control and Participate in Local Fiscal Activities

	Passive [Indirect]	Active [Direct]
<i>Ex ante</i>	- Disclose Fiscal Information [Disclose Budget Proposals, Budget]	- Participatory Budgeting Systems - Ombudsman System
<i>Ex post</i>	- Disclose Fiscal Information - Disclose Oversight Information	- System for Citizen (Taxpayer) Litigation - System for Citizens to Request Audits - Information Disclosure Requests - Budget Monitoring Activities

Budgetary Participation Mechanism in Korea

		<i>Ex Post</i> Mechanism	<i>Ex Ante</i> Mechanism	Year of Legal Basis
Central Government	Line ministry	-	Self-Evaluation Process	2006
	Central Budget Agency	MTEF		2006
	National Assembly	Public Hearings		2006
Local Government		Participatory Budget		2011

Field Inspection

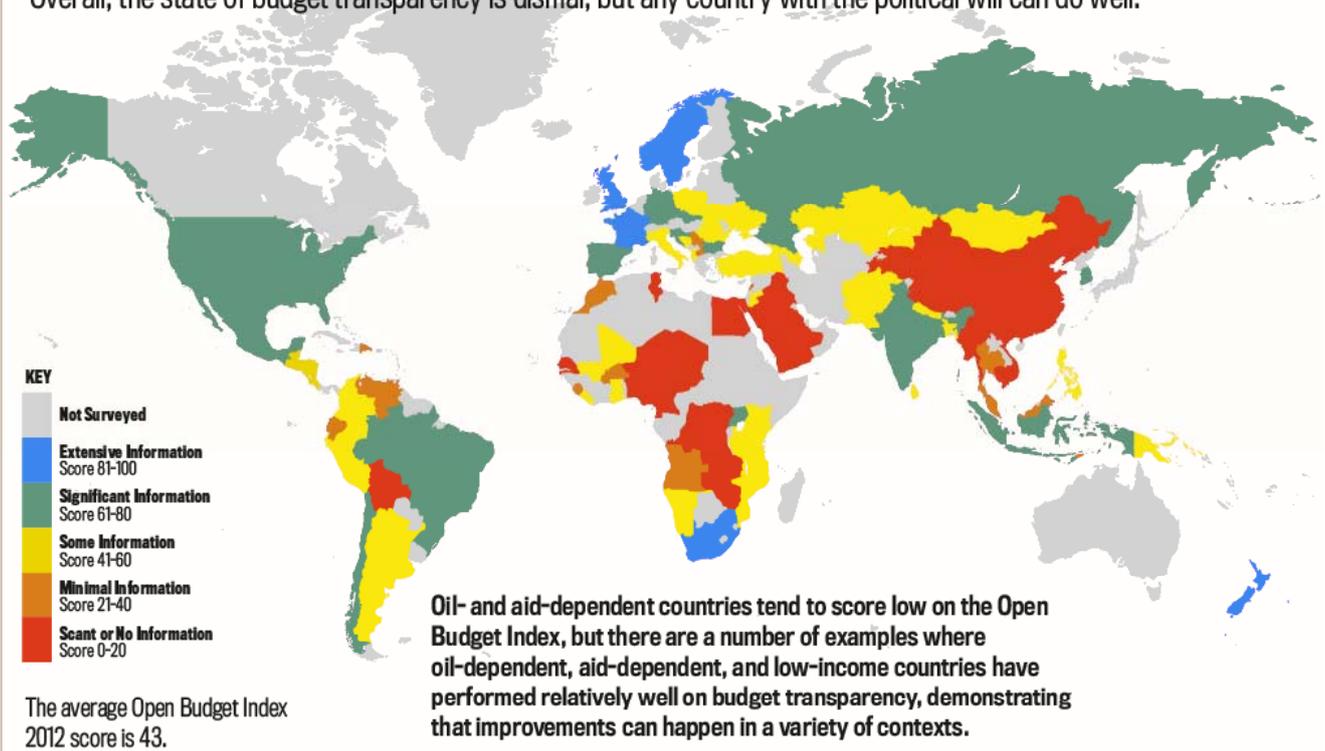




III. World Trend: Encouraging Participation and Transparency

Open Budget Index 2012

Overall, the state of budget transparency is dismal, but any country with the political will can do well.



MAKE BUDGETS PUBLIC NOW!

Make Budgets Public NOW

Inclusive and open public budgets are ESSENTIAL to achieving a world in which ALL human beings can enjoy their civil, political, social, economic, cultural and environmental rights. Join our campaign, spread the word and pressure your governments and parliament to be transparent about the budget. It's your money!

**IT IS NEVER TOO LATE
YOUR VOICE HEARD**

**IT IS NEVER TOO LATE
TO HOLD GOVERNMENTS
TO ACCOUNT FOR THE BUDGET**

Make Budgets Public NOW

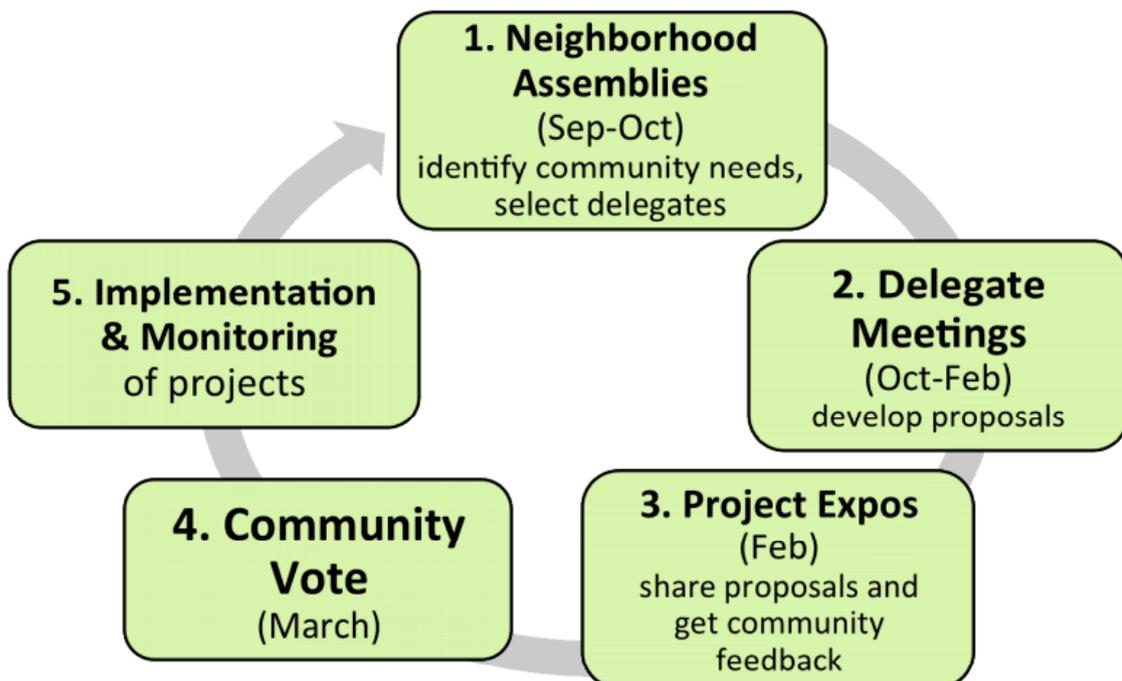
Inclusive and open public budgets are ESSENTIAL to achieving a world in which ALL human beings can enjoy their civil, political, social, economic, cultural and environmental rights. Join our campaign, spread the word and pressure your governments and parliaments to be transparent about the budget. It's your money!

