DEMANDING GOOD GOVERNANCE

A Stocktaking of Social Accountability Initiatives by Civil Society in Anglophone Africa

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Contents

Acknowledgements

Abbreviations and Acronyms

BIP	Budget Information Programme (Kenya)
CBA	Centre for Budget Advocacy (Ghana)
CFNBI	Child Friendly National Budget Initiative (Zimbabwe)
CORANET	Community Radio Network (Ghana)
CSO	Civil Society Organizations
CSCQBE	Civil Society Coalition for Quality Basic Education (Malawi)
CSPR	Civil Society for Poverty Reduction (Zambia)
CTT	Centre for Total Transformation (Zimbabwe)
DACF	District Assemblies Common Fund (Ghana)
DHMC	District HIPC Monitoring Committee (Ghana)
GBI	Gender Budgeting Initiative (Tanzania)
HIPC	Heavily Indebted Poor Countries
IEA	Institute of Economic Affairs (Kenya)
IPPR	Institute for Public Policy Research (Namibia
MEJN	Malawi Economic Justice Network
MDG	Millennium Development Goal
MMDAs	Metropolitan, Municipal, and District Assemblies
MDP-ESA	Municipal Development Partnership for Eastern and Southern Africa
NANGO	National Association of Non Governmental Organizations (Zimbabwe)
PRS	Poverty Reduction Strategy
PRSP	Poverty Reduction Strategy Paper
PSAM	Public Service Accountability Monitor (South Africa)
SEND	Social Enterprise Development (Ghana)
SODNET	Social Development Network (Kenya)
SDSS	Service Delivery Satisfaction Survey
SNV Uganda	Netherlands Development Organization, Uganda
SUNY	State University of New York
TEN/MET	Tanzania Education Network
ZIMCODD	Zimbabwe Coalition on Debt and Development

Executive Summary

In Africa discussions have intensified recently over the role of civil society in bringing about greater government accountability to its citizens, particularly with regard to the flow of public resources. Through the lessons of civic engagement, participation, and civic ownership, citizen groups in Africa are now beginning to hold a growing number of public officials and service providers accountable for their actions and behaviours. Such social accountability is working to bring about more efficient and equitable governance by reducing corruption and improving delivery of public services to the poor.

This report synthesizes a stocktaking of civil society-initiated social accountability practices in the public budgetary process in 10 Anglophone African countries—Ethiopia, Ghana, Kenya, Malawi, Namibia, South Africa, Tanzania, Uganda, Zambia and Zimbabwe. Three clear mechanisms for social accountability in the cycle of public expenditure are included as initiatives in the study: independent budget analysis and advocacy (IBA); participatory public expenditure tracking (PPET); and participatory performance monitoring (PPM). Independent Budget Analysis (IBA) refers to the research, advocacy and dissemination of information on issues related to official budgets by civil society and other actors independent of the government. Participatory public expenditure tracking (PPET) involves the use of civil society to track how the public sector spends the money that was allocated to it. Participatory Performance Monitoring (PPM) consists of citizen and community scorecards that solicit user feedback on the performance of public services. Citizen Report Cards (CRCs) are used in situations where demand side data, such as user perceptions on quality and satisfaction with public services, is absent.

The paper also presents a conceptual framework for the role of social accountability in good governance and contrasts horizontal accountability and vertical accountability. Horizontal accountability entails setting up public policies and government procedures, whereas vertical accountability involves public mechanisms for enforcing accountability, both before and during the exercise of public authority, and includes citizen groups and a vibrant independent media. This vertical alignment leads to a broader understanding of good governance, requiring continual give and take between the state and society. Such social accountability has direct relevance to aligning public expenditures with pro-poor policies in country Poverty Reduction Strategy Papers (PRSPs) and ensuring that resources are disbursed for effective delivery of services to the poor.

Social accountability approaches have yielded positive results. Aware that their actions are being monitored by citizen groups, public officials know that they may be held accountable for budget discrepancies or failure to deliver adequate services. New budget monitoring skills have led, in some cases, to budgetary adjustments and funding shifts to support higher citizen priorities. In the case of the Public Service Accountability Monitor (PSAM) and the Institute of Democracy, both from South Africa, monitoring has led to improvements in public financial reporting and reduced the need for audit disclaimers by government officials. The credibility and influence of civil society, as the force driving these improvements, have grown as a consequence.

Nevertheless, significant challenges remain. The effectiveness of many initiatives is impaired by civil society's lack of technical expertise in financial management and budget analysis. In addition, the lack of consistency in how different departments of the same government record financial data has frustrated efforts to assess effectiveness accurately. Several initiatives included in the stocktaking cited gaps in countries' judicial systems for enforcing punishment if violations in public expenditures are found. The perception by many African governments that civil society organizations are sympathizers of opposition political parties has in some cases bred mistrust and lack of cooperation on the part of the government. Indeed, many officials have shown political rather than professional resistance to accepting the social accountability approaches advanced in this stocktaking.

A recent report published by the World Bank's Africa Region, "Building Effective States, Forging Engaged Societies" (September 2005), acknowledges that "Effective states require engaged societies that demand change and hold governments accountable." The report calls for creating space for social actors, and strengthening their capacity to demand positive change and to push for effective execution of state functions, particularly in contexts where authority has been devolved to local levels. This stocktaking of social accountability initiatives proves that demand is high in Anglophone Africa for this kind of social engagement for effective governance.

1. Introduction*

After some success in countries such as Brazil, India, and South Africa, social accountability approaches to effective public service delivery and poverty reduction are beginning to be recognized by citizens and governments as a valid means for improving the efficient delivery of services, ensuring transparency in governance, and bringing about long-term economic development. Genuine involvement of civil society in budget formulation and analysis, expenditure monitoring and tracking, and participatory performance monitoring of public service delivery has played a key role in moving the social accountability agenda forward. Governments are now being held to greater account, service delivery has begun to improve in some instances, and broad social policies are being prioritized, all of which has naturally led to improved governance and sustained local development.

Cavill and Sahail (2004, p.157) define accountability as "when agent A is accountable to agent B then agent A is obliged to inform agent B about agent A's actions and decisions, to justify them, and to suffer punishment in the case of eventual misconduct." With respect to service provision, this implies that public officials and service providers must be answerable to citizens for their actions and behavior. In other words, public officials and service providers can be said to be accountable to the citizenry when they conduct their work in an open, transparent, and responsive manner (Rasheed and Olowo 1994).

While many African countries have involved citizens in improving public service delivery and fighting corruption through the use of social accountability mechanisms, these experiences have not been recorded in any systematic way. As a result, in 2004 the World Bank Institute's Community Empowerment and Social Inclusion Learning Program, the World Bank's Social Development Department, and the Municipal Development Partnership for Eastern and Southern Africa jointly undertook a stocktaking exercise of social accountability mechanisms in Africa. The stocktaking focused on three different stages in the public management cycle as outlined in the figure: independent budget analysis, participatory public expenditure tracking, and participatory performance monitoring. Stocktaking in the fourth area of budget management—participatory budgeting—has already been completed using similar methodology.

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*The contents of this paper are derived from discussions at meetings held in Accra and Kampala and material contained in 28 templates on social accountability initiatives from the African region submitted to the World Bank by the Municipal Development Partnership for Eastern and Southern Africa, which was responsible for coordinating the African stocktaking exercise.

Figure 1: Points of Citizen Involvement: Public Expenditure Cycle
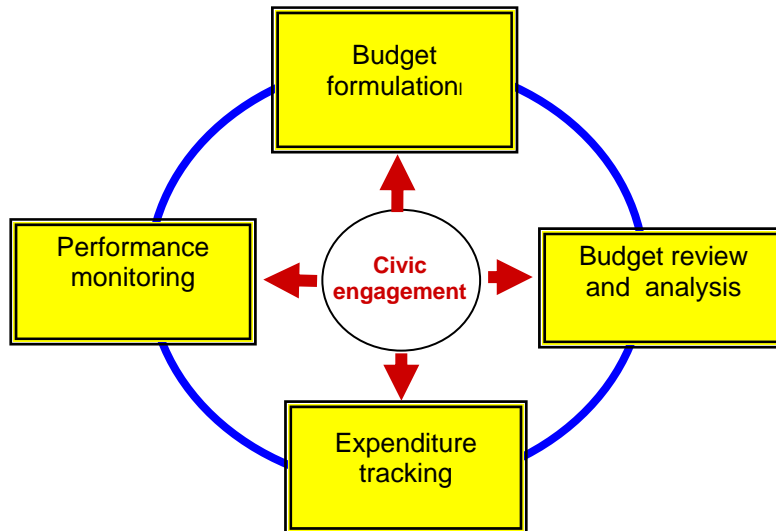
Independent budget analysis refers to research, advocacy, and dissemination of information on issues related to official budgets by civil society and other actors independent of the government. The goals are to (a) analyze the implications of government budgets for different stakeholder groups, particularly the poor and underprivileged; (b) raise the overall level of budget literacy among the general public; and (c) inform legislatures and policy makers so that they can engage in more informed and efficient debate on budget policy. Through this, independent budget analysis demystifies what is usually a highly technical and inaccessible financial document and brings debate and issues related to the formulation and implementation of budgets to a wider audience.[1]

Participatory public expenditure tracking involves the use of civil society to track how the public sector spends the money that was allocated to it. This is usually done by tracking inputs rather than by tracking actual expenditures, because in most developing countries, the most readily available data are inventory records. Traditionally, reviewing public sector expenditures is a technical exercise that is undertaken either via formal surveys or informal social audits. What makes participatory public expenditure tracking different and powerful is continuous public involvement in the exercise: actual users or beneficiaries of services, such as parents of children attending school, collect data on inputs and expenditures rather than some technical agency, bureaucrat, or external consultant. In addition, the results of the exercise are immediately disseminated to the public either via the media or through publications in local languages. This continuous transfer of information into the public domain either through an accompanying media

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[1] The term demystifies refers to disaggregating information by making it easily understandable, reliable, and equally accessible to people with no technical background.

campaign, public awareness drive, or information dissemination and mobilization by civil society organizations is an integral part of participatory budget and expenditure tracking, which differentiates it from more orthodox methods like public expenditure reviews.

Participatory performance monitoring consists of citizen and community scorecards that solicit user feedback on the performance of public services. Report cards are used in situations where demand-side data, such as users' perceptions of quality and satisfaction with public services, are unavailable. By systematically gathering and disseminating public feedback, citizen report cards serve as a surrogate for competition for state-owned monopolies that lack the incentive to be as responsive as private enterprises to their clients' needs. Such report cards are a useful medium through which citizens can credibly and collectively signal agencies about their performance and exert pressure for change. The community scorecard process is a community-based monitoring tool that is a hybrid of the techniques of social auditing and citizen report cards. Like the citizen report card, the community scorecard process is an instrument for exacting social and public accountability and responsiveness from service providers; however, by including meetings attended by service providers and community members, the process allows for immediate feedback and is also a strong instrument for empowerment.

The stocktaking exercise looking at these three broad areas resulted in the generation of 28 templates of various social accountability initiatives being undertaken by civil society actors from 10 African countries: Ethiopia, Ghana, Kenya, Malawi, Namibia, South Africa, Tanzania, Uganda, Zambia, and Zimbabwe. The template served as a starting point for identifying ongoing initiatives and for creating a network of practitioners in the sub region. Later, through workshops and activities described later, information from 15 of the templates was further developed into case studies.

This paper aims to synthesize the key findings of the stocktaking exercise with an emphasis on social accountability methodologies and tools currently in use. It includes major findings from the collective template presentations and summaries of two events in Africa in which the results of the stocktaking were presented. The first took place in Kampala, Uganda, in October 2004, and brought together practitioners from nine Anglophone Africa countries. The second was the All-African "Conference on Citizen Engagement for Enhanced Social Accountability," held in Accra, Ghana, in May 2005, at which more than 130 practitioners from 19 African countries met to discuss the concept of social accountability as defined in the African context, its role in improving good governance, and the various tools and mechanisms currently in use. Brief conclusions from that conference are also included here. (The proceedings of the conference are available at http://www.worldbank.org/wbi/communityempowerment.)

2. Methodology for Stocktaking

The stocktaking exercise began with the creation of an inventory of all civil society organizations in Anglophone Africa undertaking social accountability initiatives in independent budget analysis, participatory public expenditure tracking, and participatory performance monitoring. This was done mainly through an Internet search. In total, the exercise identified more than 30 civil society organizations, with approximately 10 falling into each of the three social accountability categories. A template designed by World Bank staff that was being used to carry out a similar stocktaking in the Asia and Pacific region was then sent to each of the organizations identified. Additional information was downloaded from the Web sites of the selected organizations. Twenty-eight templates were completed and returned to the Municipal Development Partnership for Eastern and Southern Africa, which was coordinating the exercise for the Anglophone region. Where the submitted templates had information gaps, telephone interviews and e-mail exchanges were conducted with representatives of the relevant civil society organizations.

The results of the stocktaking were then discussed at a practitioners' workshop in Kampala, Uganda, during October 23–24, 2004. During the workshop, participants reviewed each of the templates to identify cross-cutting issues, determine which initiatives were more successful than others, ascertain what defined success in each instance, and decide how to proceed and to scale up best practice initiatives. A network of practitioners was also forged, which has continued to share information on social accountability initiatives in the subregion and whose members have participated in subsequent learning events. The group also decided upon criteria for selecting from templates to flesh out as more in-depth case studies.

The templates indicate that, in general, civil society organizations in Anglophone Africa are currently involved in carrying out a variety of social accountability initiatives, in some cases in conjunction with the government. The objective of these initiatives is to provide ordinary citizens, in particular the poor, the vulnerable, and the members of other disadvantaged groups, with space for effective engagement with other stakeholders and with their respective governments so that they can understand and give popular shape to budget formulation, budget allocation, budget tracking, and other policy issues. These initiatives are also designed to ensure that information is made available to the public and contributes to government decisions that will modify, complement, or redesign pro-poor policies over time; increase ordinary citizens' trust in government; and bring about political and economic reform processes necessary to ensure the legitimacy of national and local governance systems.

Participants also pointed out the challenges practitioners in the region face and discussed what support could be provided to further consolidate social accountability initiatives, as well as to institutionalize such processes more effectively in both policy dialogue and implementation. A key factor was the lack of sustainability of the various initiatives given their dependency on donor financing, the need for more networking and coalition building at the regional level, and the lack of capacity both within civil society and governments to implement such demand-side initiatives. The role of knowledge

management and information sharing was considered to be key, and the lack of clear legislative frameworks to support social accountability initiatives, as well as government "buy-in," were also noted.

At a larger, Africa-wide conference in Accra, Ghana, during May 3–5, 2005, the Kampala network was broadened to include practitioners from francophone Africa. More than 135 participants from 19 African countries attended the conference and presented more than 30 case studies. The conference was launched by a "talk show" during which leading government and civil society representatives defined the concept of accountability in the African context. Associated skills-building clinics in each of the three main methodologies cited above were also conducted.

A major finding of the conference was that African people have political, social, cultural, and economic rights to demand social accountability from public officials and those rights have antecedents in traditional cultural values and beliefs. The conference also found that social accountability initiatives in Africa were no longer at the incipient stage, but that a critical mass of practitioners existed who needed networking and support to keep the momentum achieved to date alive. A key gap identified was the inability of judicial systems in most African countries to play a more punitive role in enforcing accountability mechanisms. Participants also cited the need to build stronger capacity for implementing such approaches both within civil society and government.

3. Conceptual Framework

As defined here, "accountability" takes two forms: horizontal accountability and vertical accountability. Horizontal accountability refers to the capacity of state institutions to check on abuses by other public agencies and branches of government, whereas vertical accountability refers to the means whereby ordinary citizens, mass media, and civil society actors seek to enforce standards of good behavior and performance by public officials and service providers.[2]

Horizontal accountability mechanisms include public service rules and regulations, disciplinary procedures and policies, and management audits and inspectorates. These mechanisms are usually intended to ensure that the government uses financial resources and property properly to attain its objectives as efficiently as possible. Vertical mechanisms for enforcing accountability include the legislature, the office of the auditor-general, the office of the ombudsman, and the judiciary, along with public accounts committees, civil service administrative tribunals, and other specialized independent commissions. Another set of vertical accountability mechanisms includes vibrant, but responsible, professional and independent print and electronic media, pressure and lobbying groups, political parties, and civil society organizations.

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[2] For more details on the distinction between horizontal and vertical accountability and on accountability mechanisms see Cavill and Sahail (2004); Malena, Foster, and Singh (2004); Rasheed and Olowo (1994).

According to Malena, Foster, and Singh (2004), yet another form of vertical accountability is when ordinary citizens and/or civil society organizations are at the forefront of moves to directly or indirectly bring pressure to bear on public officials and service providers to account for their performance, behavior, and actions. This can be done through citizen participation in public policy making, participatory budgeting, public expenditure tracking, citizen monitoring of public services, citizen advisory boards, and lobbying and advocacy campaigns. This form of vertical accountability's main purpose is to complement state-driven horizontal accountability mechanisms, which often fail to effectively enhance either the quantity or quality of public service delivery. Thus again according to Malena, Foster, and Singh (2004), such accountability is important, because it leads to improved governance, increased development effectiveness, and citizen empowerment.

This paper refers to the form of vertical accountability that involves active involvement of citizens, and it is bolstered by an exploration of citizens' role in improving service delivery. Improved service delivery relies on good governance, that is, the efficient use of resources to meet public needs. Yet it can also lead more broadly to improved governance by encouraging citizen responsibility and action in monitoring government actions. Governance, according to this definition, sees government as part of the citizenry, not as an external actor that citizens lift up about them and then try to control after the fact. Such a concept of government envisions a constant give and take between the state and society and the exercise of accountability both before and during the exercise of public authority (World Bank, 2005a, p. 7). It is, as often quoted, government "of the people, by the people and for the people" (Abraham Lincoln, Gettysburg Address, 1863).