1 country, South Korea provides extensive opportunities for public participation	131 documents which are not published by governments are produced but for internal use only	21 countries fail to publish the Executive's Budget Proposal	23 countries out of 100 surveyed provide significant budget information	74 countries publish Citizen
---	--	---	--	-------------------------------------

IV. Participatory Budgeting System

The Direction of Participatory Budgeting Systems

	Direct Participation	Indirect Participation through Councils
Daily Participation	Future Direction [Internet, Public Opinion Surveys, etc.]	Encourage Citizen Participation in their Individual Interest Areas
Participation at Specific Times	Formal Participation in Public Hearings, etc.	Decision Making Meetings





Principle of citizens' participation

- ▶ **openness**
equal opportunity for participation
- ▶ **empowerment**
self-determination
- ▶ **transparency**
information sharing



The cornerstone for democracy



Governance



Empowerment



Deliberative democracy



Neighborhood democracy





Generate collaborative competition



Magic circles

Generate collaborative competition



Establish clear and legitimate rule

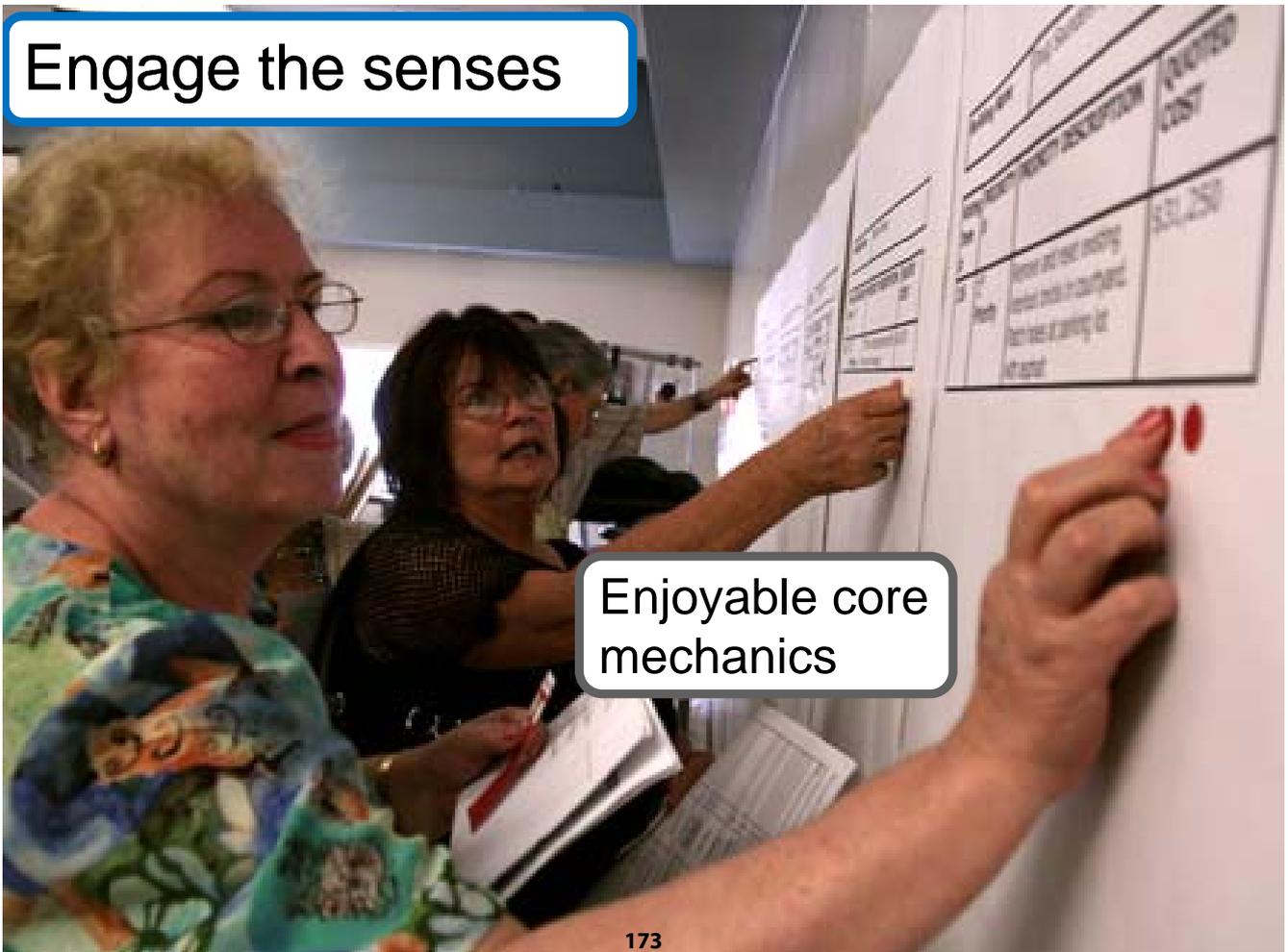


Vote by the people



43

Engage the senses



Enjoyable core mechanics

Games in Democratic Processes



#4: Analysis games

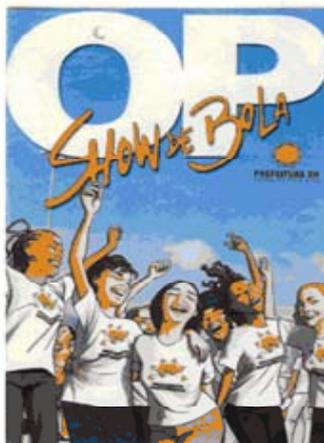
(Matching puzzle)

Civic Participation by mobile

Nossa Comunidade no

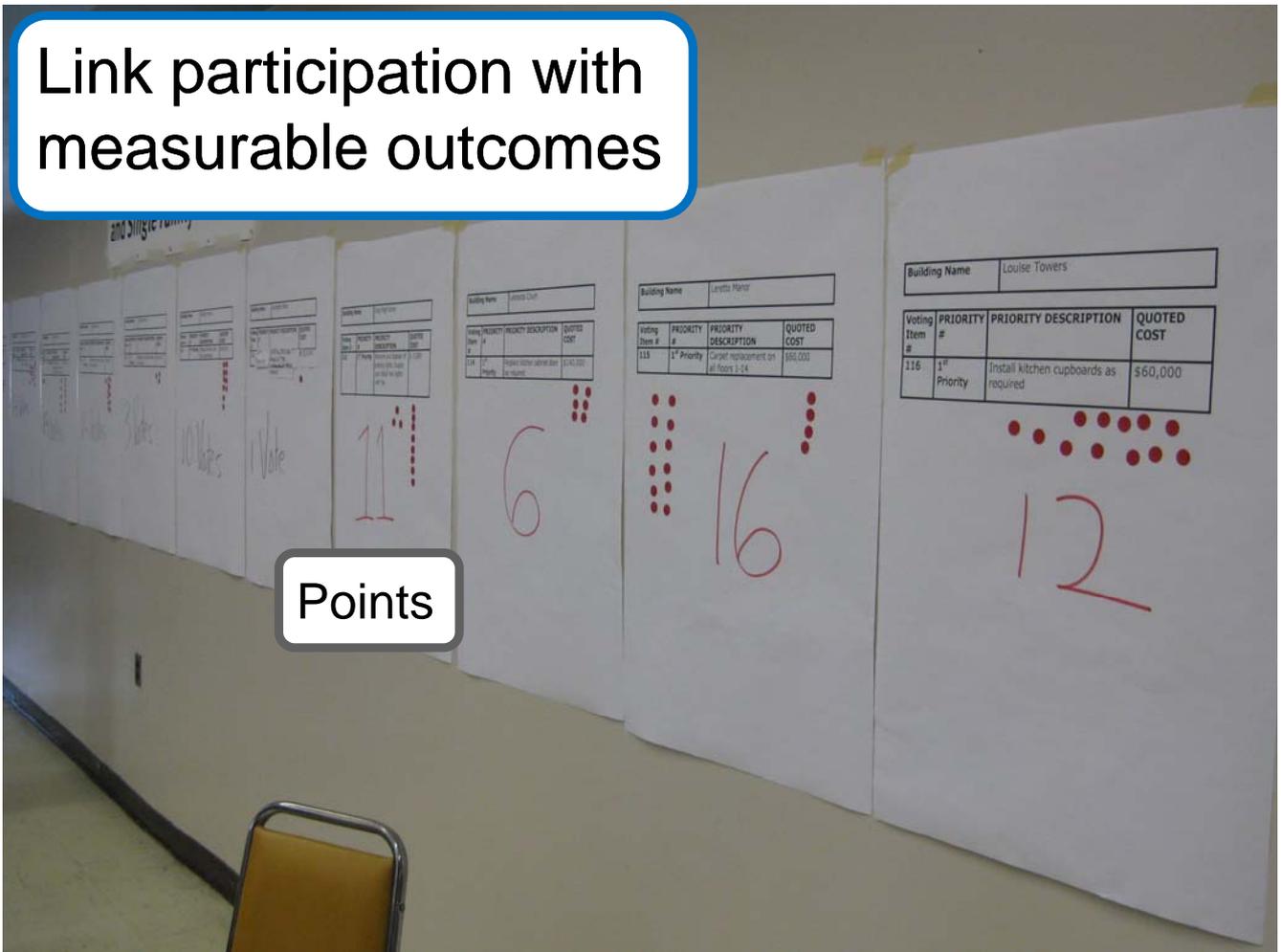


Participe!!!



A common problem: the need of renovating the way of using technologies for Digital Natives

Link participation with measurable outcomes



Points

PB 49 2013 ELECTION RESULTS PB 49

STREET RESURFACING and STREET LIGHTING

62% [9 blocks repaving
2 blocks lights] \$620,000

#votes	Project Name	Cost
864	② URGENT SIDENALK REPAIRS	\$80,000
642	⑩ COBBLESTONE RESTORATION	\$150,000
579	④ SHERIDAN RD ENGINEERING STUDY	\$30,000
578	③ TOUTHY PK CHERRY TREES + WATER FOUNTAIN	\$29,800
527	① CLARK STREET BIKE LANES	\$75,000

PB 49 2013 ELECTION RESULTS PB 49

#Votes	Project Name	Cost
448	③ BUS STOP BENCHES	\$36,750
439	⑤ POTTAWATTOMIE WATER FEATURE	\$75,000
323	⑥ MARY MARGARET LANGDON PARK TURF SPECER FIELD	\$100,000
276	④ METRA STATION SHELTER + BENCH	\$125,000
256	⑩ WILLYE WHITE PK MOSAIC ART	\$60,000
163	⑥ LAZARUS PLAY LOT BOBBLE RIDER	\$10,000

1427 TOTAL BALLOTS CAST

Key Features

- get **realistic budget proposals** from your citizens based on concrete department data
- **integrate response data** directly into your budget proposals
- **customize** your consultation to reflect individual needs of your municipality
- **harness social media** and encourage residents to share proposals

What has been Achieved?



Power Sharing

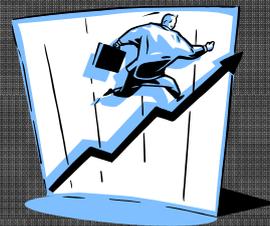
Link participation with measurable outcomes

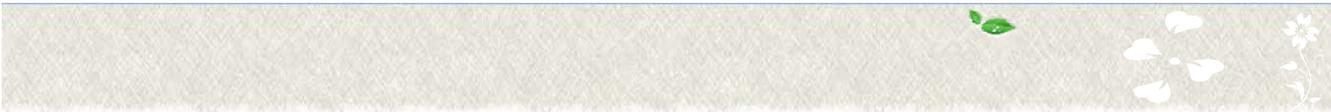
Concrete results

IMPACT

- Increased interest in the political process
- Increased understanding of governance and the budget cycle
- Changes in the expectations of people from their government
- Created better opportunity for dialog between people and their officials

New
Challenges



- 
- activate small meeting
 - representative and legitimacy
 - day-to-day activity
 - cooperation with local council
 - decipher the difficult budgetary numbers
- 
- 