If a cited aim of development—as defined in the Millennium Development Goals (MDGs)—is to improve the delivery of basic services to the poor across sectors, then good governance and responsible public management of resources are crucial. The broad intent of social accountability initiatives is, therefore, to encourage political leaders to respond to a broad array of civic pressures for performance that have been exerted not just by the elite, but by a range of constituents, including the poor and disenfranchised. Such a change process is difficult, particularly in the African context, and relies on finding entry points along the way. Chief among these is service delivery that has been decentralized to local government levels. In this regard, social accountability raises the following question: "To what extent can an initiative which aims to strengthen the accountability framework for service delivery serve as an entry point for changes in government and public management more broadly?" (Levy, draft, 2004).

4. Social Accountability in the African Context

Over the past decade, many African countries have experienced a shift from the once ubiquitous system of authoritarian, single-party rule to multiparty rule coupled with a relaxation in the formerly restrictive economic and political rules of the game. As a result, a new breed of civil society organizations and actors has emerged that is demanding increased involvement in policy and budgetary decision making at national and local

levels. Now at the forefront of pressuring public officials and service providers to discharge their duties and responsibilities in a more transparent, accountable, and responsive manner, these civil society actors are working with their respective governments to influence priorities for public spending and policy reform. In some cases, they insist on a continuing role in monitoring public expenditures. In other situations, these civil society actors are demanding improvements from their governments in response to poor public service delivery, mismanagement, and misuse of public funds.

Civil society organizations advocating on specific issues have mushroomed in Anglophone Africa in particular. A good example is the emergence of civil society networks in Malawi such as the Civil Society Coalition for Quality Basic Education, the Malawi Health Equity Network, and the Malawi Economic Justice Network's (MEJN's) own broader umbrella organization, all formed with one intent: to promote participatory governance and development in Malawi. Similarly, a coalition of civil society organizations has emerged in Zambia under the leadership of the Civil Society for Poverty Reduction Network. The main task of this coalition is to demand a more transparent, accountable, and responsive system of public service delivery in the country that benefits ordinary citizens. Hence the main function of these powerful civil society organizations is to hold governments accountable and to make sure that budgetary resources are being used in conformity with stated policy objectives for pro-poor expenditures.

In many African countries, efforts to increase social accountability have coalesced around four key developments now influencing the continent: (a) the decentralization and structural adjustment reforms implemented by a number of governments, (b) the antipoverty strategies that many African governments put in place during the 1990s, (c) a history of poor service delivery as highlighted by the MDGs, and (d) the need to fight corruption. As a result of the growth of strong civil society movements, citizen empowerment has led to the creation of civil society coalitions and networks that address these four areas.

Government Decentralization and Structural Adjustment Reforms

Countries in the Africa region have embraced decentralization, but differ in their degree of implementation. A World Bank (2003) study shows a moderate degree of decentralization for the 30 African countries covered by the study. On a scale of 0 to 4, with 0 indicating the least level of decentralization and 4 the highest level possible, only two countries—South Africa and Uganda—obtained scores between 3 and 4. Eleven countries fell in the moderate (2.0–2.9) category: Kenya, Ghana, Nigeria, Rwanda, Namibia, Senegal, Ethiopia, Zimbabwe, Tanzania, Côte d'Ivoire, and Madagascar. The 13 countries with the lowest level of decentralization (1.0–1.9) included Zambia, Guinea, Mali, Eritrea, Burkina Faso, Malawi, the Republic of Congo, Mozambique, Angola, Burundi, Benin, the Democratic Republic of Congo, and Cameroon. The final group of countries with nominal or no decentralization at all (0–0.9) consisted of the Central African Republic, Niger, Sierra Leone, and Chad.

Since the adoption of more decentralized forms of governance—and even in those countries where decentralization is considered advanced to moderate—there are few clear signs that public service delivery and local economic development have been enhanced. Consequently, social accountability in public policy can be viewed as a crucial missing component of successful government decentralization.

Moreover, according to a comparative study of decentralization in four countries (Crook and Manor 1998), decentralization can only yield good results in the presence of strong government ownership of the process; appropriate legal, administrative, and fiscal arrangements; actual empowerment of local residents by means of local elections; sufficient and reliable funding; and substantial freedom for communities to choose projects. Similarly, while the WDR 2000/2001 sees great promise in decentralization, it also states that decentralization is more likely to succeed if it is tailored to reach the poor and voiceless, if it receives adequate support as well as sufficient autonomy from the central government, and if institutionalized mechanisms requiring wide and regular citizen participation are put in place. In Africa, historically almost all accountability has been directed upward toward donors and central governments, not downward to citizen users of services. Upward accountability is further balkanized when limited local resources are sapped by different donor requirements that demand the creation of parallel systems of accountability. As a result, mechanisms of participation, even when they exist, have often failed to provide the necessary accountability, especially in a decentralized environment.

Social accountability initiatives have also been launched in response to the globalization of the world economy. The Gender Budgeting Initiative of the Tanzania Gender Network Programme is a good example of an intervention whose origins can be traced to the opening up of the Tanzanian economy and of the country's society. Economic policy reforms in the 1980s led to the erosion of gender equity gains achieved in the areas of education and health during the prior socialist era. At the same time, the liberalization policies opened new opportunities in the political sphere; in particular, through the current democratization process that demands, among other things, good governance, accountability, transparency, rule of law, and openness. Taking advantage of both the negative and positive changes, the Tanzania Gender Network Programme saw an opportunity to begin the Gender Budgeting Initiative intervention, whereby it campaigned simultaneously for democratization of the budgeting process and for greater gender sensitivity within that process.

Similar reactions to economic liberalization gave birth to the Engendering National Budget intervention by the Zimbabwe Women's Resource Centre and Network. Since September 2001, the Zimbabwe Women's Resource Centre and Network has been involved in studying, analyzing, and questioning the nation's socioeconomic policies and actions from a gender and HIV/AIDS perspective in order to bridge the gender gap. The main thrust has been calling for the adoption of gender-sensitive budgeting. The outcome has been the revelation of painful inequalities, inequities, and injustices in relation to resource allocation and distribution among women and men.

The creation of the Budget Information Programme at the Institute of Economic Affairs (IEA) in Kenya was also triggered by the new democratic space made available in that country in 1991. Until Kenya's return to pluralistic politics in December 1991, there was little space for alternative views on public policy. Years of authoritarian, single-party rule had silenced all but the most determined dissenting voices. With the establishment of the IEA, its founding members noted that public funds appropriated through parliament were being misused and wasted or embezzled because of weak institutions and weak laws pertaining to public financial management. This resulted in the launch of the IEA's Budget Information Programme. Activities undertaken under the Budget Information Programme were aimed at facilitating reforms in public financial management.

Antipoverty Strategies

Antipoverty strategies, instituted by donors in the 1990s and now popularly known as poverty reduction strategy papers (PRSPs), are intended to be country owned and participatory in nature, involving a broad section of civil society actors in their formulation, implementation, monitoring, and evaluation. Hence, the PRSP process can be a driving external force behind many social accountability initiatives in Africa. While external pressure has helped launch many initiatives, it also can lead to a lack of country ownership, or the institutionalization of such participatory approaches. A 2005 global review of PRSP implementation (World Bank and International Monetary Fund 2005) found that participation during the PRSP preparation process has led to greater use of participatory monitoring tools, such as public expenditure tracking surveys and citizen scorecards. What is still missing, however, is awareness of the PRSPs' impact on generating alternative policy options with respect to the macroeconomic framework and related structural reforms. While PRSPs have clearly helped to initiate more active participation in and discussion of government policies, more needs to be done.

The stocktaking revealed several promising initiatives in relation to antipoverty strategies. For example, in 2001 the government of Ghana initiated the process of qualifying for the Heavily Indebted Poor Countries (HIPC) Debt Relief Initiative, ostensibly to be able to guarantee substantial external financial commitments to the Ghana Poverty Reduction Strategy (PRS). As with other PRSs, the implementation approach for the Ghana PRS emphasized active participation by the poor in designing policies focused on poverty reduction followed by the delivery of appropriate interventions through a partnership framework, which in this case involves district assemblies and civil society organizations. The Ghana HIPC Watch was initiated in 2001 by the Social Enterprise Development (SEND) Foundation of West Africa in response to the civil society-government partnership advocated by the Ghana PRS. At the same time, the SEND Foundation played an active role in mobilizing other Ghanaian civil society organizations to take part in demanding transparent and equitable distribution of the HIPC fund, which was soon to follow.

Another example is Actionaid's initiative to monitor Tanzania's PRS. Like the SEND Foundation's Ghana HIPC Watch, it owes its origins to the HIPC Debt Relief Initiative. The relief went to basic education under the Primary Education Development

Plan, as performance in the sector was increasingly experiencing a downward spiral because of limited resources and poor governance, political commitment, transparency, and accountability. As with all other HIPC-related projects, civil society participation in monitoring implementation of the Primary Education Development Plan became mandatory. Actionaid seized this opportunity, and together with other civil society actors in the country has continued to participate in monitoring all parts of the program cycle, reinforcing commitment, accountability, and transparency on the part of the government as the main public service provider, policy maker, and planner.

In Malawi, in 2001 the Malawi Economic Justice Network also began coordinating civil society efforts to monitor implementation of protected pro-poor expenditures in line with government's commitments in the Malawi PRS. In Zambia, monitoring of the PRS by the Civil Society for Poverty Reduction program was triggered by the involvement of civil society organizations in the design and drafting of the PRSP, which revealed a need to participate in its implementation, monitoring, and evaluation together with other stakeholders and partners. As the PRS's objective was to reduce poverty levels, civil society organizations decided that monitoring poverty levels was key in establishing whether the PRS programs were yielding their intended results.

Public Service Delivery and the Millennium Development Goals

The poor or inadequate delivery of public services across many sectors in African countries has led to the creation of a number of social accountability initiatives undertaken to meet the MDGs. In an attempt to reach the MDG of universal primary education by 2015, the education sector in particular has generated widespread calls for public reforms throughout Africa. In Malawi, the Civil Society Coalition for Quality Basic Education (CSCQBE) was established to track expenditures and monitor programs in the country's education sector. The coalition was set up in response to challenges created by the Free Primary Education Act of 1994, which included how to address shortages of well-qualified teachers, teaching and learning materials, classrooms, and teacher housing; low teacher salaries; poor maintenance of education infrastructure; and lack of adequate community support for school governance. School absenteeism, high dropout rates, and poor quality education were directly attributed to these shortcomings. The CSCQBE's main objectives are to monitor and track public education expenditures to ensure that sufficient funds are available to lead to positive changes in access to quality basic education for all children in Malawi consistent with existing government policies. Such commitments coincide with promises made to achieve six Educations for All goals adopted at the 2002 World Education Forum in Dakar and to meet MDG targets.

Similarly, the Tanzania Education Network, which monitors the use of funds disbursed to the education sector, came into being as a result of the need to assess how funds allocated for school capacity development and teacher in-service education are allocated at the national level to districts and by districts to schools. Tanzania is currently implementing the ambitious and challenging Primary Education Development Plan, part of the country's broad Education Sector Development Programme aimed at fulfilling the Education for All declaration made in Dakar and meeting Tanzania's PRS commitment to

eradicate poverty. Because of this major education initiative, the Tanzania Education Network was created as an oversight body to promote increased allocation of funds to education, to improve the use and management of public funds for education, and to ensure that spending takes place as allocated.

The Performance Monitoring Initiative of the Public Service Accountability Monitor (PSAM), which covers the Eastern Cape Province of South Africa, was triggered by more or less similar causes that gave rise to the CSCQBE intervention in Malawi. The South African social accountability initiative resulted from concerns about failed public service delivery, poor financial management, and weak accountability of the provincial government's use of funds. South Africa's provinces administer around 60 percent of budgeted expenditures and are the primary site of service delivery, but indications on the ground are that service delivery is not satisfactory, and allegations have been made of leakages of public funds.

Corruption

Another goal of social accountability activities on the continent is drawing attention to the misuse of government funds. For example, long delays in payments from the District Assemblies Common Fund (DACF) to Ghana's metropolitan, municipal, and district assemblies (MMDAs) led to public complaints and reports of alleged misuse and financial mismanagement in the disbursement and use of the proceeds of the DACF by the MMDAs. The African Development Programme began tracking DACF disbursements by comparing the fund's budgetary allocations to actual amounts delivered to the MMDAs. The goal was to determine if allocated funds actually reached their intended beneficiaries and, if not, where blockages and leakages existed, thereby enabling policy makers to identify misuse where it existed and to take action to ensure that resources reach their intended service delivery points and beneficiaries.

Similarly, Zimbabwe's Centre for Total Transformation began tracking school fee expenditures in response to allegations of rampant corruption and embezzlement of funds by school principals. Parents and guardians complained that children were being returned home for nonpayment of school fees when their fees had already been paid. In other cases, students who had died or left school were still kept on enrollment lists and the Department of Social Welfare was still paying their school fees. Additional reports found that good teachers were resigning or, in some extreme cases, not being paid for months. Taken for granted by the school authorities, illiterate and previously voiceless rural people raised a loud public outcry about this gross mismanagement of school fees intended for the development of education and school facilities. The Centre for Total Transformation's intervention managed to reverse this state of affairs.

The fight against corruption has also focused on the role of civil society organizations in getting information to the public. In Ghana, the independent budget analysis conducted by the Centre for Budget Advocacy (CBA) was driven primarily by the desire to empower citizens by giving them key information about the national and local government budgeting process. Historically, the government has shown little interest in

allowing the general public to provide inputs into the budget process, leaving resource allocation in the hands of public officials whose interests may differ significantly from those of ordinary citizens. In addition, Ghanaians have viewed the national budget as a technical tool meant not for normal citizens, but for government technocrats and politicians. Thus demystifying technical budget jargon and disseminating this information in a simplified format have become two of the CBA's important strategies for empowering citizens.

Created as an organization that works for sustainable human development by empowering the poor, women, and other marginalized groups, the CBA views the monitoring of government resource generation and allocation as crucial to prevent abuse of public resources by those responsible for implementing the budget. What has driven the CBA's independent budget analysis intervention in Ghana and the West African subregion is the conviction that resources must be generated and allocated equitably and used efficiently so that maximum benefits are derived for all. Similarly in Malawi, the MEJN came into being to develop tools for economic and budget literacy. Through its budget literacy program, technical materials such as the national budget and the Malawi PRSP are simplified, thereby empowering local citizens by making the process more comprehensible.

5. Mechanisms and Applications

For the purposes of this stocktaking and to narrow its focus, initiatives in three broad areas were sought: (a) independent budget analysis and advocacy, (b) participatory budget and expenditure tracking, and (c) participatory performance monitoring. Efforts were also made to capture some of the more broadly based social accountability initiatives, such as the use of public forums, consultative feedback workshops and the media.

<u>Independent Budget Analysis and Advocacy</u>

Work in the area of independent budget analysis and advocacy arises from the recognition that the national budget is the government's most important economic policy instrument, and as such it can be a powerful tool in transforming the lives and meeting the basic needs of society's poorest citizens. The stocktaking indicates that a great deal has already been accomplished in several African countries that has resulted in greater participation, transparency, and accountability in relation to the budget. Various civil society organizations are involved in carrying out in-depth budget analysis and providing budget information to citizens. Specific work being undertaken in the region includes the following:

- providing commentary on and analysis of budgetary processes that focus mainly on analyzing budget statements and related macroeconomic and social policies;
- building capacity by enhancing budget literacy and providing training on budget-related issues;
- undertaking in-house, in-depth research into budgetary processes, including sector-specific analysis and its impact on specific population groups;

The trend is toward major efforts at developing robust social accountability tools and methodologies that are easy to apply and that citizens can readily understand. As such, prebudget and postbudget workshops are conducted by organizations leading such initiatives to familiarize citizens with the budget process and analyze the adequacy of sector allocations.

Regional Budget Analysis. The Africa Budget Project at the Budget Information Service Institute for Democracy in South Africa is the best-known example of independent budget analysis in the region. The project's key aim is to look at budget transparency, participation, and accountability from the point of view of ordinary citizens and the legislature to establish what information these groups would need to assess the link between policy priorities, spending, and services. The exercise involves identifying weaknesses in the budget process that impede transparency, accountability, and participation, while at the same time focusing on building civil society's capacity for research and analysis. The project has demonstrated that multicountry initiatives can bring about greater awareness of budgetary issues in selected countries, as well as improved civil society participation in the budget decision-making process.

National Budget Analysis. In Ghana, the CBA of the Integrated Social Development Centre works to facilitate the spread of budget activism in Ghana and across Africa and to empower people to engage in the budgetary process, primarily as a tool for achieving equity and fairness in society, especially for women, children, and the poor and underprivileged. Hence the CBA has mainly been engaged in analyzing the influence of the budget on poor and marginalized groups and in promoting transparency, accountability, and participation in the allocation and utilization of public resources.

Similarly, the Gender Budget Initiative run by the Tanzania Gender Network Programme is involved in carrying out a gender analysis of the budget aimed at demonstrating how women and men contribute to revenues and how they benefit from expenditures. This analysis is intended to facilitate the national budgeting process and is directed at meeting the needs of the majority of citizens, particularly women, who are normally invisible contributors and who benefit the least from the budget process because of structural gender inequalities.

During the inception of the IEA in Kenya, its founding members noted that public funds appropriated through parliament were misused and wasted, or embezzled because of weak institutions and laws pertaining to public financial management. This was the impetus behind the IEA's Budget Information Programme, whose goal was to facilitate reforms in public financial management. This work was further complemented by in-depth research and analysis of budgetary processes, economic outlooks, sector performance, and fiscal developments.

The MEJN's budget literacy program involves simplifying technical material such as the national budget and the Malawi PRS as part of a process of developing tools for

economic and budget literacy. The PRS is disseminated to citizens through such channels as members of the MEJN, members of parliament, government officials, and donors.

Sectoral Budget Analysis. In Zimbabwe, the Child Friendly National Budget Initiative was launched in 1999 by a consortium of nongovernmental organizations under the auspices of the National Association of Non Governmental Organizations (NANGO), which is the implementing partner and secretariat for the initiative. NANGO is convinced that the national budget is a key tool that can be used to deal effectively with the deteriorating situation of children in Zimbabwe. The budget analysis focuses on how resources are mobilized, allocated, and utilized in meeting children's basic needs.

Participatory Budget and Expenditure Tracking

As in other parts of the world, civil society actors in Africa have created and refined tools for undertaking budget and expenditure tracking. The main thrust is to track how public funds that are usually disbursed by the government or by donors are channeled to spending points and verifying how the funds are actually used. In other words, the tracking exercise is carried out to identify where blockages and leakages exist, which leads to action being taken when a discrepancy arises between disbursement and actual expenditures. The aim is to ensure that resources reach their intended service delivery points and beneficiaries.

The stocktaking exercise managed to identify two clear-cut cases of budget and expenditure tracking related to poverty-related priority areas that unraveled some discrepancies and shortfalls in disbursement and expenditure. Corruption was one of the possible explanations for these observed leakages and blockages that could not be ruled out. Highlights from the two cases follow.

Tracking the District Assemblies Common Fund. A coalition of Ghanaian civil society organizations that included the African Development Programme decided to come together to track the flow of money from the central government (via the DACF) to District Assemblies. The idea was to find out how the assemblies were using this money because of prolonged delays in its disbursement, complaints raised by the general public, and reports of alleged misuses and financial mismanagement.

The coalition used both descriptive and exploratory research methods to undertake the study. These included collecting information on the DACF's allocations and disbursements at the central, regional, and district levels; carrying out key informant interviews at these levels to gather primary information and cross-validate information provided by various agencies and contained in documents; observing physical evidence, including structures; and carrying out focus group discussions at the community level. The use of all these research methods resulted in the ready appraisal and documentation of various issues pertaining to the disbursement and use of the DACF in the selected districts.

The results of the exercise showed that the assemblies were largely adhering to explicit procedures for the use of the DACF, although several problems were apparent in

relation to administration of the fund. The exercise also found a backlog of allocations that had not yet been disbursed. In addition, the amounts allocated, disbursed, and actually received by the District Assemblies varied (King et al 2003, p. 6).

Tracking Poverty Reduction Expenditures under the PRS. The Civil Society for Poverty Reduction Program, which is undertaken by a network of civil society organizations working on various facets of poverty, helped formulate Zambia's PRS and is now involved in monitoring its implementation by tracking resources used under the PRS to fight poverty. Under this initiative, the tracking team of the Civil Society for Poverty Reduction Program monitored the receipt and use of funds such as those from the HIPC Initiative that may have been released for specific poverty reduction programs. The issues that the tracking exercise explored included (a) whether or not funds were disbursed, and if so, how much was allocated and disbursed (inputs); (b) what the money was used for, that is, checking the existence of any tangible products that could be credited to the use of the money (outputs); and (c) what impact these funds and related activities have had on the quality of people's lives (outcomes). In assessing whether the expenditures of the poverty reduction programs were adequate based on what should have been spent under the PRS in 2002 and 2003, the tracking team found a marked shortfall.

Participatory Performance Monitoring

Most civil society interventions that fall under the category of participatory performance monitoring involve citizens or civil society organizations monitoring and supervising the delivery of public services either by the government or by private individuals using monitoring and evaluation tools they devise themselves. This category of initiatives also includes citizens or civil society organizations tracking the progress of projects and subprojects that they have designed and implemented using their own or government funds. Tools popularly used to assess welfare impacts or gains under this kind of social accountability initiative include citizen report cards, community scorecards, and service delivery satisfaction surveys.

The stocktaking exercise revealed a number of interesting case studies of participatory performance monitoring from Ghana, Malawi, South Africa, Tanzania, and Zimbabwe that looked at the participatory monitoring of PRSs and pro-poor expenditures, the monitoring of expenditures in the education sector, and the monitoring of service delivery at both local and provincial government levels. The following subsections present several examples.

Ghana HIPC Watch. The SEND Foundation of West Africa set up the Ghana HIPC Watch to monitor the use of HIPC funds. The participatory monitoring and evaluation of HIPC funds is carried out in three stages. The first consists of SEND Foundation staff acquiring information from the Ministry of Finance by paying regular visits to the ministry to obtain updated lists of HIPC-funded projects. They then contact the individual ministries to which the funds have been channeled to ensure that the ministries have actually received the specified funds. The second stage of budget tracking entails transferring information acquired during the first stage to district assemblies during quarterly review meetings. At

this point, district assemblies either confirm or deny the receipt of funds that ministries have stated were allocated to them. Finally, the third stage is undertaken by district HIPC monitoring committees (DHMCs) and entails assessing actual projects and programs. The committees visit structures that have been built, interview project beneficiaries, and undertake all possible measures to ensure that projects and programs have been implemented as planned.

As a result of this exercise, the SEND Foundation has come up with the Ghana HIPC Watch participatory monitoring and evaluation manual, which sets out the overall monitoring framework and the steps to be followed. The manual also details indicators and specific questions for district assembly officials and outlines the reporting format.

Budget Monitoring Surveys. The desire to ascertain whether adequate resources were being channeled into the education sector led the CSCQBE in Malawi to launch budget monitoring surveys. At the same time, this initiative was intended to hold government accountable by determining whether the national budget was being implemented in line with existing policy guidelines, whether resources were reaching intended beneficiaries, and whether implementation was in compliance with the pro-poor expenditure policies articulated in the Malawi PRS. This exercise relied mainly on structured interviews and desk research. Questionnaires are developed in the areas of teacher training, teacher salaries, teacher and school inspections, and teaching and learning materials, which are priority poverty expenditures in the education sector. The CSCQBE member organizations administer questionnaires to a random sample of schools and teacher training colleges. Data from the completed questionnaires are analyzed and compared with government budget and education policy documents.

Community Scorecards. Both Hakikazi Catalyst and Action Aid Tanzania, both of which are involved in participatory monitoring of the PRS and of pro-poor expenditures in Tanzania, have used community scorecards to assess how the country's PRS is working in selected grassroots communities. The community scorecard measures both inputs and outputs as indicated in the strategy document and the extent to which local governments' plans and budgets translate these inputs and outputs in addressing poverty. Budget monitoring teams select sample districts to be monitored and familiarize the selected communities with the PRS. They then let the communities identify their priority areas for research and form monitoring committees. The community monitoring committees learn how to fill in community scorecards and submit them to budget tracking and monitoring teams for analysis. The community scorecard is considered by communities and civil society groups to be a dynamic and flexible tool that empowers community members by enabling them to have their voices heard. Monitoring and evaluation of the budget and of poverty indicators with a community scorecard enables the provision of feedback to the community and the government about the effectiveness and efficiency of projects implemented.

Zimbabwe's Centre for Total Transformation also uses community scorecards in its monitoring of school fee expenditures. In also uses baseline surveys to establish a yardstick against which to measure progress. These two tools are complemented by

focused target group discussions, structured interviews with school principals, and workshops on school budgeting and expenditures.

Service Delivery Tracking. The motivation behind the PSAM intervention in South Africa is to promote the effective management of public resources and the efficient delivery of public services by Eastern Cape government departments. Information on departments' budget allocations and strategic priorities is collected and entered into a database. Expenditures against these budget allocations are then tracked, and the implementation of strategic priorities and service delivery undertakings is closely monitored. The latter is complemented by on-site monitoring of selected public services, which involves inspecting selected public facilities to monitor service satisfaction and the quality of service delivery.

Broadly Based Participation in Social Accountability Mechanisms

In reviewing the instruments and opportunities for obtaining full participation by citizens in the foregoing interventions, the stocktaking found that in practice, they are fairly limited. Only the use of public forums, consultative or feedback workshops, and the media seemed to be important mechanisms for inclusion.

Using Public Forums. The CBA in Ghana uses inclusive public forums throughout the country to obtain citizens' views on the budget. In a similar manner, the IEA in Kenya also uses public forums in its prebudget and postbudget presentations for legislators and the general public. The latter forums are aimed at collecting budget proposals or to provide feedback following analysis of the national budget.

Hosting Consultative and Feedback Workshops. NANGO's approach in Zimbabwe is even more promising, not only in terms of inclusiveness, but also in terms of its ability to enhance citizens' ownership of the budget process. To effectively mobilize citizens to participate in its budget work, NANGO mobilizes communities and holds prebudget and postbudget consultative workshops aimed at empowering community groups and vulnerable groups such as youth and women. Communities, including young people, will then make budgetary recommendations on how the budgeting process should address specific problems, for example, communities may recommend the establishment of victim-friendly and/or child-friendly courts, child support grants, or educational assistance programs.

NANGO's intervention also involves stakeholders from different parts of Zimbabwe, both rural and urban, revealing the highly inclusive nature of the initiative. Its children's clubs and district workshops involve children from all walks of life, including children with disabilities. Members of parliament, chiefs, councilors, and governors participate in meetings and workshops.

Similarly, the Tanzania Education Network holds workshops for stakeholders in education at all levels (national, district, and community) to present the results of and to discuss the role of each group of actors included in the process. The MEJN, to enhance the

inclusiveness of its various interventions, often organizes feedbacks sessions that bring together users and providers of public services and gives them opportunities to interact and to develop a common approach toward demanding better services.

Using the Media. The MEJN's live radio phone-in programs offer citizens an opportunity to voice their opinions and provide inputs into the policy decision-making process with respect to national budgetary allocations and public service delivery and performance. Other media activities that support the implementation of interventions covered in the stocktaking include the use of electronic and print media, for example, newsletters, books and posters, press releases, Internet-based dissemination, and television and radio discussions and announcements. The production of brochures, fliers, and T-shirts carrying advocacy messages are other mechanisms that are often used.

6. Results

The ongoing social accountability interventions in Africa have resulted in a number of positive impacts. Among the most noticeable are increased citizen awareness and participation, growth in the influence of civil society organizations in resource allocation decisions, increased analytical and financial reporting capacity, and improved government practices.

Enhanced Citizen Awareness and Participation

Making the budgeting process more accessible to ordinary citizens has contributed to greater public participation in government budget cycles. The MEJN's presentation of budget information and documents in a manner that ordinary people can understand has resulted in a demand for more training on budget issues and on economic matters in general. In Ghana, according to the CBA representative, more people now know about the budget and take the time to study it.

The Institute for Democracy in South Africa's multicountry initiative has resulted in greater public understanding about fiscal transparency, participation, and accountability, leading to greater interest in budget reform issues in the nine African countries involved in the initiative. One of the most important impacts of the Gender Budget Initiative run by the Tanzania Gender Networking Programme has been the high demand from various stakeholders to learn how to conduct ongoing budget tracking that has resulted from increased awareness. As it concerns the Social Development Network in Kenya, its budget literacy and expenditure tracking activities have given the poor an opportunity to engage with other actors in shaping the process of social policy and planning, the allocation of resources, and the monitoring of public resource management. In the case of the SEND Foundation of West Africa, the outcome of increased community ownership has been the formation of DHMCs in all districts in northern Ghana.

Increased Civil Society Influence

Efforts by civil society to track budget expenditures have led to greater recognition by ordinary citizens of the positive contribution that civil society networks and strategic alliances can make in building good national and local governance. In Zambia, for example, as a result of the expenditure tracking exercise by the Catholic Centre for Justice, Development, and Peace, a more deliberate focus on poverty issues was made by government even before the introduction of PRSs by increasing allocations for welfare and providing free education by means of grants for schools. Subsequently, some government agencies even called for collaboration with civil society in tracking the use of the fertilizer subsidy. Thus public debate about expenditure choices has been greatly strengthened in Zambia. In Zimbabwe, where the State University of New York is conducting an institutional strengthening of parliament initiative, final budget allocations have taken stakeholders' views into account.

Intervention by the Ghana HIPC Watch has resulted in what is called the "plough back effect of engagement," and has led to policy shifts and budgetary adjustments for districts in the upper west region of Ghana. Similarly, the CSCQBE's monitoring of the education budget in Malawi has led to increased government allocations for priority education areas and challenged the government to account for public expenditures. In particular, when shared with local government authorities, findings from monitoring activities have been instrumental in influencing plans and budgets and making the planning process more inclusive, responsive, results oriented, and people centered.

The influence of civil society has, in turn, led to greater overall participation as citizen networks have evolved into effective strategic alliances influencing various levels of policy making. Ghana's SEND Foundation has built a broadly based coalition of civil society organizations and individual development practitioners in its Ghana HIPC Watch intervention. Through its Child Friendly National Budget Initiative, Zimbabwe's NANGO has forged alliances with the Child Budget Unit of the Institute for Democracy in South Africa and the Save the Children Alliance worldwide to influence Zimbabwe's Poverty Reduction Forum.

Upgraded Analytical and Financial Reporting Capacity

Budget monitoring has improved the research and analytical capacities of partner civil society organizations and, simultaneously, increased capacity in financial reporting. South Africa's PSAM and Institute for Democracy in South Africa have built cross-country budgeting skills among participating country team members by partnering with civil society organizations and academia on research work. These partnerships have contributed significantly to narrowing the gap between theory and practice in fiscal transparency. Performance monitoring by PSAM has also help improve financial reporting standards, resulting in a decrease in audit disclaimers issued by the auditor-general in the Eastern Cape. Significantly, the provincial government acknowledged weaknesses in existing financial management as a result of PSAM's findings, leading to strategic planning to correct the deficiencies.

Improved Government Practices

Community awareness of the role of citizens in enforcing responsible government resource allocation has created more space for the democratic development process, whereby people's individual voices and choices have greater influence on their lives. Such innovations as poverty monitoring committees continually promote dialogue between communities and lower levels of government to discourage, among other things, the abuse of public monies. For example, Zimbabwe's Centre for Total Transformation has helped reduce corruption within rural schools in the Mazowe district and led to improved delivery of education services. School authorities are now aware that community members are closely monitoring them and that they must be publicly accountable for actions that they take.

7. Challenges Ahead

Most of the civil society organizations undertaking social accountability work in Africa face a plethora of problems and challenges, including lack of skilled personnel, inadequate financial resources, lack of cooperation by governments and public officials, and difficulties in accessing relevant information.

Capacity Constraints

The lack of skilled personnel to undertake credible social accountability initiatives is a major problem. The CSCQBE in Malawi noted that it is failing to monitor the education budget efficiently and effectively because it lacks skilled individuals to undertake technical aspects of the exercise and to carry out advocacy activities. The same holds true for the Zimbabwe Women's Resource Centre and Network, which lacks skilled personnel for carrying out its gender budget analysis. In the case of the SEND Foundation, even though one of its main project components has been devoted to building the capacity of civil society, low capacity on the part of several actors has continued to impinge upon certain operational aspects of the project. It is also recognized that the civil society organizations identified in the stocktaking do not have skilled personnel in areas such as monitoring, report writing, or team building, skills that are required by the DHMCs.

Lack of Financial Resources and Equipment

Lack of adequate financial resources is a serious problem that threatens the sustainability of social accountability initiatives in the region. Activities such as budget monitoring are expensive undertakings. As a result, in the case of the CSCQBE in Malawi, for example, the program lacked the necessary resources to adequately monitor the fiscal 2001/2 and 2002/3 rounds of the budget monitoring exercise. Many other civil society organizations face similar constraints.

Lack of Cooperation and Mistrust by Government

Government officials often resist social accountability interventions, and therefore governments have cooperated little with the interventions identified by the stocktaking. The case of the CSCQBE in Malawi is an interesting example. In addition to capacity problems, the initiative faced a lack of cooperation by the government in the project, in particular, because of the sensitive nature of the project and its potential for exposing governance weaknesses, and in some cases, outright corruption. This lack of cooperation is compounded by a theme, acknowledged by many of the initiatives, that most government officials view civil society organizations as sympathizers of opposition political parties. As such, governments in many African countries now view civil society organizations not as civil, but as "evil" society organizations bent on effecting regime change. This has made it difficult for the CSCQBE, for instance, and for other like-minded organizations, to obtain official authorization from the government to undertake budget monitoring and tracking exercises. Getting useful information about government budgets and spending from higher levels of government has also proven difficult. Many officials have shown political rather than professional resistance to findings from the exercise.

The SEND Foundation encountered the same perception. While most district assemblies were open to the monitoring efforts of the DHMCs, on a number of occasions, district assembly staff voiced their suspicion or mistrust of DHMC members. Notably, the final evaluation also highlighted incidents where DHMC members approached district-level staff in a confrontational manner.

Difficulties in Accessing Information

When the DHMCs first began assessing the disbursement and implementation of HIPC funds, they encountered several challenges. One such challenge concerns the information and data that they were able to access. The SEND Foundation repeatedly struggled to reconcile separate sources of data from the Ministry of Finance and Economic Planning and the Ghana Government Web site. Furthermore, the DHMCs often found it difficult to acquire figures that had been broken down by district, and instead, figures were provided to explain the complete amount distributed by municipal district assemblies or were broken down by project and/or sector. This meant that the DHMCs could not effectively monitor the disbursement and utilization of funds in their respective districts.

In the case of NANGO in Zimbabwe, to update and carry out comprehensive analysis of budgets and expenditure patterns, timely access to relevant information is needed; however, the Access to Information and Protection of Privacy Act has actually hindered rather than facilitated free access to information on revenues and expenditures. The relationship between the government and nongovernmental organizations, which is often marred by suspicion and mistrust, has compounded the situation. As noted earlier, government officials unjustly perceive many genuine development nongovernmental organizations as allies of opposition parties bent on ousting the ruling party from power.

8. Conclusions

Many social accountability initiatives have already been undertaken and are ongoing in Africa. Indications on the ground are that the need for these various social accountability initiatives is high. The reasons for this are not hard to determine. In many parts of Africa, corruption continues to undermine socioeconomic growth and development, and as a result, poverty and unemployment are on the rise. Public service delivery and infrastructure development are also still generally poor, and in some cases are either deteriorating or nonexistent. The implication is that the overall pace of development remains sluggish. The adoption and implementation of social accountability initiatives provides citizens with opportunities to exact accountability, directly or indirectly, from public officials and service providers to improve service delivery and enhance socioeconomic growth and development. For these reasons, social accountability initiatives are viewed by many as integral components of the overall governance improvement agenda for Africa.

However, for current initiatives to take root in the region, some of the key problems and challenges need urgent attention. Chief among these is that social accountability practitioners both within and outside government institutions in the region lack the capacity to conduct needed research and analysis. Civil society organizations undertaking initiatives in the region need to align their incentives properly to attract and retain skilled personnel who are capable of doing lobbying and advocacy work and of coming up with credible indicators. In particular, indicators that accurately capture the impact of various social accountability initiatives are needed, especially given that the legitimacy and reliability of the results will depend on the robustness of the indicators and tools being used. In other words, innovative and credible tools and methodologies are needed to make the results acceptable; therefore, skilled human resources are critical.