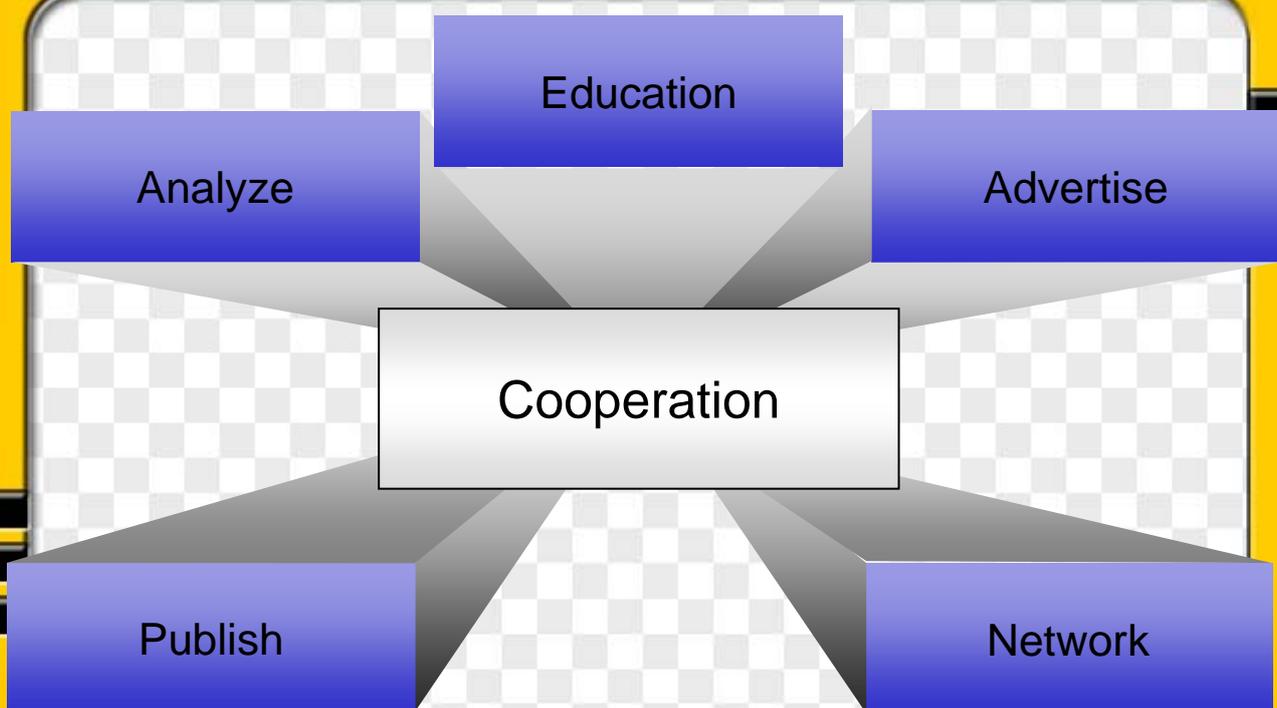


V. Proposals for Budget Monitoring Strategies

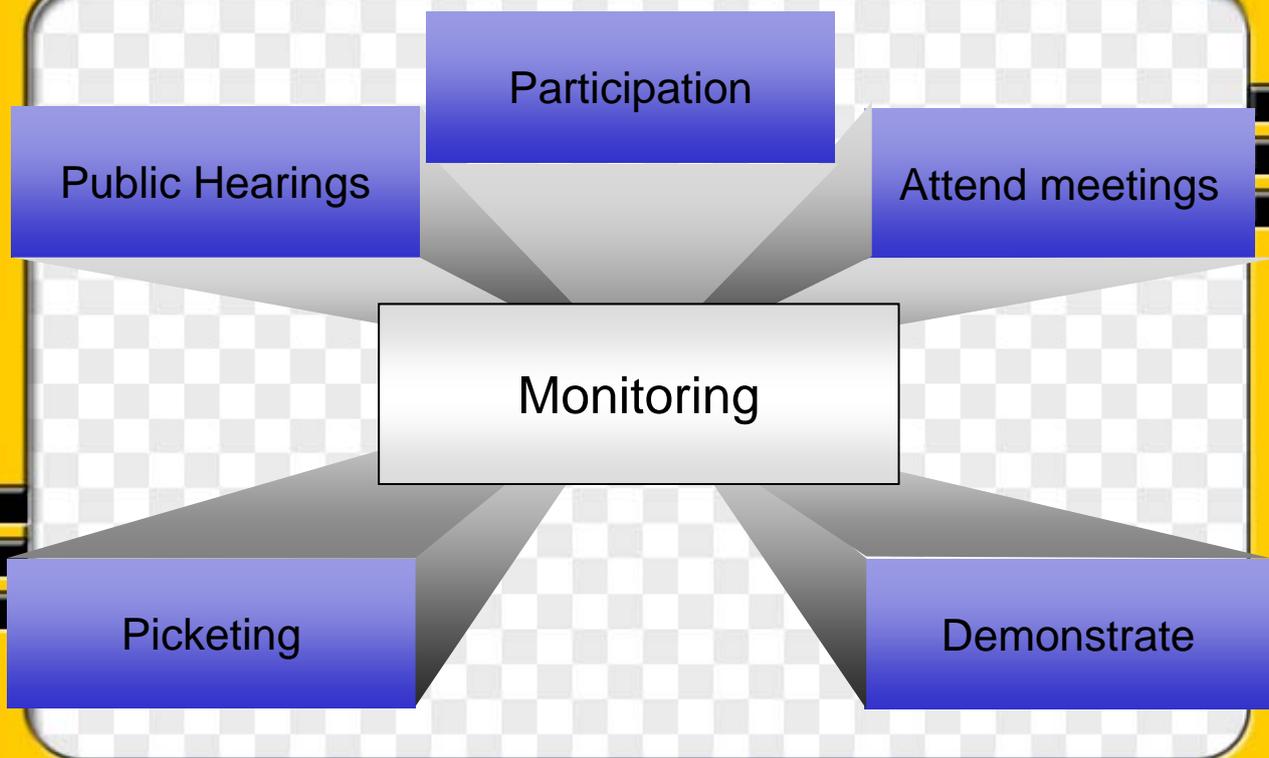
Relationship with other organizations



Activities



Activities



**Best Practices
in other Countries**

Timing of interventions is important. One of BIP's primary goals is to increase public involvement in the budget debate as much as possible. Instead of initiating a general information campaign, however, BIP designed staged activities that maximized participant impact on the budget debate. The public forums were held before the budget was complete, so the Executive could take the views of the participants under consideration. The budget guide was provided to MPs on the first day of the budget debate, despite the enormous challenge of completing it so quickly, in order that it would be available to help inform the debate. And the media was used both before the budget was released, in order to prime civil society on the upcoming issues, and immediately after its release, in order to provide timely analysis.

Share knowledge. CBPS, like many budget analysis groups just starting out, had a lot to learn initially about the budget process. As the organization worked to develop its own expertise, it shared its expanding knowledge base with those who would most benefit from it, particularly officials in the local government who often understood very little of the budget process. Moreover, CBPS directly benefited from open communication with others in the field, drawing on the work they had done and learning from their experiences.

Identify a niche. Based on discussions with other people involved in budget analysis in India, CBPS was able to identify a specific gap in the work being done. In this way, CBPS immediately became an important contributor to the budget debate in India without duplicating work already being carried out.

Provide accessible information. CBPS found that dealing with a complicated subject matter and people, who understood very little about it, required a very specific type of communication. It is not enough to complete economic and statistical analysis; it is equally important to communicate such information in a way that does not lose its intellectual rigor and that people can understand.

Building capacity at various levels is essential. One of the main obstacles faced by the organization has been the low capacity of many actors in civil society to analyse and critique macro- and micro-economic issues. A continuing barrier is having a sufficient pool of informed actors to meet training needs as well as future plans to raise public awareness. Vital to the process is increasing the skills of government actors to link gender issues to budgeting and macroeconomics.

Meeting expectations of serving as a role model can be difficult. While TGNP is eager to serve as a role model for similar processes in other countries and places a strong emphasis on coalition building and networking, the needs of various actors can sometimes spread the capacity of the organization thin. A continued emphasis on bringing more actors into these processes is anticipated to assist in addressing this challenge.

Work with government while protecting the civil society agenda. By viewing government officials as partners in the research and capacity building processes, the government and civil society were able to learn from each other and capitalize on each other's strengths. It has also given the NGOs involved insight into the constraints of government, while alleviating some of the bureaucratic red tape that can often hinder a project. At the same time, a continuing barrier remains apathy and frustration on the part of budgetary planners caused by hierarchical processes that gave them little control over the actual budget allocations or process. An additional challenge remains ways to lobby government to genuinely transform government processes.

Challenging international macro-economic frameworks is essential. These frameworks, including structural adjustment and the Poverty Reduction Strategy Paper (which are developed by countries seeking loans from the World Bank and IMF and form the basis for concessional assistance including debt relief), have marginalized the government and meant that there are fewer resources to support development. Therefore, one role of NGOs is to influence transformation of these processes.

Target training efforts at both the NGO community and government officials.

Training NGOs to engage in budget work is typically deemed important because of the role NGOs can play in increasing transparency and government accountability to the electorate. However, when the budget is developed through a closed process in the executive branch of the government, it is equally important to train local-level public representatives in budget process and analysis to prepare them to participate meaningfully in the budget debate and to counter potential corruption among high-level government officials.

Education is critical. A large number of NGO leaders have an insufficient understanding of the municipal budget process, including the mechanisms of budget drafting, adoption, and implementation. By providing the necessary education and training, the Strategy Center helped establish a group of people engaged in professional analysis and monitoring of the budget. This not only leads to better budget policies, but also addresses the organization's larger goal of reducing government corruption through rigorous public monitoring.

Tailor activity to need. BIP's budget guide was particularly useful, not only because of Parliament's limited understanding of financial procedures and capacity to analyze the budget proposals, but also because of the extremely short time-frame in which the budget debate in Kenya occurs. The guide was concise and clear, and provided MPs with specific advice and information that would help them develop arguments in the budget debate.

Systematic research. The successful publicity campaign against the President's secret fund brought issues of government transparency and accountability to the forefront of public concern. Systematic and detailed research on very specific aspects of discretionary spending patterns made it possible to identify them clearly and highlight the importance of solid research as a means to influence the actions of government.

Target issues. Although the President's secret fund was a relatively small concern in the context of the entire national budget, it was symbolic of the problems of Mexico's government and provided an obvious issue with which to capture public interest. Starting with a clear, high profile issue allowed Civic Alliance to generate momentum on the issue of transparency and accountability, as well as on the role citizens can and must play.

Provide targeted, accessible research. Substantive research and analysis on the resource implications of various policy options plays a critical role in informing and influencing policymakers. In the case of the Child Budget Project, therefore, it is important that the research and analyses focus on the allocation of resources from state budgets and donor financial aid and provide child-focused data and statistics. In addition, the research should come with recommendations to guide policymakers.