The issue of sustainability—in terms of the lack of both financial and nonfinancial resources—came out clearly in the discussions in Kampala. In particular, participants singled out dependency on donors—not only for financial resources, but also for the processes themselves, that is, the development of context-appropriate social accountability tools and methodologies—as a major challenge.

Another major requirement is the need to improve access to information. Clear rules and legal frameworks that allow civil society to act as a watchdog are needed, as well as clear legislative frameworks that ensure access to information and the sustainability of social accountability initiatives. Legal frameworks must be backed up by reliable information dissemination tools, such as community radio, that could make a big difference to the lives of citizens by expanding access to information. The growing popularity of community radio in Africa, which carries national as well as community news in local languages, makes it a particularly effective conduit in communicating social accountability messages to grassroots audiences.

The stocktaking presented here and the network of practitioners resulting from the Accra and Kampala conferences attest to the growing movement toward institutionalizing

and mainstreaming accountability as part of the African culture. The practice of social accountability in Africa is still in its infancy, but demand for it is high. Much must be done in the area of capacity building using methodologies such as face-to-face training and distance learning and exposure to good practices and resources that promote the scaling up and piloting of these good practices. It is now up to the development community to nurture this movement and to work toward greater understanding, both within civil society and African governments, about the role social accountability can play in ensuring good governance.

Appendix 1: Summary of the Kampala "Workshop on Social Accountability and Stocktaking Review," October 23–24, 2004

The "Workshop on Social Accountability and Stocktaking Review," held in October 23–24, 2004, in Kampala, Uganda, provided an opportunity for practitioners to share, review, and refine the approaches to social accountability that was the target of the stocktaking exercise. Participants came from national and regional civil society organizations from nine African countries (Ghana, Kenya, Malawi, Namibia, South Africa, Tanzania, Uganda, Zambia, and Zimbabwe). All the participants had previously prepared stocktaking templates detailing the context, methodology, and impact of their social accountability initiatives. The workshop was a unique opportunity for social accountability practitioners to connect and exchange approaches and served as a starting point for aggregating knowledge and methods derived from real-world application.

The workshop specifically sought to:

- review the submitted templates and identify omissions in the templates;
- identify issues common to all the templates, that is, what seems to be working or what is not working;
- enhance networking processes;
- discuss the scope and coverage of stocktaking and the synthesis report;
- provide feedback on some of the learning tools that were contained in the submitted templates;
- formulate the selection criteria for templates with the best practices to be developed into case studies.

During the first day, participants from Ghana, Kenya, Malawi, Namibia, and South Africa gave 12 presentations. Representatives from each civil society organization presented their social accountability programs (as described in the templates) and received comments and questions. Following the presentations, the participants divided into three thematic groups (on independent budget analysis, participatory budget expenditure tracking, and participatory performance monitoring). Each group discussed which templates offered the most innovative methods. The groups also identified challenges to their social accountability strategies and developed recommendations to combat them and presented their consensus on these at the end of the first day.

During the second day of the workshop, 12 participants from Tanzania, Uganda, Zambia, and Zimbabwe presented their activities. As on the previous day, participants returned to their thematic groups to consider these examples and to clarify challenges and formulate strategies to tackle them. The groups also formulated criteria to guide the selection of

examples to be developed into case studies based on what participants felt were the most efficacious and sustainable social accountability approaches.

The thematic groups identified the following social accountability approaches as best practices:

- *Independent budget analysis Group*: approaches that
  - X   deal with both the revenue and expenditure sides;
  - X   have a pro-poor focus, with special reference to women, children, and other vulnerable groups, in order to influence change;
  - X   are inclusive;
  - X   have scientific and rigorous methodology and tools that can, at the same time, generate simplified information;
  - X   look at information dissemination strategy;
  - X   cover national, local, and/or sector budgets;
  - X   are innovative;
  - X   have a clear baseline;
  - X   link analysis to context.
- *Participatory budget and expenditure tracking group*: approaches that
  - X   are simple;
  - X   are easy to replicate and are target oriented;
  - X   contain learning pointers;
  - X   are sustainable;
  - X   are results oriented;
  - X   are flexible;
  - X   include participatory research methodologies;
  - X   incorporate affirmative action;
  - X   contain effective systems to capture data;
  - X   document the process, that is, the information management strategies;
  - X   consider the frequency and timing of the expenditure tracking exercise.
- *Participatory performance monitoring group*: approaches that
  - X   have easy access to information;
  - X   are well facilitated;
  - X   involve government or the community from the start;
  - X   build capacity;
  - X   are user friendly;
  - X   are gender sensitive;
  - X   use both quantitative and qualitative data;
  - X   institutionalize the process;
  - X   have access to resources;
  - X   disseminate information proactively;
  - X   have possibilities for scaling up;
  - X   build coalitions;
  - X   entail a cyclical process of participation.

As a final exercise, the participants were asked to synthesize the challenges and problems of implementing social accountability initiatives that were common across countries. In addition to this regional focus, participants also discussed commonalities across the thematic areas of the workshop. Participants arrived at the following concerns shared across the Africa region:

- *Sustainability.* The participants singled out donor dependency in particular as a major challenge, not only in relation to financial resources, but also in relation to the processes themselves, that is the development of social accountability tools and methodologies. Also in relation to ensuring sustainability, there is a need for promoting networking and coalitions.
- *Conducive environment.* Many presenters emphasized the need to build capacity at different levels before promoting social accountability initiatives and to overcome government resistance toward the promotion of social accountability initiatives. Participants also recognized the need to create clear rules or legal frameworks that would allow civil society to act as a watchdog in addition to a legislative framework that ensures access to information and sustainability of the social accountability initiative. Finally, many participants highlighted the need to create sustainable partnerships with government and to promote advocacy on a regional basis.
- *Data collection and presentation.* Participants emphasized the importance of gathering and disseminating information and of simplifying materials and their use. They also recognized the need to develop measurement indicators, which are still lacking in most cases. They also emphasized the need to develop innovative and credible social accountability tools and methodologies in order to make the results acceptable.

The participants discussed these commonalities and made recommendations for the cross-cutting issues that arose from the thematic groups. Their recommendations are summarized in the following table.

Cross-Cutting Issues	Suggested Strategies
Need to promote bottom-up approaches to community participation	- Promote consultation with or participation by beneficiaries at all levels. - Develop baseline surveys that will help establish the real needs of communities at all levels of the social accountability process. - Be inclusive at all levels, that is, local government committees, nongovernmental organizations, religious leaders, traditional leaders, civil servants, young people, schoolchildren, women, the disabled, those with HIV/AIDS, and so on. - Promote affirmative action. - Put in place social contracts (charters) between mayors and councils and communities, thereby promoting transparency and allowing citizens to gain some confidence in the processes.
Access to information and knowledge management	Transform the complex technical language of budgets into more simplified formats, translate it into the vernacular, and disseminate this to civil society so that people are well informed.

- Distribute a civil society manifesto to allow people to make informed decisions.
- Make use of the community committees that have been created in some countries in the region.

Cross-border advocacy

- Create coalitions and networks across borders.

Capacity building

- Organize exposure trips or exchange visits.
- Run education and awareness campaigns.
- Promote development or community theater.
- Use appropriate information technology and information, education, and communication technologies and systems.
- Mount training courses and workshops for government officials, parliamentarians, and members of civil society members.
- Encourage more public forums and community meetings and intensive use of the mass media.

Sustainability of social accountability processes

- Encourage governments to institutionalize the process.
- Embark on awareness creation in order to empower communities.
- Promote partnership in development in order to minimize donor dependence.
- Identify local preferences and specific sectors.
- Strive to build trustworthy relationships between implementing agencies, government, and civil society as well as between policy makers and technocrats.

Performance management

- Develop measurable indicators (usually these indicators are developed during baseline surveys).
- Make beneficiaries part of monitoring exercises from the beginning.

Appendix 2: Summary of the Accra "Conference on Citizen Engagement for Enhanced Social Accountability," May 3–5, 2005

The "Conference on Citizen Engagement for Enhanced Social Accountability," held in Accra, Ghana, during May 3–5, 2005, brought together 130 participants from 21 African countries (Benin, Burkina Faso, Cameroon, Chad, Ethiopia, The Gambia, Ghana, Kenya, Malawi, Mozambique, Niger, Nigeria, Rwanda, Senegal, Sierra Leone, South Africa, Tanzania, Togo, Uganda, Zambia, and Zimbabwe) to exchange knowledge and information on social accountability initiatives in the region. Organized by the Community Empowerment and Social Inclusion Program, part of the World Bank Institute, and the World Bank's Social Development Department and Environmentally and Socially Sustainable Development in Africa Department, the conference was a culmination of capacity building and of the piloting of social accountability approaches supported by various World Bank units in many African countries in recent years. The conference also showcased many of the social accountability initiatives from the World Bank Institute's stocktaking exercise in Anglophone Africa.

Participants included members of parliament, media and communications experts, representatives of civil society organizations (CSOs) and donor partners, and researchers. The conference was supported by the Dutch, Finnish, Irish, Norwegian, and Swiss development agencies. Also present were George Gyan-Baffour, Ghana's deputy minister for finance and economic planning, who delivered the keynote address, and Mats Karlsson, World Bank country director for Ghana, Liberia, and Sierra Leone, along with other World Bank officials. A one-day workshop on the Poverty Reduction Strategy preceded the conference.

The first day of the conference focused on the key conceptual and contextual issues of social accountability. "Empowerment essentially is about the ability to make choices and to make one's voice heard," said Mats Karlsson in his opening address. He highlighted the capacity to hold power holders to account as an indispensable element of good governance and citizen empowerment. Beyond making development projects more effective, social accountability boosts self-confidence and courage; mobilizes communities and CSOs; and helps increase the latter's technical expertise, negotiation skills, and competent use of public information to support their claims. As Ugandan Member of Parliament Norbert Mao noted, what he was taking away from the conference was that "accountability is about transforming passive voices to active ones."

Following the opening, attendees participated in a talk-show style discussion entitled "Social Accountability: What Is It and Why Does It Matter?" The discussion presented African definitions and concepts of social accountability and was filmed for viewing on Ghanaian television. Audrey Gadzekpo of the University of Ghana moderated a distinguished panel and an energetic and dynamic exchange between participants and

panelists, who sketched out the possibilities, limitations, and challenges of social accountability. The panel's unanimous view was that African people have political, social, cultural, and economic rights to demand social accountability from public officials and those rights have their origins in traditional values and beliefs. Examples were given of festivals in Ghana during which rules are suspended to allow citizens to comment on chiefs' actions without fear of sanctions or arrangements whereby one day of the week is set aside for the heads of clans to account for their management of assets and to settle any disputes. While all the panelists agreed on the need for citizens and civil society to be more organized, more proactive, and have the capacity and willingness to participate in decision making, the stage at which citizens should be involved in decision making was the subject of much discussion. Following the discussion, several presentations expanded on its ideas and examined social accountability at the national level through three case studies from The Gambia, Tanzania, and Uganda.

The afternoon session focused on social accountability at the national level. Facilitated by William Ahadzie, director of Ghana's Centre for Budget Advocacy, the session introduced participants to the scope of social accountability at the national level and provided case studies. Participants then explored the national-level social accountability initiatives more thoroughly through parallel sessions focused on independent budget analysis, public expenditure tracking, and poverty reduction strategy paper monitoring.

The day's last event was the opening of the knowledge fair, which exhibited documents, information, and materials pertaining to social accountability efforts around the world and case studies from both developed and developing countries. Participants provided brochures, newsletters, short documentaries, and documents on their work in their countries.

The second day began with an overview of the activities for the day by Bara Gueye, coordinator of the International Institute of Environment and Development (IIED), Sahel office. The following session on the critical role of information for social accountability helped to illuminate the function of information. Soule Issiaka, director, Radio Netherlands Africa Program, Benin, facilitated the session and stressed the importance of information in successful social accountability initiatives. Three further presentations dealt with access to information, the media, and community radio.

The next session examined social accountability at the community level by looking at such issues as local governance and service delivery. Three parallel sessions expanded on this theme and focused on community monitoring of service provision and local government, local-level participatory budgeting and expenditure tracking, and rights and citizenship at the community level. The second day ended with a brief brainstorming session designed to initiate thinking about opportunities to expand and promote social accountability initiatives at the country and subregional levels.

The third day of the conference offered participants an opportunity to distill the critical factors for success and the common challenges facing any social accountability initiative. The panel consisted of Colm Allan, Rudi Chitiga, Bara Guaye, and Rudith King and

Carmen Malena facilitated the discussions. The key issues recognized include the following:

- *Willingness and capacity of citizens to demand accountability.* Panelists identified the lack of organizational capacity, such as the absence of technical, management, advocacy, and lobbying skills among CSO staff, as a weakness in ensuring social accountability. In addition, many citizens are unaware of their rights, thereby limiting their interest in demanding accountability. The lack of a legal framework for social accountability or of legal status for CSOs undermines their efforts. Furthermore, the need for self-regulation among CSOs to ensure their credibility and integrity was considered critical for effective social accountability.
- *Willingness and capacity of African governments to be accountable.* The panelists agreed that the structures, legal frameworks, and capacity to enable governments to be accountable do exist. CSOs should acknowledge and encourage officials who provide information. The relationship between CSOs and parliaments, anticorruption agencies, and constitutional bodies should be strengthened to ensure effective social accountability.
- *Mechanisms.* The panelists advocated the institutionalization of social accountability. The issue is how to transform the administrative nature to be acceptable with a positive impact.

The next session gave participants the occasion to expand their knowledge through exposure to prominent social accountability mechanisms. The parallel skills-building workshops on independent budget analysis, participatory public expenditure monitoring systems, participatory performance monitoring, and participatory budgeting introduced these functional areas and demonstrated specific tools.

In the final activity, participants devised follow-up plans to harness the momentum generated by the workshop. They divided into regional groups to discuss the needs and context of social accountability initiatives in their region and to formulate follow-up plans to be implemented after the workshop. Each group presented its plan and received feedback from the other participants. The follow-up actions included the following:

- *Francophone African group*:
    X   developing capacity for social accountability, with needs assessment to be done as first step;
    X   promoting social accountability approaches through (a) orientation at the country and subregional levels and sharing of experience, (b) workshops and seminars, (c) joint communications strategy, and (d) building allies, multiconstituencies, and networks;
    X   establishing and institutionalizing a framework for the exchange of knowledge and experience;
    X   mobilizing resources for current and future programs;
    X   monitoring how activities will be implemented;
    X   establishing a francophone network with IIED Senegal as the hub and with support from other countries.
- *Anglophone West African group*:

X strengthening capacity through intensified networking and evaluative documentation and sharing of experience;

X building coalitions with other stakeholder groups, for example, the media and parliamentarians, to mainstream social accountability across the public sector;

X elaborating a concrete proposal for capacity building;

X launching joint approaches by several countries for scaling up social accountability initiatives;

X taking advantage of the African Peer Review Mechanism of the New Partnership for Africa's Development to promote and integrate social accountability as an important element of governance.

- *East Africa group*:

  X making use of resources directed toward the local level by instilling social accountability into these;

  X building coalitions between CSOs and governments, as well as other actors.

- *Southern African group*:

  X strengthening CSOs in terms of resources, human resources, and capacity for social accountability;

  X making use of diaspora colleagues;

  X defending the independence of legislative and other oversight bodies;

  X strengthening research capacity related to social accountability and accountability issues;

  X strengthening alliance building among CSOs and between CSOs and other stakeholders;

  X improving the enabling environment for social accountability, including human resource development and capacity building for social accountability among government officials;

  X documenting and sharing best practices;

  X coming up with concrete ideas to establish a network on social accountability across the Southern African Development Community, within the framework of the existing education network;

  X developing and offering a social accountability course with a certificate, including (a) circulating a concept paper, developing a proposal, and hosting a workshop with regional CSOs to reach consensus on a social accountability curriculum, with the Public Service Accountability Monitor in South Africa acting as a resource institution; (b) presenting a social accountability course and providing support for replicating social accountability skills and tools by CSOs and researchers in the region; and (c) assisting with mainstreaming social accountability courses into the curricula of regional universities.

A key observation made during the conference included the continent-wide movement toward increased decentralization, which demands increased use of social accountability mechanisms at all levels of government. The collected expertise indicated a richness of experience, both at national and local levels, and is leading to the development of a network of practitioners in the region. An African advisory group for the conference will provide follow-on guidance on the implementation of the next steps.

Appendix 3: Completed Templates

Please note that the templates have been condensed because of space considerations and edited.

The following abbreviations are used throughout the templates: CSO = civil society organization, NGO = nongovernmental organization, PRS = poverty reduction strategy, PRSP = poverty reduction strategy paper.