Build capacity. Political credibility is largely dependent on increased capacity within the country to understand the issues and engage in public debate. The fact that the CBP engaged in information sharing and training activities aimed primarily at national and provincial legislatures and children's rights advocates has enabled legislatures and civil society to present government with policy critiques and alternative proposals. Moreover, strengthened legislative and civil society capacity to engage in public policy and resource allocation debates provides increased checks

Early involvement. Adva maximized its position in the debate by getting involved when the budget was not yet finalized. When cuts to social spending were still just possibilities being discussed by government officials, Adva first raised the issue by publishing a report that made a case for protecting social services in the budget. Establishing an early presence helped build momentum and generate proactive interest in budget issues within civil society.

Effective networking. Adva began very early in the process to bring a broad spectrum of organizations whose constituencies would be affected by the budget decisions into the debate. Through meetings and information sessions, Adva worked to increase awareness within the NGO community, establish a common agenda, and present a united voice to the government.

Information Dissemination. Adva produced information that was both timely and useful, and it selected its audience well. The longer, more in-depth reports and short, easily digestible issue briefs were sent to a broad spectrum of NGOs, legislators, health ministry officials, and other key players, and the reports were widely publicized in the media.

Sending the message. Adva employed a number of techniques to reach its audience and have its message heard. Beyond simple dissemination of information, Adva followed up with meetings, information sessions, media interviews, testimony at Knesset committee meetings, and a budget debate with government officials and the NGO community. The fact that Adva spoke for itself and as a member of a coalition also fostered greater legitimacy for its position.

Stories in some NGOs

Our notes shaped the budget discussions in the assembly. Since we prepared them in the local language, keeping the educational background of the members in mind, they dominated the budget proceedings.

Government officials became more alert to queries and questions raised in the assembly. Budget discussion became sharper and more factual, forcing the ministers to reply to the facts and making the government officials work.

For the first time, the issues of the poor were discussed, questions were answered, and the debate became precise.

Our organization's name became familiar in the "corridors of power." Our access to officials, ministers, elected representatives, and the press became easier. We received a warm welcome, and their attitude toward us became less arrogant, sometimes even sympathetic. This has helped us a great deal in resolving people's problems.

We were not merely a struggle-oriented and slogan-shouting organization. We had the intellectual abilities to put our case across solidly in the government's own sacred terminology.

The government bureaucracy had no alternative but to accept our conclusions, since they were based on the government's facts and figures.

Academics and intellectuals accepted us in their circles.

The Value of Budget Analysis to Grassroots Groups

I have found budget analysis to be a very powerful tool. Of course, there are differences between academic analysis and the situation-based analysis of a grassroots group:

- Our analysis is more confrontational in nature, designed to create a demand for explanations from the ruling government during the budget discussion on the provisions relating to issues affecting the poor.
- Our analysis also looked at regional development. We specifically highlighted money allocated by various heads to benefit the poor, as well as any attempt to create imbalance through allocation of financial resources and other fiscal policies.



- Money goes to those who hold power. If non-governmental organizations (NGOs) raise questions and demand the people's share, those who possess the money get worried.
- Our analysis shifted the balance of power. In general, NGOs and voluntary agencies have rarely addressed the whole field of "governance." Until recently, their role had been limited to receiving either "finance" or "information" from the government. By doing a budget analysis, the group acts as a partner in formulating the budget and pushes the state to collect information and provide it to the people.
- The budget is prepared by a very small group of people in the bureaucracy. In order to maintain their monopoly, they don't want others to know its intricacies. Knowing the process of making the budget documents breaks this monopoly. NGOs must know the process. The more one knows about the finance of the state, the more one becomes confident and powerful.

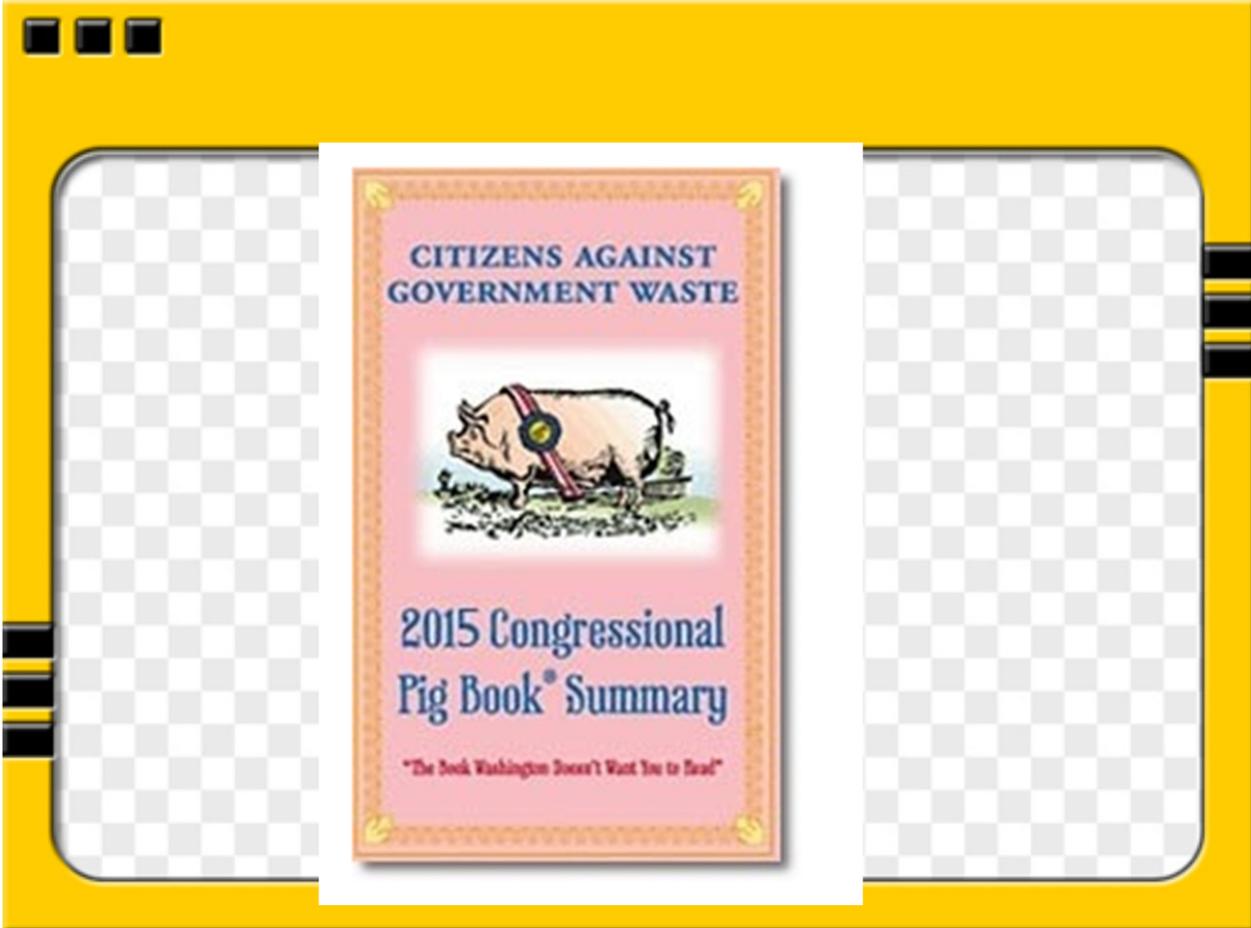


- Before the budget analysis, we looked to the elected representatives to raise our issues for us. Many times, they tried to evade us, making us feel ignored and unwanted by the people in power. Now, however, we were suddenly “most wanted,” especially during the budget session. We felt that we were shaping the discussion on the budget in the assembly, if not the budget itself.
- Since we are a people’s organization, criticism leveled against the government on the budget can affect our chances of getting the work done by the ruling party MLAs or bureaucrats. If we praise the government for good action, our credibility may be affected in the eyes of the public. For this reason, we always had to keep the members of our organization in mind while writing budget notes for the elected representatives.
- Using factual information to discuss the issues of tribal development sharpened our arguments. The budget analysis also widened our vision and gave us ways to pick up certain issues and focus on them.