IDIR-NGO COALITION AS A SOCIAL ACCOUNTABILITY MECHANISM: ETHIOPIA

Methodology Type	Participatory Performance Monitoring	
Basic Information	*Name of Intervention*	Integrated Urban Development
	Primary Agency Running the Intervention	*Idir*-NGO alliances in various parts of the country with the lead taken up by some NGOs such as ACCORD-Ethiopia. *Idir* are traditional associations.
	Location	Addis Ababa, Ethiopia
	Sector or Level of Focus	Social sector at the local level
	Type of Engagement	Continuous
Context and Scope	*What is the driving force behind the initiative?*	Poor and inequitable urban social services
	What are the main objectives and what key accountability problems does it seek to address?	• Simmering public suspicion about the use of development funds by NGOs • Self-initiated NGO actions to create a community-based system worth emulating by the government that allows for more transparent use of donor funds • Keen interest in increased involvement of the community in development • Limited sustainability of NGO and government development projects • Lack of community ownership of assets created via government and NGO interventions that at times goes as far as outright sabotage of created assets
	Who is the target audience or demographic focus?	All local people living in the slums of Addis Ababa irrespective of their age, gender, social status, religion, ethnic group, and so on
	What is the political culture or environment?	• Ethnic-based parliamentary democracy where power is decentralized to the sub-municipal and *kebele* levels • Vibrant civil society is lacking • Visible dissociation between the government and citizens with a highly politicized civil service

Tools and Methodologies Used	*What specific social accountability tools and methodologies are being used?*	The role of the NGOs in the alliance is to build the capacity of *Idir* associations in the areas of project planning, implementation, monitoring, evaluation, project fund administration, and other related procedural aspects so that they are able to manage the funds provided by NGOs or other donors in conjunction with their own funds. *Idir* associations are formed based on a shared vision and with the full conviction of their members. Their perseverance and survival even at times of recurrent drought and war is mainly attributed to their collective trust and perfect transparency.
		Idir associations manage and oversee their budgets. Expenditure summaries are read out at monthly meetings and members compare performance with the money spent. Members decide on budget revisions and ad hoc contributions. Sensitive social mechanisms monitor the quality of services provided for poor and rich people alike. The number of people who attended a burial ceremony, the amount of money paid to a bereaved member, and so on are used as indicators of the equity of services delivered.
	How inclusive was the intervention?	*Idir* associations allow community participation and every community member regardless of race, gender, or religion can become an association member. All members make equal contributions in cash or in kind in fixed amounts regardless of their income level. The services that they receive are also equally distributed among members. People often feel more at ease participating in *Idir* associations than in government-initiated interventions. *Idir* members take part in project planning, budgeting, project management, and evaluation through their representatives and directly through monthly gatherings.
		The monitoring indicators used for projects that are run jointly by *Idir* associations and NGOs are mainly qualitative and are derived from the community's own parameters. Moreover, project monitoring is part of people's daily lives, that is, citizens make critical observations of progress and exchange information at informal neighborhood gatherings.
	Other important information or comments	The *Idir* associations have developed tremendous community trust over the years as mechanisms for resolving social conflicts and for settling minor disputes and marital disagreements. Residents interviewed in some towns say that they prefer to go to the *Idir* judge instead of the courts, especially to settle minor offenses and family-related cases for the following reasons: - The *Idir* judge's verdict is pronounced more quickly than formal court verdicts. - The secrets of a household remain with the *Idir* judge following arbitration. - The *Idir* judge is perceived as making fair judgments.
Results and Impact	*What (if any) has been the impact of the initiative? What have been the incentives?*	**[[DESKTOPPER: HEAD IN FIRST COLUMN SET ACROSS TWO LINES HERE, ONE LINE IN THE NEXT TEMPLATE. PLEASE HANDLE CONSISTENTLY THROUGHOUT.]]** Schools, water points, clinics, pit latrines, street lights, and access roads have been constructed and some *Idir*-NGO coalitions have provided efficient care and support services for those suffering from HIV/AIDS and HIV/AIDS orphans. Some individuals have chosen these associations as the best channels for donating money for the care of orphans, destitute urban dwellers, and street children.
	Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities, and so on? Describe.	- A strong linkage has already been established between NGOs and *Idir* associations working in partnership in relation to development interventions and social service delivery. - The public is interested in using these associations that transcend ethnolinguistic differences as a good alternative for circumventing problems of resource abuse and misappropriation. - The *Idir* associations are, in some cases, being used as sounding boards to discuss policy issues and current development concerns. - The Ethics and Anticorruption Commission is considering the use of *Idir* associations to furnish witness accounts for cases of corruption and to provide the badly needed social sanctions against corrupt officials.
	(If applicable) Has the initiative been scaled up? Repeated?	Both the government and other NGOs are interested in forging partnerships to work together with *Idir* associations in social service delivery. This appears feasible given the presence of *Idir* associations across the country.

	What were the main outcomes of the social accountability initiative?	• The existence of a strong *Idir*-NGO coalition as a development agent parallel to the government structure sends a strong signal to the government to reexamine itself in terms of its role in efficient social service delivery. • On numerous occasions people boycotted government services and government-initiated development interventions while participating actively in similar initiatives by NGO-*Idir* coalitions. Also people have consistently indicated their preference for services delivered by the latter. • The public's ignorance of government-initiated activities and budgets and the concomitant mistrust of government initiatives indicates a need for increased social accountability by the government. • The government views the *Idir*-NGO coalition as a role model in such critical areas as transparency, accountability, equity, and sustainability.
	Bottlenecks and problems: what difficulties did the agency or NGO face and how did it resolve them?	• Sporadic government corruption, elite capture, and nepotism • Government attempts to use *Idir* associations for political maneuvering • Government resentment of the *Idir*-NGO coalition given the noncollaborative government-NGO interface that currently prevails in the country • Occasional preoccupation of *Idir* associations with their primary mission of providing funeral services and financial assistance to the detriment of their engagement in development interventions • Difficulties of overhauling *Idir* associations' internal structure to enable them to manage development projects and to do so without upsetting their communal makeup
Further Reference	*Documents and Reports*	Tsegaye, S. 2003. "Strategies for an Effective Coalition between Government Organs and Local Community Associations in the Fight against Corruption." Government of the Netherlands and the Regional and Local Development Studies of the Addis Ababa University. Addis Ababa. 2003.
	Resource Persons/Contacts	Shimelis Tsegaye, shimelistsegaye@yahoo.com

APPRAISAL OF LOAN DISBURSEMENT AND SERVICE DELIVERY TO THE POOR UNDER THE GHANA PRS: GHANA

Methodology Type	Participatory Performance Monitoring

Basic Information		
	Name of Intervention	Appraisal of Loan Disbursement and Service Delivery to the Poor under the Ghana PRS
	Primary Agency Running the Intervention	Community Radio Network (CORANET)
	Location	Ho, Hohoe, and Jasikan districts (all in the Volta region of Ghana)
	Sector or Level of Focus	Multisectoral: food security, health, education, water, and governance
	Type of Engagement	Engagement was to have been for six months but is continuing

Context and Scope		
	What is the driving force behind the initiative?	People living in poverty are highly frustrated because the Ghana PRS has not worked in their favor. As spelled out by the government, the Ghana PRS consists of the country's comprehensive policies and strategies for growth and poverty reduction in the medium term, that is, between 2003 and 2005; however, its application in relation to the provision of service and facilities to help the poor in these communities appears to have been biased.
	What are the main objectives and what key accountability problems does it seek to address?	• To demand equity for poor people in the provision of loans and the delivery of services • To address the issue of governance to provide more opportunities for consultation and participation in matters relating to poverty reduction • To ensure transparency in relation to loans and their repayment by sharing information on the Ghana PRS
	Who is the target audience or demographic focus?	Civil society; local communities with a focus on women, youth, the disabled, the poor; government
	What is the political culture or environment?	Democratic; however, lack of education on rights, responsibilities, and privileges has led to abuse, especially corruption in selecting beneficiaries for assistance. There is a slight tendency toward authoritarianism. The media are free to a large extent.

Tools and Methodologies Used		
	What specific social accountability tools and methodologies are being used?	• Community (Citizen) Watch, an informal tool that allows citizens to observe and report anomalies in the Ghana PRS, how services are spread across communities, and who the beneficiaries are • Performance monitoring in relation to health, education, water, and governance • Core welfare indicators questionnaire • Monitoring and evaluation information system • Dialogue • Sensitization workshops to create awareness in communities • Lobbing for reforms pertaining to access to loans • Consultations with district assemblies and community actors
	Briefly describe the methodology/methodologies or tools used.	• Compilation of a beneficiary list that will set the tone for fairness • Training of beneficiaries in governance (group dynamics and so on) • Agreement with communities on roles and expectations, especially concerning the utilization of services and loans
	What advocacy and media activities support the initiative?	Media campaigns and news coverage plus lobbying by other NGOs informed communities and stakeholders of impending implementation of the Ghana PRS. CORANET, however, does not have any direct reporting relationship or engagement with the media.

	How inclusive was the intervention?	The targeted group, while involved in the process, cannot be said to have been fully participating in it. Most people cannot effectively monitor service delivery, loan allocation, or loan disbursement. In addition, the concept of whistle-blowers goes against tradition. Nevertheless, citizens freely offered information about service delivery in education, health, and water.
	Participation	The poor do participate in the Ghana PRS process because it is their program. The Ghana PRS is meant to cater to the poor and they are brought on board albeit in small measure. In the process of helping the poor, measures are being taken to build capacities, especially in business management and group dynamics. A few cases of elite capture have occurred, but such situations are duly reported to the National Development Planning Commission for appropriate measures to be taken.
	Other important information or comments	In the course of the loan disbursement exercise, CORANET discovered certain anomalies in the preparation of beneficiary lists. It duly reported this to the National Development Planning Commission. There has been no follow-up on this on the part of the commission.

Results and Impact	*What (if any) has been the impact of the initiative? What have been the incentives?*	After such "unofficial" reports to the National Development Planning Commission, one top district executive took CORANET to task by criticizing it on its performance. The resulting flurry of responses meant that citizens have become aware of what the Ghana PRS is. Furthermore, the Ghana PRS was brought to the doorstep of the people via the Development Dialogue Series 3 and 5 in Tamale and Ho, respectively.
	Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities and so on? Describe.	A desire for good governance has been the most visible change in people's attitudes since 2002, when they were first exposed to the Ghana PRS. This has increased the: extent of community involvement in decision making at the local level; extent of information flow between poor people and their elected representatives; rights of people living in poverty to demand accountability from politicians and policy makers and thereby stem the tide of corruption; link between information availability, delivery channels, and political accountability; and link between information availability and access to development technologies.
	(If applicable) Has the initiative been scaled up? Repeated?	Many civil society organizations have jumped on the bandwagon of providing "governance" to the populace.
	What were the main outcomes of the social accountability initiative?	Ownership has been a major issue for the Ghana PRS. As of 2003, information about the Ghana PRS had circulated widely in the government and among some district assemblies and NGOs. In 2000 and 2001, Ghana PRS consultations were held in 36 communities, 12 districts, and 6 regions. Critical bodies informed about and consulted to date include parliament, women's groups, trade unions, the media, business and farmers' organizations, and critical oversight organs of the government.
	Bottlenecks and problems: what difficulties did the agency or NGO face and how did it resolve them?	The first major problem was the late start of the Ghana PRS monitoring and evaluation. It was to have started in March 2003. Information on the Ghana PRS is still difficult to come by. For the Ghana PRS monitoring and evaluation to work well, the culture will have to change to one where information is largely shared within the government, where key information on performance is made public, and where debate and informed comment within the government and by the media and civil society are welcomed. Other bottlenecks are: **[[DESKTOPPER: PLEASE FLUSH LEFT ALL BULLETS AND USE SAME BULLET SYMBOLS AND SAME SPACE BETWEEN BULLETS AND TEXT THROUGHOUT THE TEMPLATES]]** ▪ The district assemblies are not yet democratically effective and are unable to help in the monitoring and evaluation of the Ghana PRS. ▪ The National Development Planning Commission has problems with funds and resources for dissemination and implementation of the process. ▪ The Ghana PRS is hampered by macroeconomic forces—for example, price hikes in petroleum products, increased tariffs on utilities, and raised food prices—that negatively affect the poor.

Further Reference	*Documents and Reports*	Government of Ghana. 2003. *Agenda for Growth And Prosperity: Ghana's Poverty Reduction Strategy 2003–2005, Monitoring and Evaluation Plan*, vol. 1. Accra: Government of Ghana. CORANET. 2004. *Fifth Development Dialogue Series*.

GHANA HIPC WATCH:
GHANA

Methodology Type	Participatory Budget and Expenditure Tracking (BPET) & Participatory Performance Monitoring

Basic Information		
	Name of Intervention	Ghana HIPC Watch (HIPC refers to the Heavily Indebted Poor Countries Debt Relief Initiative)
	Primary Agency Running the Intervention	Social Enterprise Development (SEND) Foundation of West Africa
	Location	Ghana
	Sector or Level of Focus	Grassroots economic policy advocacy; national in character with an emphasis on northern Ghana
	Type of Engagement	Three-year project (2002–5); continuous engagement

Context and Scope		
	What is the driving force behind the initiative?	In 2001, the government of Ghana initiated the process of qualifying for the HIPC Debt Relief Initiative, ostensibly to be able to guarantee substantial external financial commitment to the Ghana PRS. The implementation strategy for the Ghana PRS emphasized active participation by the poor in fashioning poverty reduction policies followed by the design of appropriate interventions through a partnership framework involving the government, particularly district assemblies, and CSOs. The outcome was the initiation of the Ghana HIPC Watch project in 2001.
	Project Goal	The goal of the Ghana HIPC Watch is to enhance the impact of the Ghana PRS on the livelihoods, security situation (food security and income security), and welfare needs (health, education, and water) of resource-poor people in Ghana
	What are the main objectives and what key accountability problems does it seek to address?	- To build CSOs' awareness of the Ghana PRS so as to mobilize district-based NGOs, faith-based organizations, women, and youth groups to actively participate in and contribute to policy making on poverty reduction strategies and programs - To establish and strengthen the participatory monitoring capacity of focal NGOs so that they can collaborate with SEND to carry out participatory monitoring and evaluation of the Ghana PRS in 25 districts in northern Ghana and in Kete Krachi
	Who is the target audience or demographic focus?	- Central government ministries, departments, and agencies - District assemblies - District-based development NGOs - Faith-based organizations - Women, children, and people with disabilities - Farmers

Tools and Methodologies Used		
	Briefly describe the methodology/methodologies or tools used.	- The Ghana HIPC Watch participatory monitoring and evaluation manual provides broad guidelines and sets out a monitoring framework with monitoring steps, indicators, and specific questions. - Data collection committees are five-member subcommittees of the district HIPC monitoring committees (DHMCs) selected on a quarterly basis and responsible for data collection and analysis. - Data collection committee conduct field visits to observe HIPC projects. - Case studies of special cases, usually ones involving controversy, are prepared, for example, controversy over the choice of project. - Focus group discussions are carried out with beneficiary and interest groups, usually by DHMCs. - Semistructured interviews are carried out with specific questions for particular district assembly officials.

	What advocacy and media activities support the initiative?	• Meetings with ministries, departments, and agencies on HIPC disbursements • Meetings with regional coordinating councils to share monitoring information • Meetings with district assemblies to provide feedback on monitoring findings • Radio and television discussions on advocacy issues pertaining to the HIPC • Monitoring information posted on the HIPC notice board • Press statements and quarterly newsletters (*HIPC Watch Update*) • Week of lobbying to engage government institutions • Performance assessment report of findings and achievements • Dissemination through SEND's Web site (http://www.sendfoundation .org)
	How inclusive was the intervention?	The project started with a concept paper to sensitize CSOs on the opportunity offered by the HIPC Initiative to engage government in the development, implementation, monitoring, and evaluation of the Ghana PRS. Representatives of more than 30 CSOs attended the inception workshop to discuss the concept paper and endorse the project concept. SEND has implemented the project with partnership agreements with 19 focal NGOs and 25 district assemblies. A 15-member DHMC) was set up in each district, to evaluate programs funded by the HIPC Initiative. The focal NGOs are responsible for managing the DHMCs. Representatives of the 25 focal NGOs meet quarterly to share monitoring information and data and to develop advocacy plans to engage regional and national policy makers.
	Participation	(see above)
	Other important information or comments	Three key indicators are monitored, namely: • Governance (level of involvement of citizens in decision making on HIPC Initiative disbursements and projects) • Accountability (governance, financial, and expenditure) • Equity (spatial, social, occupational, and gender)
Results and Impact	*What (if any) has been the impact of the initiative? What have been the incentives?*	• Sensitizing more than 2,000 CSOs on the Ghana PRS and the HIPC Initiative • Building capacity of more than 400 NGO staff in participatory monitoring and evaluation • Increasing awareness of community ownership and community interest in engaging district assemblies (for example, formation of DHMCs in all districts in northern Ghana) • Building a broadly based coalition of CSOs and individual development practitioners engaged in economic policy advocacy at various levels by means of the systematic and participatory approach adopted by the project • Initiating a feedback effect of engagement leading to policy shifts and implementation adjustments
	Is the methodology or initiative institutionalized?	The project is in its pilot phase. It is not institutionalized, but loose partnerships and consultations with many state actors exist.
	(If applicable) Has the initiative been scaled up? Repeated?	The initial project covered eight districts, four districts in the northern region and two each in the upper east and upper west. A series of regional Ghana PRS educational workshops generated interest among the NGO community in northern Ghana and resulted in expansion of the project to cover all districts in the northern, upper east, and upper west regions. Following a successful national lobby in Accra in 2002, the project expanded to cover southern Ghana.
	What were the main outcomes of the social accountability initiative?	• Developing a participatory monitoring and evaluation framework for projects developed with HIPC Initiative funding adopted by 25 district assemblies and formally launching 25 focal NGOs • Establishing and training 25 DHMCs how to use the participatory monitoring and evaluation manual • Training district assemblies and focal NGOs in how to use the poverty and HIPC-related accounting manual • Increasing awareness about the Ghana PRS and HIPC Initiative • Training 90 women as trainers of trainers on women and the Ghana PRS • Publishing and distributing more than 20,000 copies of the *Ghana HIPC Watch Update*

	Bottlenecks and problems: what difficulties did the agency or NGO face and how did it resolve them?	• Inadequate capacity of participating CSOs to undertake public policy advocacy, especially at the local level • Political interference: the Kete Krachi DHMC was banned • Unwillingness of some government officials to provide information An increasingly interesting challenge for SEND is the numerous invitations to participate in seminars, workshops, and conferences on PRSPs, the HIPC Initiative, and trade
Further Reference	*Web sources*	http://www.sendfoundation.org
	Resource Persons/Contacts	Kuupiel Cuthbert Baba

INDEPENDENT BUDGET ANALYSIS AND PARTICIPATORY BUDGET AND PUBLIC EXPENDITURE TRACKING PROJECT: GHANA

Methodology Type	Independent Budget Analysis and Advocacy Participatory Budget and Expenditure Tracking

Basic Information	*Name of Intervention*	Independent Budget Analysis and Participatory Budget and Public Expenditure Tracking Project
	Primary Agency Running the Intervention	The Centre for Budget Advocacy (CBA) of the Integrated Social Development Centre. The CBA works to facilitate the spread of budget activism in Ghana and across the African continent and to empower people to engage in budgets, principally as a tool for achieving equity and fairness in society, especially for women, children, and the poor and underprivileged.
	Location	Accra, Ghana
	Sector or Level of Focus	Multisectoral, covering national and local government budgets
	Type of Engagement	Continuous

Context and Scope	*What is the driving force behind the initiative?*	For a long time, Ghanaians have viewed the budget as a technical tool meant only for government technocrats and politicians. Thus the general public has had little interest and input into the budget, leaving resource allocation in the hands of public officials whose interests may differ from those of ordinary citizens. Moreover, the use of public resources is fraught with corruption, diversions, and dissipation by individuals responsible for implementing the budget.
	What are the main objectives and what key accountability problems does it seek to address?	Analyzing the influence of the budget on poor and marginalized groups and promoting transparency, accountability, and participation in the allocation and utilization of public resources
	Who is the target audience or demographic focus?	The target audience is policy makers and donors. The targeted beneficiaries and users of the information are civil society and advocacy groups and local communities. The demographic focus is women, youth, the disabled, and the poor.
	What is the political culture or environment?	Ghana has a democratically elected government along with media freedom and freedom of association, so the CBA organizes its forums and press conferences without any intermediation, although some government officials are reluctant to participant as resource persons.