Action

BIP analyzes the allocation and use of public resources to understand the impact of the budget on Kenyans and in the attainment of stated policy goals. In addition, BIP:

- Presents an analysis of the budgetary process and budget proposals
- Monitors the national budget and budgetary processes
- Organizes and publicizes public meetings and fora through which different groups can make presentations on the budget
- Enhances the advocacy and policy-making efforts of civil society
- Invigorates Parliament and enhances its capacity in budget management
- Enhances the capacity of the media in budget analysis and presentation.



For Fiscal Democracy

► Participation, Transparency, Accountability

- Fiscal discipline

Innovative mindset Virtuous Cycle New institution

The slide features a yellow background with a white checkered pattern. At the top, the text "For Fiscal Democracy" is underlined. Below it, a bullet point lists "Participation, Transparency, Accountability" and "Fiscal discipline". At the bottom, three green circles are arranged horizontally, containing the text "Innovative mindset", "Virtuous Cycle", and "New institution".

The **democracy** of a city depends on the budgetary process.

The budgetary process tells us the degree of **democratization**

RE-INVENTING DEMOCRACY THROUGH
PARTICIPATORY
BUDGETING

Government Budget Monitoring in Korea

Chang Soo Jeong

Visiting Professor of
Humanitas College, Kyung Hee University
President of National Finance Institute

Grand Change (桑田碧海)

- ▶ The "Grand Change" (桑田碧海, *Sang-Jeon-Byuk-Hae*): "A mulberry farm has become a big blue sea." It means that the world experienced and is experiencing big change in spite of itself.



Myanmar:
Changing and
Developing
Rapidly

Miracle on the Han River

- ▶ Development Built on Ruins
- ▶ From a period of Developmental Dictatorship with a Military Government to a time of Self-Governance by the People

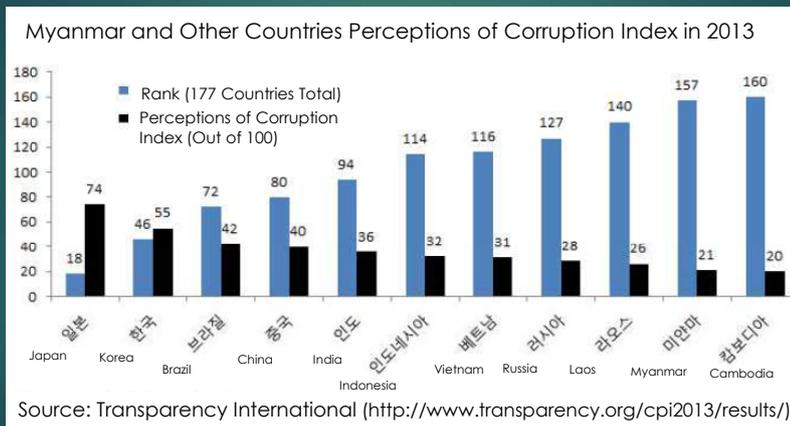


The development of democracy and a market economy; Myanmar is grabbing two rabbits at once.

The Curtain Comes Down on Authoritarianism and the Time of Democracy and a Market Economy Begins

- ▶ Eruption of Demands for Reform in the Irrational and Inefficient Public Sector
- ▶ Eruption of Social Demands from Various Groups that Were Previously Oppressed
- ▶ Polarization and Tensions between a Small Class that Accumulates Wealth Quickly and the Ordinary People Who Are Low Wage Labors

People's Dissatisfaction with Public Sector Corruption; Systemization Should Take Place Through People's Activities



Myanmar's Current Financial Situation



- A Report (Aug. 2011) by Ministry of Foreign Affairs, ROK

- ▶ Even though Myanmar's tax revenues continue to rise, because of expanding financial expenditures in 2010 and large scale infrastructure construction, **its is expected that government expenses will continue to be covered by loans from the central bank.**
- ▶ The statistical financial deficit of the Myanmar government is about 4% but an IMF report estimates the real level to be about 30%. The biggest factor for lacking financial resources is that **the government cannot effectively secure sources of taxation.** Also, individual workers should be paying income taxes but many are evading this responsibility.
- ▶ One the one hand, the Myanmar government, **in order to shrink the budget deficit, is reducing spending on health care and education, but, due to excessive defense spending and inefficient management of public enterprises, ineffective budget management is likely to continue.**

1. Why Monitor Government Budgets?

The Meaning and Conception of
Budgets and Finance

What is Finance?

“Only someone who reads and understands the budget can run a government.”

- *Joseph Alois Schumpeter*

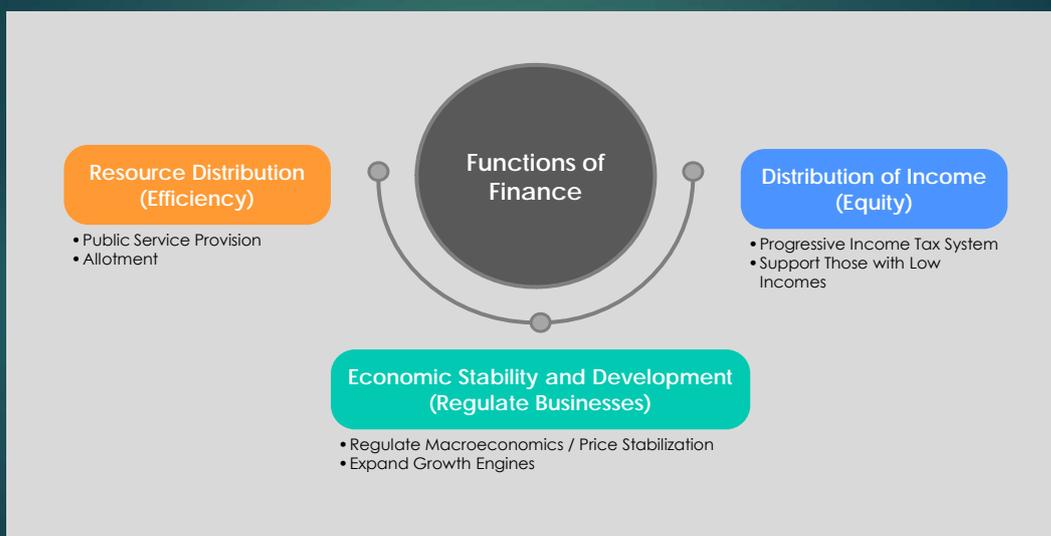
“The function of government is mainly for deciding on a financial structure, and the budget, after all ideology is stripped away, is real framework of the country.”

- *R. Goldschid*

Budgets and Democracy

- ▶ Participation, Transparency, Convenience, Processability (Obama Publicized the Source of the Budget)
- ▶ Need for a Mixture of Long-term and Short-term Visions
- ▶ The reasons why many financial experts are needed in local communities and civil society:
 - In order to establish various interests related to finance
 - Crisis of Representative Democracies: Changing the bureaucracy's short-term financial policies
 - Need for team work when working with a large and complicated budget

Three Main Functions of Finance



2. Monitoring the Korean Government Budget

The Early and Development Periods

1998: The Beginning of Monitoring the Korean Government Budget

- ▶ As Korea entered the 1990s, the authoritarian development period under military control was ending and power was peacefully transferred to civilian control. Democracy was maturing, but the government budget was still hidden from the people and only seen by government workers.
- As localities began electing officials by popular vote in 1995, we can now find populist budget executions and showy projects even at the local government level, whose political aim was re-election. Those situations were considered as serious budget wastes, which could result in corruption and absurdity. Therefore, people's dissatisfaction became bigger and bigger.

1998: The Beginning of Monitoring the Korean Government Budget

- ▶ The civil society organization Citizens Coalition for Economic Justice established a committee for budget monitoring at its research institute
 - All citizens share the common point of being taxpayers, and therefore it was determined it would be a movement all citizens would want to participate in.
 - When the budget monitoring movement began, everybody was surprised by the extremely active response. The people's anger and dissatisfaction over budgetary waste was greater than imagined.

Powerful Impact of Budget Monitoring Activities: "Tax Day" to "Taxpayers' Day"

- ▶ The 3rd of March was "Tax Day" in Korea to celebrate the foundation of the National Tax Service. With initiation of Government Tax Monitoring Committee in 1998, it asserted that "Tax Day" should be changed into "Taxpayers' Day," with **restoration of taxpayers' right.**

- As of 2000, the National Tax Service officially changed the title of the day to "Taxpayers' Day."



CCEJ's Budget Monitoring Committee: Education Program

- ▶ **Nation-wide Workshop for Government Budget Monitoring**
 - Participants from 11 local organizations shared the activity plans, and finally 5 core budget monitoring committees at the local level have been established.
- ▶ **Budget School**
 - Education Program on Government Budget Monitoring: Civil society activists and local assembly members attend.



(* CCEJ: Citizens' Coalition for Economic Justice)

CCEJ's Budget Monitoring Committee: Education Program

- ▶ **Publication of the "Government Budget Monitoring" Manual**
 - Designed so that anyone who has interest can participate in the government budget monitoring activities without difficulty
 - The manual books were distributed nation-wide.
 - Contents include:
Approaches to Budget Information,
what should be monitored mainly, etc.



CCEJ's Budget Monitoring Committee: Budget Monitoring Report Center

▶ Call Center and Bulletin Board System for Accepting Reports

- A reporter who reported a serious budget waste was awarded with USD 1,000 by raising the "Clean Fund."
- Consequently, 117 cases of budget waste were reported for 7 months.



CCEJ's Budget Monitoring Committee: Public Opinion Survey

▶ Survey on how citizens perceive government budgeting

- Over 85% of Koreans view the government's budget planning and execution negatively.
- Koreans thought that central government's budget waste was more serious than the local governments. They argued that citizens should take the initiative to monitor government budgeting, as they could not trust the national assembly, the local assembly, and the Audit Board and Inspection of Korea.

2000s, Beginning of a Budget Monitoring Network; Government Budget Monitoring Activities Take Root and Proliferate

- ▶ A group called People's Solidarity for Participatory Democracy expanded and reorganized the headquarters for the taxpayer movement and the budget monitoring movement began in earnest.
- ▶ August 2000: Citizens Action Network Group started awarding the "Bottomless Pit Prize." The first "Bottomless Pit Prize" winner was Hanam City and Korea's first taxpayer suit was filed against the city in October 2000.



- ▶ 67 groups from the Budget Monitoring Network and the People's Solidarity for Participatory Democracy signed a petition calling for the establishment of a taxpayer code and submitted it to the National Assembly.

2001: Seoul Budget Monitoring Network Organized; Government Budget Monitoring Activities Take Root and Proliferate

- ▶ Seoul is Korea's capital, but it was also the birthplace of the budget monitoring movement in Korea. At this time genuine organization of budget monitoring activities took place.
- ▶ As a result of the Citizens Action Network Group's "Bottomless Pit" Prize, the "Millennium Gate" project was repealed and the holding of the "Hanam Environmental Exposition" was blocked.
- ▶ 2002: People's Solidarity for Participatory Democracy's "Publicize Official Expenditures Movement," Citizens Action Network Group's "Bottomless Pit Prize," Citizens' Coalition for Economic Justice's "Analysis of Public Program Expenditures," Taxpayer Alliance's "Publicize Candidate's Tax Records Movement," were all apart of the pool of budget monitoring activities and signified that the movement had taken root.

1998~2002: Evaluating of the Korean Government Budget Monitoring Activities during the Initial Period and after Having Taken Root

- ▶ **Implantation of Recognition for Taxpayer Rights and Boosted Recognition of Participation**
 - Confirm Citizens Latent Dissatisfaction and Anger and then Organize
 - Provide opportunities to participate and act to those with a sense of the sovereignty of taxpayers
- ▶ **Boost Financial Transparency and Improve the System**
 - During this period, after organizing the people's power, a system for filing for the disclosure of information was implemented, and clauses asserting the responsibility of publicizing financial information were added to various budget related laws. A "Result-oriented Budget System" took root and local (Seoul) centers for reporting budgetary waste were established. Finally, a system of participatory budgeting took root in which citizens could participate firsthand in the budget process.

3. Representative Examples of Budget Monitoring and Participation

- 'The Bottomless Pit Prize'
- Participatory Budgeting

Greatest Success of the Citizens Action Network Group's "Bottomless Pit Prize"

Awardees of "Bottomless Pit Prize," Aug. 2000 to Sep. 2006

회차	수상사	대상사업	문제점
1회	하남시	하남국제환경박람회	부실행사로 발생한 막대한 적자를 예산으로 모전
2회	금융감독위원회	제일은행 공적자금	부실경영 책임규명 없이 막대한 공적자금 지원
3회	익산시	익산모식박물관	비합리적 사업추진으로 허울뿐인 시설 건립
4회	(재)천년의 운	천년의 운	사업타당성 부족한 거대 조형물 건설
5회	금융감독위원회	6개은행 공적자금	부실경영으로 완전감지되어 공적자금 재투입 초래
6회	청원군	초청약수스파텔	무리한 민자유치로 사업 실패하고 시장은 뇌물수수
7회	건설교통부	시화호	환경파괴 사업 강행하고 부실계획으로 예산 계속 추가
8회	(재)부산관광개발	유람선 테즈라호	비현실적 기획사업 강행하여 무용지물화
9회	행정자치부	전국토우공회심기사업	효율성 매우 떨어지는 비합리적 사업강행
10회	농림부	새만금개발	부실계획과 환경파괴
11회	건설교통부	전주신공항건설사업	정치적 목적으로 타당성 과장하여 사업 강행
12회	속초시	청초호유원지사업	비현실적 사업 강행으로 사업실패
13회	부산아시아안경구조적위	잘못된 계약체결	현저히 불평등한 계약 수용 등으로 막대한 손실 초래
14회	국회	전자투표장치	장치만 설치해놓고 뚜렷한 이유 없이 거의 쓰지 않음
15회	한국과학재단	전문경력인사지원제도	별다른 역할 없는 퇴직공직자 자리 만들어주기

Greatest Success of the Citizens Action Network Group's "Bottomless Pit Prize"

16회	근로복지공단	직우유기로 가산세납부	업무태만으로 납부기한 넘겨 거액 가산금 추가부담
17회	환경부/지방자치단체	음식물쓰레기 감량기기	실제 활용 어려운 기기 납품받아 받침
18회	산업자원부	산업기술재단 지원금	부실운영 민간재단에 건물매입비 등 특혜지원
19회	14개지방자치단체	미스코리아대회 지원	성차별 조장 비판 무릅쓰고 민간행사예 예산지원
20회	한국전력	원격제어에어컨지원사업	효과 전무한 사업에 정기간 예산지원
21회	교육부	교육행정시스템	개인정보 침해 비판 무릅쓰고 졸속 추진
22회	산업은행	기업구조조정기금	목적의 사용 등으로 막대한 기금 탕진
23회	고양시	노래하는분수대	효율성 없는 사업에 과다한 예산 투입 계획
24회	건교부	경인문화	타당성 왜곡하여 대형 건설사업 강행
25회	서울시	성산배수지건설공사	수요예측 과장하여 환경파괴 우려사업 강행
26회	충청남도	(주)중부농축산	부실한 계획수립과 경영으로 단기간내 사실상 파산
27회	39개지방자치단체	새마을회관건립지원	특정 민간단체 자체회관 건립비에 예산지원
28회	3개 정당	정당국고보조금	국고보조금의 부실한 정산 및 목적의 사용 등
29회	원주시	원일프라자	사업 졸속추진과 재관 폐소로 막대한 손실
30회	재정경제부	국유지관리 부실	일본인명의 토지까지 방치되어 있는 영터리 관리실태
31회	서울시	탐천하수슬러지처리장	부실추진으로 가동 못한 채 정기간 시설 받침
32회	광명시	광명음식물쓰레기처리장	부실추진으로 가동 못한 상태에서 거짓준공
33회	공공기관 전반	공공기관 허위출장	국책연구기관 내부고발 허위출장 비리 만연 고발