Tools and Methodologies Used	*What specific social accountability tools and methodologies are being used?*	• Independent budget analysis • Public forums, press conferences, and press releases • Participatory budget and public expenditure tracking • Participatory planning and budgeting (training)
	Briefly describe the methodology/methodologies or tools used.	• Holding press conference three or four days after the budget has been presented to parliament that provide a quick analysis of the budget and its possible impacts on the economy and the citizenry • Holding public forums throughout the country to obtain citizens' views about the budget • Submitting a report on the public forums to the president in the form of an open letter published in two newspapers • Undertaking in-depth analysis of the national budget and publication of that analysis • Training local government staff, legislators, and civil society groups in pro-poor planning and budgeting • Tracking resource allocations to the district assemblies

	What advocacy and media activities support the initiative?	Press conferences, publication of analysis in newspapers, and circulation of analysis to policy makers.
	How inclusive was the intervention?	The CBA usually tries to mobilize the targeted groups and has an all-inclusive approach, although participation has not been ideal.
	Participation	Participation could be improved, but the situation is worse for the poor, who are mostly illiterate. The intervention builds capacity at the district assembly level. Beneficiaries at this level are then expected to extend it to the community level. The intervention mobilizes and empowers its target groups, particularly district assembly staff and members and civil society groups at the district level. The initiative does not appear vulnerable to elite capture.
	Other important information or comments	Hard work is needed to generate public interest in budgets and get public officials to accept civil society intervention and inputs into the budget process.
Results and Impact	*What (if any) has been the impact of the initiative? What have been the incentives?*	More people now know about the budget and take the time to study it and comment on it. Local authority officials are also applying best practices in relation to budgeting.
	Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities and so on? Describe.	There are no institutionalized partnerships between the CBA and the government on budget issues, although both donors and government invite the CBA to their activities. Other NGOs in Ghana are now engaging in similar work. In February, another NGO organized a workshop for parliamentary leaders with support from the U.S. Agency for International Development to prepare them for debate on the budget. The CBA served as one of the resources. The government does not yet make extended use of the CBA's analysis and does not acknowledge the CBA's contributions; however, the government initiated its own public forums on the national budget this year, copying the CBA's practice over the previous four years.
	(If applicable) Has the initiative been scaled up? Repeated?	The Initiative has continued for four years and the tracking, initially done on a pilot basis, has been scaled up to cover an additional 10 districts and education expenditures.
	What were the main outcomes of the social accountability initiative?	• Increasing interest on the part of many citizens in budget work • Continuing dependence on external financing and accompanying policy prescriptions constrain the government's acceptance of the CBA's recommendations
	Bottlenecks and problems: what difficulties did the agency or NGO face and how did it resolve them?	• Financial constraints reduce the volume of the CBA's work, especially as some view it as an antigovernment group. This limits its access to support, particularly in situations where such support needs government endorsement. • Public officials do not always participate and cooperate, especially when such cooperation involves delivering public speeches. • Budget training at the district assembly level is frustrated by frequent transfers of staff and resistance by political leaders to implementing best practices in budgeting as learnt at the workshops. • Capacity to implement best practices at the district assembly level is low.
Further Reference	*Web sources*	http://www.isodec.org.gh
	Documents and Reports	Budget Analysis for 2001, 2002, 2003
	Resource Persons/Contacts	Vitus A. Azeem, Programme Coordinator, CBA, vazeem@isodec.org.gh Nicholas Adamtey, Policy Analyst, CBA, NADamtey@isodec.org.gh

SOCIAL AND PUBLIC ACCOUNTABILITY IN COMMUNITY MONITORING
OF POVERTY REDUCTION PROJECT:
GHANA

Methodology Type	Participatory Performance Monitoring

Basic Information	*Name of Intervention*	Social and Public Accountability in Community Monitoring of Poverty Reduction Project
	Primary Agency Running the Intervention	Institute for Policy Alternatives
	Location	Ghana
	Sector or Level of Focus	Overall coverage of the Ghana PRS; public service delivery, particularly in water and sanitation, education, and health
	Type of Engagement	Continuous

Context and Scope	*What is the driving force behind the initiative?*	Citizens' involvement in deciding on issues that affect their lives is one of the critical components of good governance. By becoming involved in assessing the performance of the government's framework policy for poverty reduction and its attendant financing of the delivery of public services and other accountability issues, citizens can affect the quality of services delivered and can hold government and public service providers to account.
	What are the main objectives and what key accountability problems does it seek to address?	• To share global and local experiences related to participatory mechanisms for social and public accountability • To identify critical issues and approaches for strengthening social and public accountability in Ghana.
	Who is the target audience or demographic focus?	Government, policy makers, public service providers, community members, and partner organizations
	What is the political culture or environment?	Fledging democracy; decentralized local government bodies characterized by capacity deficits

Tools and Methodologies Used	*What specific social accountability tools and methodologies are being used?*	• Community scorecard and citizen report card • Training program on the tools and concept of social accountability
	Briefly describe the methodology/methodologies or tools used.	Features of the community scorecard methodology: • It uses the community as its unit of analysis, and thus focuses on accountability at the local and/or facility level. In this respect it differs from conventional surveys, which use individuals as the unit of analysis. • A definite and almost immediate feedback mechanism must be built into the system. This is done by means of an "interface meeting" between service users and providers (or local government officials). Stages of the community scorecard approach: • preparatory groundwork • organization of the community gathering • development of an input tracking matrix • community scoring of performance • provision of a self-evaluation scorecard • interface meeting between the community and service providers
	What advocacy and media activities support the initiative?	Local media organizations, both print and electronic media, are developing strategies, including a video documentary, to disseminate the results of pilot initiatives.
	How inclusive was the intervention?	A group of 10 CSOs from across Ghana have been sensitized and organized to undertake pilot projects on social accountability in relation to community monitoring of poverty reduction efforts.

	Participation	The community scorecard methodology allows for the voices of the poor to be heard. By means of this approach, the poor are able to assess the performance of public services at the community level, and it affords them the opportunity to meet with government officials and other service providers at interface meetings. This approach has both a mobilizing and an empowering effect; however, when focus group discussions are not conducted properly, there is a risk of dominance by powerful individuals.
	Other important information or comments	Project interventions being implemented by CSOs include the following: • *Afram Plains Development Organization*: Tracking access to basic education and to quality health care • *Simli Aid*: Delivery of educational services in the Zabzugu/Tatali district • *Radio Ada*: Correlating natural resources in communities (prolific salt deposits) with the delivery of key services such as health and education in the Dangbe East district • *Municipal Action Foundation*: Tracking resource allocation and public expenditure and assessing their impact on beneficiary communities by using participatory tools • *Integrated Action for Development Initiatives*: Assessing community members' satisfaction with district assembly resource allocation in the Sharma district • *Pronet North*: Undertaking two pilots, one on education in the Jirapa Lumbussie district and the other on the delivery of basic health service needs in Wa, the regional capital, in the upper west region • *Rural Media Network*: Preparing a video documentary on pilot initiatives that captures emerging issues on social and public accountability and using a community scorecard to assess the performance of service providers in the delivery of key education services
Results and Impact	*What (if any) has been the impact of the initiative? What have been the incentives?*	The process is still ongoing, but the impact is already being felt in terms of skills acquisition and awareness raising. Public officials are much more careful in the conduct of public duties.
	Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities and so on? Describe.	• The community scorecard and citizen report card methodologies have not yet been institutionalized, but their application is gaining wide currency. The National Development Planning Commission (a government agency, with whom the Institute for Policy Alternatives has established a partnership) is applying the citizen report card methodology in assessing the performance of government departments and agencies. • A number of CSOs are also applying the community scorecard methodology in monitoring poverty reduction efforts at the community level. • The Institute for Policy Alternatives has trained members of parliament from more than 10 African countries in how to use community scorecards in their oversight duties, and about half a dozen of them are starting pilot initiatives in poverty monitoring using these tools. • The Institute for Policy Alternatives delivered training courses on participatory monitoring and evaluation using the community scorecard and citizen report card as model tools during the International Program for Development Evaluation Training of the World Bank and Carleton University in 2003 and 2004 and ran a workshop on social accountability for parliaments in Southeast Asia and NGOs in Cambodia in October 2004.
	(If applicable) Has the initiative been scaled up? Repeated?	The hope is that this initiative will be scaled up following completion of the pilots.
	What were the main outcomes of the social accountability initiative?	Even though the process is ongoing, a pattern in terms of skills acquisition and capacity building is already emerging. In communities where civic engagement is taking place, people are becoming more engaged in issues that directly affect them and are generally conversant with government policies.

	Bottlenecks and problems: what difficulties did the agency or NGO face and how did it resolve them?	One of the challenges frequently encountered in the field is the language barrier given the high level of illiteracy in rural areas. The use of local facilitators has helped minimize this problem.
Further Reference	*Web sources*	http://www.ipaghana.org

TRACKING OF THE DISTRICT ASSEMBLIES COMMON FUND PROJECT: GHANA

Methodology Type	Participatory Budget and Expenditure Tracking

Basic Information		
	Name of Intervention	Tracking of the District Assemblies Common Fund (DACF)
	Primary Agency Running the Intervention	African Development Programme in collaboration with other NGOs
	Location	Suhum, Ghana
	Sector or Level of Focus	Multisectoral at district and regional levels
	Type of Engagement	The study took place between April and July 2003, but covers the period from January 1999 to December 2002.

Context and Scope		
	What is the driving force behind the initiative?	Payments into the DACF have been delayed for more than a year, resulting in failure to disburse monies to the metropolitan, municipal, and district assemblies (MMDAs). There have been complaints from the general public and reports of alleged misapplication and financial malpractice in connection with the disbursement and use of the proceeds of the DACF by the MMDAs.
	What are the main objectives and what key accountability problems does it seek to address?	• To ascertain if the DACF's guidelines pertaining to fund allocation and use are being followed • To establish if resources allocated by the DACF administrator are actually released in full to the MMDAs • To determine if monies r the MMDAs receive are used for the purposes for which they are intended • To find out if processes for disbursing the monies are transparent and follow established procedures • To recommend improvements in the administration of the DACF to the appropriate authorities
	Who is the target audience or demographic focus?	Parliamentarians, traditional authorities, security services, market women, religious leaders, district assembly officers and staff, eastern regional coordinators, teachers, youth, and drivers' unions
	What is the political culture or environment?	Democratic; conducive to the formation and operation of civil society groups; media freedom

Tools and Methodologies Used		
	What specific social accountability tools and methodologies are being used?	• Collection of information on allocations and disbursement of the DACF at regional and district levels by means of key informant interviews to gather primary information and verify information provided by various agencies and documents; observation of physical evidence, including structures; and focus group discussions at the community level • Analysis of data collected
	Briefly describe the methodology/methodologies or tools used.	The African Development Programme and its partners held a series of meetings to fine-tune its strategy, that is, the development of a questionnaire that could be used to reach all target stakeholders. A separate instrument for collecting data was developed for (a) the Office of the Administrator of DACF, (b) the Office of the Controller and Accountant General, (c) the district assemblies (district chief executive, district coordinating director, district finance officer, district planning officer, district economic officer, and other staff). At the regional level, the instrument was adapted for the regional minister, the regional coordinating director, and others. Another key instrument was designed to reach community focus groups.
	What advocacy and media activities support the initiative?	Members of parliament; national and international NGOs; and development partners such as the U.K. Department for International Development, the World Bank, the U.S. Agency for International Development, and the Danish International Development Agency were invited to dissemination round tables.

	How inclusive was the intervention?	The forums brought together district stakeholders who had not known what the DACF was and had never seen each other as part of the solution.
	Participation	As a result of the intervention, CSOs are now sensitized to participation in the DACF and PRSP. A problem is the lack of funding support to mobilize and train communities as a follow-up activity.
Results and Impact	*What (if any) has been the impact of the initiative? What have been the incentives?*	Process, policy, or tangible outcomes should be specified, ideally with supporting empirical data on such items as welfare improvements and policy reforms.
	Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities and so on? Describe.	The African Development Programme and its partners see themselves (and others) as an institution that is ready to continue with the linkages established with parliamentarians, communities, and so on.
	(If applicable) Has the initiative been scaled up? Repeated?	We wish the initiative was repeated in more of the over 130 district assemblies in Ghana.
	What were the main outcomes of the social accountability initiative?	- Holding two roundtables to disseminate the outcomes of the study - Establishing a strong link between the government, development partners, and the team that undertook the study - Involving the government and communities in the study right from the beginning to ensure that their perspectives were taken into account, which facilitated the team's work
	Bottlenecks and problems: what difficulties did the agency or NGO face and how did it resolve them?	The inability of some development partners to provide timely and sustained support for initiatives of this kind proved extremely frustrating.
Further Reference	*Resource Persons/Contacts*	Charles Abbey, chasadp@africaonline.com.gh

BUDGET INFORMATION PROGRAMME:
KENYA

Methodology Type	Independent Budget Analysis and Advocacy

Basic Information	*Name of Intervention*	Budget Information Programme (BIP)
	Primary Agency Running the Intervention	Institute of Economic Affairs (IEA)
	Location	Nairobi, Kenya
	Sector or Level of Focus	The IEA pursues a multisectoral approach. It has been operating at the national level, but in 2003 took its applied budget work downstream through CSO networks.
	Type of Engagement	Continuous since its inception in 1994

Context and Scope	*What is the driving force behind the initiative?*	To facilitate debate on public policy following Kenya's return to pluralist politics, the IEA was formally established in 1994. Its founding members noted that public funds were misused, wasted, misapplied, or embezzled because of weak institutions and laws pertaining to public finance management. The objective of the BIP was to facilitate reforms in public finance management.
	What are the main objectives and what key accountability problems does it seek to address?	• To build a knowledge base on issues of public finance management • To strengthen key institutions that engage in public finance management • To enhance transparency in public finance management through effective public finance monitoring, evaluation, and reporting • To develop an appropriate framework for budget analysis
	Who is the target audience or demographic focus?	• Political interest groups: parliament, political parties, politicians, government officials • Business interest groups, both rural and urban • Civic interest groups: professionals, NGOs, students, and so on • Media, both print and electronic • External interest groups: donors, researchers, foreign missions in Kenya, think tanks
	What is the political culture or environment?	Democratic, but governance has been weakened by rivalry within the governing political party and by corruption

Tools and Methodologies Used	*What specific social accountability tools and methodologies are being used?*	• In-depth research and analysis of budgetary processes, the economic outlook, sector performance, and fiscal developments • Analysis of parliamentary support of legislative reforms, for example, critiquing draft legislation • Training and networking with like-minded institutions • Information dissemination through bulletins, research papers, and the like • Budget monitoring and evaluation • Newspaper inserts and media encounters
	Briefly describe the methodology/methodologies or tools used.	• The IEA's research and analysis are published and widely disseminated to civil society, the government, the media, the private sector, and others. The IEA also hosts meetings to brief partners on its research findings or to strategize on how to lobby for specific reforms. • In the past, the IEA has partnered with other CSOs and the opposition to prepare an alternative citizens' budget. • The IEA has facilitated several training workshops for various groups, including parliamentarians and civil society. • The IEA participates in the national monitoring and evaluation steering committee, which coordinates the government's activities in this area. • The IEA reaches the public and its target audience through media appearances, newspaper inserts, and publications.

	What advocacy and media activities support the initiative?	• IEA participation in a budget network of CSOs that lobbies for budget reforms and better use of public funds • Memorandums to the treasury and parliament; the IEA has consolidated budget proposals from the corporate and social sectors to submit during budget preparation • Participation in budget preparation meetings at public hearings • Newspaper inserts, press releases, and media appearances. • Regular meetings with parliamentarians
	How inclusive was the intervention?	The IEA's prebudget and postbudget meetings are open to all. IEA staff take advantage of many media outlets, including radio that broadcasts in the vernacular, which results in wide coverage.
	Participation	The IEA has been unable to reach many poor people, partly because of institutional capacity constraints, and partly because most of the poor tend to be located in rural areas far from where the IEA is located.
	Other important information or comments	The IEA runs other programs to help shape public policy, such as its Trade Program, Competition and Regulation Policy Program, and Future Program. These programs tend to use the same tools and methodologies as the BIP.
Results and Impact	*What (if any) has been the impact of the initiative? What have been the incentives?*	• *Increasing the popularity of public debates*: The quantity and quality of debates and the interest shown by Kenyan professionals in participating has increased. • *Influencing legislation*: The IEA was centrally involved in the drafting of a bill to establish a parliamentary budget office and in the revision of parliamentary standing orders to enhance parliament's role in monitoring public finances. • *Facilitating public participation*: Following an IEA debate on the insurance sector, the Association of Insurers lobbied for legislative changes and won concessions in every budget speech. Other sectors that have partnered with the IEA in the pursuit of reforms include the tea, telecommunications, and retirement benefits sectors. • *Providing media support*: The press regularly relies on the IEA for analysis and interpretation of the budget and related issues. • *Enhancing government participation*: The IEA has also seen increased interest in and willingness by government officials to participate. • *Providing parliamentary support*: The BIP has helped build up the required analytical capacity to ensure that parliament is a strong institution. • *Informing the public*: IEA activities and products are useful reference guides pertaining to policy questions in Kenya.
	Is the methodology or initiative institutionalized?	The IEA has been unable to enter into long-term contractual agreements with its partners, but instead enters into agreements on an activity-by-activity basis.
	Has the initiative been scaled up? Repeated?	BIP activities have been taken to the provinces.
	What were the main outcomes of the social accountability initiative?	• Addressing inequality issues in government policy and budgets • Increasing public participation in budget formulation, monitoring, and oversight • Making reliable research outputs available • Making analysis on the coherence and consistency of the public budget with stated policy available • Improving the relationship between the IEA and policy makers • Ensuring that national economic policy and budgets reflect national and local priorities • Promoting participatory economic governance

	Bottlenecks and problems: what difficulties did the agency or NGO face and how did it resolve them?	• At the inception of the IEA, it faced resistance from the government, including the Office of the Clerk of the National Assembly. The IEA partnered with like-minded institutions to resist pressures exerted by the government and with individual reform-minded parliamentarians to penetrate parliament. • IEA offices were sometimes broken into and property damaged. • Financial constraints, particularly in the formative years, forced the IEA to scale down its activities.
Further Reference	*Web sources*	http://www.ieakenya.or.ke
	Documents and Reports	Strategic Plan 2002 – 2004 Institute of Economic Affairs, January 2002 Strategic Plan 2004 – 2008 Institute of Economic Affairs, March 2004 Report on the Pre-Budget Retreat for Parliamentary Departmental Committees, 2003 Report on the Seminar for the Parliamentary Committees, September 2002
	Resource Persons/Contacts	Albert Mwenda, chief executive

BUDGET LITERACY AND PUBLIC EXPENDITURE MONITORING ROGRAMME:
KENYA

Methodology Type	Independent Budget Analysis and Advocacy Participatory Budget and Expenditure Tracking

Basic Information		
	Name of Intervention	Budget Literacy and Public Expenditure Monitoring Programme
	Primary Agency Running the Intervention	Social Development Network (SODNET)
	Location	Nairobi, Kenya
	Sector or Level of Focus	Multisectoral
	Type of Engagement	Continuous

Context and Scope		
	What is the driving force behind the initiative?	SODNET started the Budget Literacy and Public Expenditure Monitoring Programme in 1996 in response to the growing levels of poverty despite budgetary allocations and the exclusion of critical sections of society in the economic governance process. SODNET sought to address the following issues: • During its formulation, the budget is cast as a technocratic project and no efforts are made to engage the public. • Budget implementation is inadequately monitored and links between expenditure, targets, and eventual delivery are few. • Most citizens are unable to understand and appreciate the link between macroeconomic issues of the budget and spending at the grassroots levels. • Channels for active participation in the budget process are lacking.
	What are the main objectives and what key accountability problems does it seek to address?	The program's main objective has been to provide ordinary Kenyans with a platform to effectively engage other actors regarding development planning, resource allocation and use, and monitoring of public resource management for better social development.
	Who is the target audience or demographic focus?	• CSOs, community-based organizations • Local communities, including farmers, teachers, and business people • Government officials, both local and central • Members of parliament and councilors • Organized women's, youth, and religious groups • Poor and marginalized members of society
	What is the political culture or environment?	The government has shown some political goodwill in relation to engaging the public and other actors in the policy decision-making process.

Tools and Methodologies Used		
	What specific social accountability tools and methodologies are being used?	• Budget research and information dissemination, for example, by means of posters and stickers • Workshops and budget literacy clinics
	Briefly describe the methodology/methodologies or tools used.	SODNET has facilitated the establishment of committed grassroots groups in the districts to monitor public expenditure and demand participation in the governance processes. The groups have become effective at transmitting popular social demands from below and mobilizing popular participation in policy making. They elect their own representatives and form committees for this work. They submit quarterly reports to SODNET and monitor resource allocation and use. SODNET supports this cadre by holding workshops and training events, presenting groups' concerns to national ministries, encouraging cooperation with government officials at the district level, and holding regional and national meetings.
	What advocacy and media activities support the initiative?	The news media frequently cover SODNET's activities at both the national and local levels. It also liaises with a number of NGOs working on similar issues.

Results and Impact	*How inclusive was the intervention?*	The initiative mobilizes the targeted groups, builds their capacity to understand the budget process, and equips them with basic audit techniques and information. The groups do the budget monitoring themselves and submit quarterly reports. They also participate in their local budgetary process and examine budgetary allocations and use.
	Participation	SODNET's initiative targets the poor and marginalized, and is thus oriented toward rural populations. The poor participate in the design, implementation, monitoring, and evaluation of the process of public expenditure monitoring.
	What (if any) has been the impact of the initiative? What have been the incentives?	SODNET's activities have provided a way for citizens to engage effectively with other actors. This has allowed citizens to shape social policy processes that influence development planning and resource allocation and use and to monitor public resource management in a way that facilitates government fulfillment of the needs of most people, in particular, the poor.
	Is the methodology or initiative institutionalized?	SODNET works closely with government officials, parliamentarians, other NGOs, and the media on budgetary issues. At the regional level, SODNET is leading the way in consolidating the mandate of SWEAR, a social watch coalition for eastern Africa.
	(If applicable) Has the initiative been scaled up? Repeated?	The initiative started in 3 districts in 1996, but today has chapters in about 16 districts. Demand from SODNET's grassroots constituencies for more intensified popularization of the budget process is continually increasing.
	What were the main outcomes of the social accountability initiative?	• Publishing and distributing the booklet *Understanding of the Budgetary Process in Kenya*, which advocates participation in the budget process and proper utilization of public resources • Developing budget monitoring mechanisms that are now being used by a cross-section of stakeholders across the country • Building stakeholders' capacity to share critical budget allocation issues that need to be monitored with the general public • Empowering social groups to participate in, influence, and monitor the government's commitment to the governance implications of the PRSP and medium-term expenditure framework processes • Strengthening NGOs' regional networks able to sensitize civil society to monitor budget allocations and use
	Bottlenecks and problems: what difficulties did the agency or NGO face and how did it resolve them?	• Resources to continue scaling up the initiative and sustaining engagement • Diminishing capacity of the state to substantially influence social policy • Wide variety of actors and interests that shape the social development agenda • Gender disparities with respect to accessing social development resources • Government resistance to and slow understanding of citizen participation SODNET's responses to the above challenges includes the following: • Seeking and bringing on board new strategic partners, particularly those that can add value to the budgetary process • Reaching out to address community-driven concerns with good governance and equitable allocation and prudent use of public resources • Constructive engagement with other sectors, that is, the state and the private sector • Questioning the extent to which the free market of a democratic state can address the critical issues of poverty in Kenya without social policy intervention
Further Reference	*Web sources*	http://www.sodnet.or.ke http://www.socialforum.or.ke
	Documents and Reports	Understanding the Budget Process in Kenya Corruption: A Survey of the extent and attitudes towards corruption in service delivery: Education, Health, Land, Judicial Service and Police Force. Workshop Reports The Cost of Globalization Annual Reports, 1997–present

	Resource Persons/Contacts	Bonfas Oduor-Owinga, Program Officer, Social Development Network Tel.: 254-20-2713262/2712646 E-mail: owinga2000@yahoo.com, sodnet@sodnet.or.ke

EDUCATION BUDGET MONITORING:
MALAWI

Methodology Type	Participatory Budget and Expenditure Tracking

Basic Information	*Name of Intervention*	Budget Monitoring Survey
	Primary Agency Running the Intervention	Civil Society Coalition for Quality Basic Education (CSCQBE)
	Location	Lilongwe, Malawi
	Sector or Level of Focus	Basic education sector
	Type of Engagement	The survey is carried out once a year, but the engagement of policy makers for change is continuous.

Context and Scope	*What is the driving force behind the initiative?*	The quality of education in schools, particularly in the basic education sector, has shown a general decline since the introduction of universal primary education in 1994. Budget monitoring activities started in 2001 to hold the government accountable for its actions and show whether resources allocated to the education sector actually reach and benefit the intended beneficiaries, especially the poor and marginalized.
	What are the main objectives and what key accountability problems does it seek to address?	The CSCQBE's mission is to achieve measurable change in the quality of basic education by 2015 by supporting and influencing the implementation of government policies in education. The main objective is to monitor and analyze the government budget to improve government accountability and responsiveness to the needs of the poor and the provisions of the Malawi PRS.
	Who is the target audience or demographic focus?	Government ministers, parliament, donors, civil society, local communities; the demographic focus includes, in particular, children with special needs, girls, teachers, and rural schools
	What is the political culture or environment?	Malawi has been a multiparty democracy since 1994 following 30 years of a one-party dictatorship. Freedoms including freedom of association and freedom of the press.

Tools and Methodologies Used	*What specific social accountability tools and methodologies are being used?*	Structured interviews based on survey questionnaires and desk research
	Briefly describe the methodology/methodologies or tools used.	Questionnaires are developed in the areas of teacher training, teacher salaries, teacher and school inspections, and teaching and learning materials, which are priority poverty expenditures in the education sector. The CSCQBE's member organizations administer the questionnaires to a random sample of schools and teacher training colleges. Data from the filled-in questionnaires are analyzed and compared with the government budget. A report on education policy is prepared and key findings and recommendations are highlighted for advocacy with the government, parliamentary education and budget committees, and donors and other partners.
	What advocacy and media activities support the initiative?	Lobbying meetings with the government, donors, and parliamentary committees; production of newspaper inserts, publication of press releases, press conferences
	How inclusive was the intervention?	The nature of the intervention makes active participation by the targeted audience from the planning to the implementation stages difficult; however teachers participate by responding to the questionnaires, and CSOs that represent youth, teachers, girls, and marginalized children participate in administering questionnaires and in lobbying meetings.
	Participation	Currently the poor themselves do not take part in monitoring the budget, but the initiative is expanding to allow for school-based budget monitoring by communities. To this end, the CSCQBE is establishing district networks that will build the capacity of community-level structures such as school management committees and parent-teacher associations to conduct budget monitoring in schools and districts.

Results and Impact	*What (if any) has been the impact of the initiative? What have been the incentives?*	• Increased government allocations to priority areas in education, such as teaching and learning materials, teacher training, inspection, and teachers' welfare • Government challenged to account for public resources
	Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities and so on? Describe.	This initiative has become part of the annual work of civil society, and the creation of more structures at the district and community levels in the future will perpetuate the initiative at lower levels. As a result of civil society work, the government has come up with a public expenditure tracking survey program, to monitor its expenditures. The first such program is in the education sector and civil society representatives have been included in the survey management team. Civil society networks in education, health, agriculture, and the economy are also institutionalizing budget monitoring work, which means continuous monitoring of expenditures in the foreseeable future.
	(If applicable) Has the initiative been scaled up? Repeated?	The initiative has been carried out annually since 2001. The CSCQBE would like to scale up so that it could move to a semiannual or quarterly basis.
	What were the main outcomes of the social accountability initiative?	• Increasing communities' sensitization to and awareness of priority areas in the education sector • Holding the government to account for public expenditures • Increasing interaction between civil society and government • Widening civil society's space in the democratic process
	Bottlenecks and problems: what difficulties did the agency or NGO face and how did it resolve them?	• In 2001/2, the government did not accept the findings of the monitoring because of the small size of the school sample, but since 2003 the sample has more than doubled and sampling has been carried out with the advice of the government's statistics body. • As the civil society concept is new, some senior government officials have been resistant to the CSCQBE initiative; however, with more civic education and with donor support, the government has come to realize the importance of partnering with CSOs in service delivery and policy monitoring. Parliamentary committees have always welcomed the initiative, as it provides parliament with facts and figures for assessing the accountability of government ministries.
Further Reference	*Documents and Reports*	Budget Monitoring Report, annual
	Resource Persons/Contacts	Coalition Coordinator (Attention: Limbani Nsapato), CSCQBE, Arwa House, City Centre, Box 30736, Lilongwe 3, Malawi Tel.: 265-01-773-624. E-mail: cscqbe@sdnp.org.mw

ENHANCING THE CAPACITY OF CIVIL SOCIETY IN PRSPBUDGET MONITORING:
MALAWI

Methodology Type	Participatory Budget and Expenditure Tracking

Basic Information	*Name of Intervention*	Enhancing the Capacity of Civil Society in PRSP/Budget Monitoring
	Primary Agency Running the Intervention	Malawi Economic Justice Network (MEJN), a coalition of CSOs committed to poverty reduction through equitable socioeconomic opportunities
	Location	Lilongwe, Malawi, with district chapters in all 27 districts
	Sector or Level of Focus	Economic governance
	Type of Engagement	Continuous

Context and Scope	*What is the driving force behind the initiative?*	The objective is to enhance the capacity of civil society to effectively participate in national economic activities and to promote economic justice
	What are the main objectives and what key accountability problems does it seek to address?	• Strengthening the coordination of civil society monitoring • Analyzing and enhancing pro-poor actions through budget participation, impact and outcome monitoring, policy analysis, research, and interpretation • Ensuring effective dissemination and understanding of monitoring findings and of the implementation of other economic policies to engender policy change
	Who is the target audience or demographic focus?	Government, parliament, donors, civil society, local communities, citizens, and other key stakeholders at the national and local levels
	What is the political culture or environment?	Young democracy with weak, and sometimes lacking, checks and balances in public finance management systems, but improving in terms of the redirection of the democratization process as well as of democratic values and traits

Tools and Methodologies Used	*What specific social accountability tools and methodologies are being used?*	• As part of developing tools for economic and budget literacy, the MEJN simplifies technical materials, such as the national budget and the Malawi PRSP. These are disseminated to citizens through MEJN chapters, national MEJN members, members of parliament, government officials, and donors. • Participatory research and monitoring and service delivery satisfaction surveys (SDSSs). • Budget participation initiative and budget analysis and popularization. • Civil society manifesto dissemination (promotion of content-based general elections), capacity building, and literacy forums.
	Briefly describe the methodology/methodologies or tools used.	• Three main areas of engagement: (a) as a bridge between civil society and government, (b) to build the capacity of civil society in economic and budget literacy to enable citizens to make informed contributions, and (c) to enhance advocacy and the lobbying of decision makers to advance citizens' interests • Tools used are civil society training manuals, economic literacy modules, simplified documents, newspaper inserts, audio tapes and CDs, radio and television
	What advocacy and media activities support the initiative?	Electronic and print media, media dissemination campaigns (targeted workshops and press conferences), national stakeholders' launches, networking strengthening by means of feedback sessions with and across stakeholders
	How inclusive was the intervention?	The feedback sessions bring users and service providers together to interact and develop a common approach toward better services. The surveys take into consideration such aspects as gender through the integrated gender approach of the household-level sampling framework. The dissemination and training seminars emphasize gender integration in participation and involvement. Phone-in programs give citizens a wider opportunity for input into the policy process.
	Participation	Citizens' participation is encouraged through strong program linkages, that is, capacity building in relation to citizens' roles and responsibilities. Several training seminars and workshops with members of civil society have taken place.

	Other important information or comments	The MEJN works closely with established sector-specific sister networks and with local CSOs, thereby maximizing coverage and impact.
Results and Impact	*What (if any) has been the impact of the initiative? What have been the incentives?*	• Establishing the MEJN as civil society's voice on economic governance issues through its involvement in coordinating and facilitating increased civil society and community participation in the national budget process and the PRSP • Playing the leading role in advocacy and lobbying policy makers and the donor community on important national issues and in providing critical information to stakeholders • Undertaking effective budget analysis and improving citizens' access to budget documents • Increasing the demand for training to understand the economy from partner institutions such as the church • Engaging in consistent advocacy at crucial times, such as parliamentary budget sessions and government trade negotiations, and advocating for pro-poor budget allocations, fair trade, and so on • Heightening citizens' interest in and enthusiasm for participating in economic governance issues and in public debates about legislation
	Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities and so on? Describe.	The success story of the MEJN's emergence continues to grow beyond the confines of Malawi as manifested through exercises such as the SDSSs, which have attracted calls for institutionalization by all stakeholders including the government. Most important, the constructive criticism that follows from alternative suggestions and solutions encourages a good working relationship with the government, parliament, and other crucial stakeholders and corporate partners.
	(If applicable) Has the initiative been scaled up? Repeated?	The long-run goal is that by the end of the implementation period of the monitoring program and the PRSP, the SDSS reports contribute to annual and comprehensive reviews from the perspective of citizens. This justifies further increasing the sample of districts from 6 in SDSS I to 10 in SDSS II with a further possibility of involving a larger number of representative districts.
	What were the main outcomes of the social accountability initiative?	The initiative was a springboard for more proactive advocacy and for recognition and acceptance by key stakeholders that civil society is well placed and necessary for successful implementation of policies of national interest.
	Bottlenecks and problems: what difficulties did the agency or NGO face and how did it resolve them?	• Civil society has welcomed participation in processes previously reserved for government officials and donors. Previously economic governance was an area in which civil society did not participate, and some quarters of government still feel uncomfortable about opening up government to critique by civil society. • Follow-up on the PRSP process by increasing CSOs' capacity to monitor PRSP implementation has been a major challenge.
Further Reference	*Web sources*	• Web site of the MEJN: http://www.mejn.org.mw • Web site of the Southern Africa Regional Poverty Network: http://www.sarpn.org.za • African Forum and Network on Debt and Development: www.afrodad.org
	Documents and Reports	Service Delivery Satisfaction Survey (SDSS) report (2003) MEJN/AFRODAD. Loan Contraction Process in Africa: Case for Malawi (2004) Civil Society Manifesto: Content-based Elections, (2004)
	Resource Persons/Contacts	Collins Magalasi, Executive Director, or Dalitso Kubalasa, Program Manager Malawi Economic Justice Network, Amina House (Off Chilambula Road - Second Floor), P.O. Box 20135, Lilongwe 2, Malawi Tel.: 265-1-75-0533 Fax.: 265-1-75-0098 E-mail: mejn@sdnp.org.mw, cmagalasi@mejn.mw, magalasicol@yahoo.co.uk, dkubalasa@mejn.mw, dalitsokubalasa@yahoo.co.uk

INDEPENDENT NATIONAL BUDGET ANALYSIS:
NAMIBIA

Methodology Type	Independent Budget Analysis and Advocacy

Basic Information	*Name of Intervention*	Independent National Budget Analysis
	Primary Agency Running the Intervention	Institute for Public Policy Research (IPPR)
	Location	Windhoek, Namibia
	Sector or Level of Focus	National budget
	Type of Engagement	Continuous

Context and Scope	*What is the driving force behind the initiative?*	Historical lack of analysis within and outside the government
	What are the main objectives and what key accountability problems does it seek to address?	Assessing whether the budget meets stated policy objectives and providing accessible information and analysis to policy makers and the general public on budget issues
	Who is the target audience or demographic focus?	Parliament, donors, civil society, local communities, and the general public
	What is the political culture or environment?	Emerging democracy in a dominant party state

Tools and Methodologies Used	*What specific social accountability tools and methodologies are being used?*	General budget commentary produced by applying general economic principles with analysis of budget trends to assess the extent to which the budget is being used to meet national development objectives
	Briefly describe the methodology/methodologies or tools used.	Use of information contained in budget documents and application of general economic principles
	What advocacy and media activities support the initiative?	There is media coverage of the research produced but not for specific lobby groups.
	How inclusive was the intervention?	No mobilization of anyone.
	Participation	No participation by anyone outside the IPPR.
	Other important information or comments	The IPPR produces information and analysis for use by anyone, including the government.