Greatest Success of the Citizens Action Network Group's "Bottomless Pit Prize"

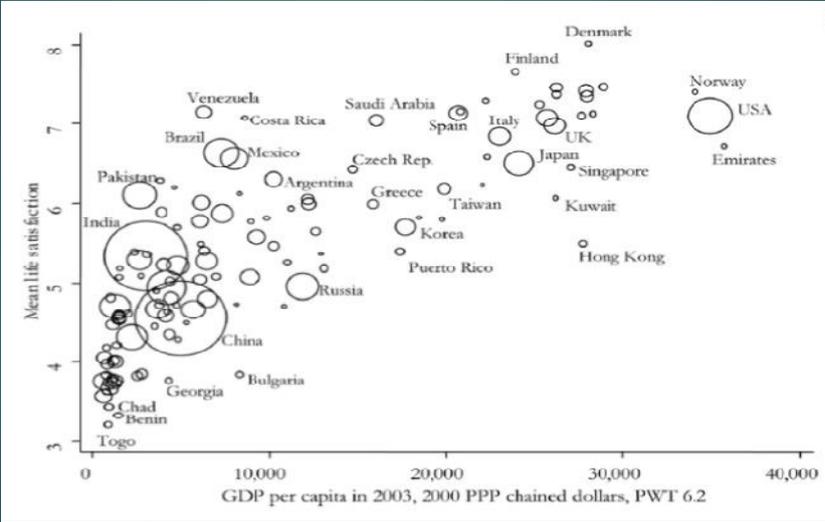
- ▶ Conducted 36 times on a monthly basis through 2004; prevented waste of 16 times and reduced the budget by 1.4 trillion won.
- ▶ During the process, the means of budgeting, the role of the media and the NGOs, and a new form of campaigning methodology were developed.
- ▶ Furthermore, a "budget specialist" (a new profession) is being developed.



Introduction to Participatory Budgeting



Happiness and income are not directly proportional



Why?

Low Participation and Corruption: The Bain of Unhealthy Communities

- ▶ Of all of the factors affecting happiness, income makes up about 8%
- ▶ If the basic level of standard of living is fulfilled, then the important factors for happiness are a healthy community, relationships, and individual values

* A healthy community: has limited corruption; has social welfare/ stable employment; guarantees individual freedom and safety; has a sound structure of government and business

Democracy Raises Quality of Life

Country	Level of Democracy Ranking (2005)	Quality of Life Ranking (2005)
Sweden	1	5
Iceland	2	7
Netherlands	3	16
Norway	4	3
Denmark	5	9
Finland	6	12
Luxembourg	7	4
Australia	8	6
Canada	9	14
Switzerland	10	2
United States	17	13
Japan	20	17
Republic of Korea	31	30

Corruption Harms Quality of Life

Country	Level of Democracy Ranking (2005)	Quality of Life Ranking (2005)	CPI (by TI)
Sweden	1	5	1
Iceland	2	7	7
Netherlands	3	16	7
Norway	4	3	14
Denmark	5	9	1
Finland	6	12	5
Luxembourg	7	4	11
Australia	8	6	9
Canada	9	14	9
Switzerland	10	2	5
United States	17	13	18
Japan	20	17	18
Republic of Korea	31	30	40

The Ultimate Purpose of Participation

- ▶ Increasing the quality of life
- ▶ In order to increase the quality of life, the quality of policy must be improved
→ an enlightened self-governing body
- ▶ In order to improve the quality of policy, participation of citizens is necessary
ex) communal welfare, communal solutions to environmental issues

Participatory Budgeting's Operating Principles

- ▶ **There can be no participation without information**
 - Active publication of Information on the organization and execution of the budget is necessary
- ▶ **Establishment of a Substantial System for Participation**
 - Establish various participatory organizations, Provide opportunities for participation (Provide notices regarding chances to participate)
 - Publicize the meeting and meeting minutes, Use the Internet and small scale meetings to collect opinions
- ▶ **Explanation and Discussions, Modifications**
- ▶ **Education and Promotion**

Seoul City's Residential Participatory Budgeting System

- ▶ **The Most Exemplary Ordinance among Metropolitan Cities**
(Established by motions of the members)
- ▶ **Allocates a 5 trillion won budget**
- ▶ **Composition and Management of committees has improved compared with other local governments**



4. Conclusion

- Necessary Activities in Myanmar
- How to be an expert?

NOW, what is required for government budget monitoring in Myanmar?

- ▶ **Transparency**
 - Without access to information, even an experienced expert cannot do anything.
 - Request for the Disclosure of Information and Institutionalization of Government Budgeting
- ▶ **Legal Responsibility**
 - Even the legality of serious waste cannot be questioned without proving its illegality.
 - Performance of the Carrot-and –Stick method: Civil society can mobilize public sentiment to exert influence on the government's budgeting, for example, by awarding a “Bottomless Pit” Prize for the worst budgeting and a “Taxpayers’ Friend” Prize for the best budgeting.

NOW, what is required for government budget monitoring in Myanmar?

▶ Civic Participation

- Public surveys are necessary to estimate the correct amount of financial demands.
- Based on the survey results, we can ask for budget increases for an underfunded item.
- We should request that citizens participate in and monitor the government's budgeting process.

Strategies for Budget Analysis

- Sustainability, Selection & Concentration, Accuracy
 - Building Framework: Bread or Gun?
Bread or Shovel (excavator, pavement)?
 - Educating Rational Citizens
 - Politics of Civil Budgeting: Alternative budget plan is necessary.
- Collaborative efforts among the media, the parliament (central / local), residents' groups, and experts are necessary.
- Korea experienced a significant increase in corruption after the introduction of foreign aid in 1950s.
- Civil participatory democracy can protect the government from corruption.

12 Principles of Budget Analysis

1. Grasp the flow of money
2. Figure out who is the beneficiary of a policy (or budget)
3. Find out how the policy (or budget) has been made
4. Consider the social impact of budget analysis results
5. Enjoy the whole process of budget making as if it were a game
6. Make a story with the combinations of numbers
7. Develop budget information interpretation capability
8. Start with the mindset of, "I cannot trust anyone"
9. Be an activist and do not stay at your desk
10. Timely analysis is important
11. Be careful in using words and expressions which exactly match the analysis
12. Provide reliable information in the budget analysis

You can feel as much as you know!

- You can analyze as much as you know.
- There is nothing new under the sun.

As a proverb says, “The way to eat an elephant is one bite at a time”:

- ▶ You should be confident in your citizens rage against public corruption, waste, and ineffectiveness.
- ▶ You need to make a bowl to fill with citizens’ rage. Therefore you should have an initiative to build an organization or group which can monitor government budgeting.
- ▶ And then, you should make an endless effort to attract citizens’ interest and to encourage their active participation.

One solid fact is:

At the first step when you initiate the government budget monitoring, citizens will stand up for you.

I am confident.

- Your monitoring and participation will make the policy and the budget better.
- With your initiative, you can realize grand change and peace in Myanmar.

Thank You

Knowledge-Net for a Better World

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