Results and Impact	*What (if any) has been the impact of the initiative? What have been the incentives?*	The government has taken up many of the recommendations contained in the budget analysis, for example, three-year rolling budget, fiscal targets, disclosure of contingent liabilities, future projections, and improvement of budget documents and data.
	Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities and so on? Describe.	The IPPR's research is read and even used by the government, but is not institutionalized in any sense. The IPPR makes its presentations to parliament after budgets are presented to parliament.
	(If applicable) Has the initiative been scaled up? Repeated?	No

	What were the main outcomes of the social accountability initiative?	The IPPR only produces general commentary on the national budget, as only one person does the analysis.
	Bottlenecks and problems: what difficulties did the agency or NGO face and how did it resolve them?	The main problem is that the government itself lacks the capacity to undertake analysis and research and feed the results back into the budget process.
Further Reference	*Web sources*	http://www.ippr.org.na
	Resource Persons/Contacts	Robin Sherbourne, robin@ippr.org.na

AFRICA BUDGET PROJECT:
SOUTH AFRICA

Methodology Type	Independent Budget Analysis and Advocacy

Basic Information	Name of Intervention	Budget Transparency, Participation, and Accountability
	Primary Agency Running the Intervention	Africa Budget Project at the Budget Information Service of the Institute for Democracy in South Africa
	Location	Multicountry African initiative that includes Botswana, Burkina Faso, Ghana, Kenya, Namibia, Nigeria, South Africa, Uganda, and Zimbabwe
	Sector or Level of Focus	All spheres of government
	Type of Engagement	Continuous

Context and Scope	What is the driving force behind the initiative?	The key idea behind the study was to look at budget transparency, participation, and accountability from the viewpoint of ordinary citizens and the legislature and ask what information they would need to assess the link between policy priorities, spending, and services, or, in other words, what is required to engage meaningfully with budget and other decisions about the management of public resources.
	What are the main objectives and what key accountability problems does it seek to address?	• To identify major weaknesses in the budget process that constitute impediments to transparency, accountability, and participation • To build civil society's capacity for research and analysis • To provide citizens, researchers, and international institutions with an independent and credible assessment of the budget process that also allows it to be compared to similar assessments for other countries in Africa
	Who is the target audience or demographic focus?	Civil society, NGOs, the legislature, the government, the media, and independent budget and/or public finance analysts
	What is the political culture or environment?	Democratic governments with specific country dynamics

Tools and Methodologies Used	What specific social accountability tools and methodologies are being used?	Case study methodology involves conducting interviews and undertaking desk-based research. Tools include semistructured questionnaires, literature reviews, and audits of budget documentation.
	Briefly describe the methodology/methodologies or tools used.	The study framework covers the following: • Budget process: transparency of the drafting process, of the legislative phase of the budget process, during implementation of the budget, and during the audit phase • Three aspects of transparency: availability of information, clarity of roles and responsibilities, availability of systems and capacity to generate information and use the information to produce better budgetary outcomes • Strength of the transparency system, which concerns the legal framework and the difference between the framework and practice • Specific issues: extrabudgetary activities, donor funding, civil society participation, country-specific issues
	What advocacy and media activities support the initiative?	News coverage, publishing of newspaper and shorter research articles, lobbying with other CSOs
	How inclusive was the intervention?	Relies on CSOs to reach out to various other stakeholder groups
	Participation	Intervention builds the analytic and research capacity of participating country team members. Research teams consist of representatives from CSOs and academia.

Results and Impact	*What (if any) has been the impact of the initiative? What have been the incentives?*	As this is a multicountry initiative, its impact differs across the nine participating countries. Overall, however, the study facilitated • greater awareness of budgetary issues in relation to transparency, participation, and accountability; • increased research and analytic capacity of participating organizations; • improved civil society participation in the budget decision-making process; • better understanding of the theory and practice of fiscal transparency; • participation in budget reform issues.
	Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities and so on? Describe.	Partnership only with CSOs, independent budget specialists, and international institutions (the International Budget Project)
	(If applicable) Has the initiative been scaled up? Repeated?	The hope is to update the existing participating country studies and include four or five new countries every two years.
	What were the main outcomes of the social accountability initiative?	• Analyzing the budget process to make explicit systematic shortfalls in transparency provisions and practices • Ensuring civil society's active participation as members of the research team, but also as participants in reference group meetings • Generating clear recommendations from civil society
	Bottlenecks and problems: what difficulties did the agency or NGO face and how did it resolve them?	• Supporting high costs • Dealing with Staff turnover within organizations • Obtaining access to budget-related information • Securing appointments to conduct interviews

Further Reference	*Web sources*	http://www.idasa.org.za
	Documents and Reports	Transparency and Participation in the Budget Process: South Africa a country report. Budget Transparency and Participation: Five African Case Studies: Ghana, Kenya, Nigeria, South Africa and Zambia. Transparency and Participation in the Budget process: Zambia, a country report. Budget Transparency and Participation: Nine African Case Studies: Botswana, Burkina Faso, Ghana, Kenya, Namibia, Nigeria, South Africa, Uganda and Zambia. La transparency et la participation dans le processus budgétaire. Burkina Faso, Une étude de cas.
	Resource Persons/Contacts	• Botswana: Molefe B. Phirinyane, Research Fellow, Botswana Institute for Development Policy Analysis • Burkina Faso: Augustin Loada, Executive Director, Center for Democratic Governance • Ghana: Vitus A. Azeem, Centre for Budget Advocacy, Integrated Social Development Centre • Kenya: Albert Mwenda, Institute for Economic Affairs; Bonfas Oduor-Owinga, Social Development Network • Namibia: Daniel Motinga and Robin Sherbourne, Institute for Public Policy Research • Nigeria: Oshuwa Gbadebo-Smith, Managing Consultant, Harriet Davidson Consulting • South Africa: Marritt Claassens, Manager, Africa Budget Project, Institute for Democracy in South Africa • Uganda: Daisy Owomugasho, Uganda Debt Network • 9. Zambia: Inyambo Mwanawina, University of Zambia; Kufekisa M. Akapelwa, Catholic Commission for Justice and Peace.

PERFORMANCE MONITORING PROGRAM:
SOUTH AFRICA

Methodology Type	Participatory Performance Monitoring

Basic Information	*Name of Intervention*	Performance Monitoring Program
	Primary Agency Running the Intervention	Public Service Accountability Monitor (PSAM), an independent, nonpartisan research and advocacy institute
	Location	Rhodes University, Eastern Cape Province, South Africa
	Sector or Level of Focus	Provincial government departments with a focus on service delivery departments, that is, health, education, welfare, public works, housing, and finance
	Type of Engagement	Continuous

Context and Scope	*What is the driving force behind the initiative?*	The initiative was borne out of concerns about failed public service delivery, poor financial management, and weak accountability in provincial governments' use of funds. South Africa's provinces administer around 60 percent of budgeted expenditure.
	What are the main objectives and what key accountability problems does it seek to address?	The main objective is to produce information to enable civil society and parliamentary oversight bodies to hold the executive and public officials to account for their management of public resources and delivery of public services. The key accountability problems are weak parliamentary oversight; lack of public participation in budgetary processes and oversight; and failure to ensure corrective action in response to public sector misconduct, maladministration, and corruption.
	Who is the target audience or demographic focus?	CSOs; parliamentary oversight bodies, for example, standing committees of the legislature; constitutional bodies, for example, the auditor-general; the media; and the general public
	What is the political culture or environment?	Formal constitutional democracy with weak public accountability, poorly developed democratic institutions, and poor public participation processes

Tools and Methodologies Used	*What specific social accountability tools and methodologies are being used?*	• Customized database linked to a public access Web site • Publication of monitoring briefs and in-depth reports on specific issues • On-site monitoring of selected public services and scorecard evaluation • Timed strategic interventions in budget planning, expenditure, reporting, and oversight processes and recommendations to relevant state bodies • Press statements and weekly newspaper column • Coordination of provincial NGOs in relation to public service and socioeconomic rights
	Briefly describe the methodology/methodologies or tools used.	• Capturing information from official documents—including strategic plans, budget speeches, and annual reports—into a customized database • Evaluating financial and strategic planning using a strategic planning template to compare the quality of strategic plans with statutory requirements • Drawing up monitoring briefs, that is, short reports on budgeting, resources, planning, and service delivery by government departments • Conducting on-site inspections of selected public facilities to monitor service satisfaction and the quality of service delivery to evaluate the overall accountability and performance of provincial government departments • Drawing up a gradable scorecard

	What advocacy and media activities support the initiative?	- Sharing findings with the Eastern Cape Human Rights Working Group and presenting joint inputs to provincial legislatures - Coordinating joint advocacy initiatives pertaining to socioeconomic rights via the Eastern Cape Human Rights Working Group (meetings convened quarterly by PSAM) - Undertaking constant dissemination of materials via PSAM's Advocacy and Communications Program, including a weekly newspaper column, regular press releases, and opinion pieces - Liaising with parliamentary oversight committees and the auditor-general - Sharing findings with issue-based CSOs, for example, working with HIV/AIDS lobbying groups on the findings of an in-depth study of the Eastern Cape's budget planning and expenditures for HIV/AIDS
	How inclusive was the intervention?	Findings are reported to government departments, parliamentary oversight committees, and CSOs. All findings are disseminated via the Web, media, and publications.
	Participation	The intervention focuses on making otherwise inaccessible information easy for CSOs and the general public to access and understand. The initiative has been asked to present its findings at the provincial and national levels, has held workshops on its findings at the local and national levels, and has undertaken joint advocacy and lobbying with issues-based CSOs.
Results and Impact	*What (if any) has been the impact of the initiative? What have been the incentives?*	- Improving the research and analytic capacity of partner CSOs - Increasing civil society participation in the budget cycle monitoring process - Being asked to help the treasury of the Eastern Cape province to monitor fiscal discipline in the province - Researching public expenditure, financial management, and accountability of government departments at the request of the Eastern Cape legislature - Undertaking on-site inspections of social grant payment facilities, resulting in an investigation of service levels and recommendations by the legislature's Welfare Oversight Committee - Having the provincial government acknowledge the existence of financial management weaknesses and planning deficiencies consistently highlighted by the program
	Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities and so on? Describe.	- Institutional linkages with parliamentary and constitutional bodies and CSOs on a bilateral basis and on a collective basis via the Eastern Cape Human Rights Working Group - Linkages with the media via a weekly newspaper column on accountability issues and updates on PSAM's findings
	(If applicable) Has the initiative been scaled up? Repeated?	Ongoing; currently refining monitoring methodology for potential replication
	What were the main outcomes of the social accountability initiative?	- Improved financial management and financial reporting in the Eastern Cape - Enhanced accountability of politicians and public servants in the Eastern Cape - Improved awareness of constitutional obligations, transparency, and accountability relationships by CSOs and the general public in the Eastern Cape

	Bottlenecks and problems: what difficulties did the agency or NGO face and how did it resolve them?	• Lack of access to information • Intransigence by public service officials and politicians • Politicization of monitoring work and suspicion by public service managers Solutions: Extensive use of legislation on access to information and of rigorous and objective methodology combined with a nonpartisan approach. Other general bottlenecks: • The program was initially too ambitious and its goals were sometimes unrealistic. • The program attempted to capture too much technical and official data, which led to a unwieldy database with too many datafields and required extensive editing. • The scope of monitoring was too broad and the program has subsequently been limited to key service delivery departments.
Further Reference	*Web sources*	www.psam.org.za
	Documents and Reports	Government Corruption Seen from the Inside, 2002 Know Your Rights, 2003 The Crisis of Public Health Care in the Eastern Cape, 2004

	Resource Persons/Contacts	• Colm Allan, Director, PSAM
		  Tel.: 27-46–603-8377
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CAPACITY BUILDING FOR CSOs FIGHTING AGAINST CORRUPTION: TANZANIA

Methodology Type	Participatory Budget and Expenditure Tracking

Basic Information	*Name of Intervention*	Capacity Building for CSOs Fighting against Corruption
	Primary Agency Running the Intervention	A consortium of eight NGOs led by the Leadership Forum and funded by the United Nations Development Programme. The other members are the Tanzania Gender Networking Programme, the Tanzania Association of Non-Governmental Organizations, the Campaign for Good Governance, the East African Youth Council, the Youth Partnership Countrywide, the African Youth Development Foundation, and the Tanzania Women and Youth Development Society.
	Location	Dar es Salaam, Morogoro, and Tanga regions
	Sector or Level of Focus	Delivery of social services (education, health, justice) at the district level
	Type of Engagement	Engagement began in July 2004 in three regions. The intent is to replicate it in other regions until it reaches the entire country.

Context and Scope	*What is the driving force behind the initiative?*	Social services are not easily or freely accessible to poor people, especially in rural areas, because of corruption. Recognizing the magnitude and intensity of corruption, CSOs decided to complement government efforts in implementing the National Anticorruption Strategy and Action Plans
	What are the main objectives and what key accountability problems does it seek to address?	• To enhance CSOs' capacity to demand delivery of quality social services by local government authorities • To demand transparency and openness in relation to service delivery
	Who is the target audience or demographic focus?	CSO leaders at the district level
	What is the political culture or environment?	Democratic, but weakened by corruption and with a historical background of a socialist, one-party state for more than 20 years

Tools and Methodologies Used	*What specific social accountability tools and methodologies are being used?*	• Training workshop on capacity building and enhancement • Research • Media reporting and newspaper cutting • Lobbying and advocacy for legal reform to address corruption in the electoral process • Capacity building on investigative reporting for journalists • Training manual development
	Briefly describe the methodology/methodologies or tools used.	• Conducting a methodological workshop for researchers who visited the districts and agreed on a questionnaire to be used to collect data during the capacity needs assessment exercise • Assessing capacity needs in 14 districts in Dar es Salaam, Morogoro, and Tanga. • Compiling a report that will inform the training manual and lead to three regional training workshop sessions that will bring together CSO leaders from the respective districts • Holding a training workshop session on investigative reporting • Compiling and analyzing media reports on corruption on a monthly basis from July 2004 onward • Monitoring and evaluating the performance of CSO leaders and journalists trained under the program • Providing position papers and policy briefs in support of recommendations for policy and legal reforms

	What advocacy and media activities support the initiative?	Since the launching of the consortium and the program, the media have been part of the process. Media representatives will be invited to the launch of the capacity needs assessment report and some journalists will be trained in investigative reporting. Since the launch of the initiative, a number of journalists have written about it.
	How inclusive was the intervention?	The intervention is selective in nature, working with CSOs that are believed to be fighting against corruption because of the work they do on a day-to-day basis.
	Participation	Of the many actions taken in the fight against corruption in Tanzania, this one is unique, because it has pulled together eight organizations, both strong and weak, large and small, to work together.
Results and Impact	*What (if any) has been the impact of the initiative? What have been the incentives?*	The initiative is still ongoing, and therefore its impact is not yet obvious; however, the media have reported on corruption and noted that CSOs have decided to take serious steps to address it.
	Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities and so on? Describe.	The National Anticorruption Strategy and Action Plans recognize the role of CSOs in fighting against corruption and the role that the media can play. The government intends to review some laws and enact new laws on the protection of witnesses and whistle-blowers. Members of parliament have an organization that fights against corruption.
	(If applicable) Has the initiative been scaled up? Repeated?	The training workshops sessions and evaluation were completed in December 2004 and the consortium was hoping to scale up the initiative in January 2005 and extend it to four more regions: Iringa, Mbeya, Rukwa, and Ruvuma
Further Reference	*Web sources*	http://theleadership.tripod.com/
	Documents and Reports	Presentation by Benitho L. Mandele during the methodological workshop, a draft report on the capacity needs assessment.
	Resource Persons/Contacts	Hebron Mwakagenda, Executive Director

GENDER BUDGETING INITIATIVE: TANZANIA

Methodology Type	Independent Budget Analysis and Advocacy

Basic Information	*Name of Intervention*	Gender Budgeting Initiative (GBI)
	Primary Agency Running the Intervention	Tanzania Gender Networking Programme, intermediary gender networks, outreach groups, and Feminist Activism Coalition
	Location	Tanzanian mainland and Zanzibar
	Sector or Level of Focus	National education, health, water, and local government sectors
	Type of Engagement	Continuous

Context and Scope	*What is the driving force behind the initiative?*	• The country's policy, legal, and budget framework is among the most patriarchal in the history of Africa • The low level of awareness of gender budgeting and other methodologies pertaining to equitable resource mobilization and allocation
	What are the main objectives and what key accountability problems does it seek to address?	• Equitable resource allocation and redistribution to reduce inequities in terms of gender, class, age, race, domicile, and so on • Creation of a policy framework whereby Tanzanians can participate equitably in the development process
	Who is the target audience or demographic focus?	Marginalized and impoverished groups, such as women, youth, the disabled, people with HIV/AIDS, poor men, and the elderly
	What is the political culture or environment?	Democratic, but weakened by corruption and with a historical background of a socialist, one-party state for more than 20 years

Tools and Methodologies Used	*What specific social accountability tools and methodologies are being used?*	• Gender budgeting tracking tools and models • GBI campaign concept note • Gender budgeting manuals
	Briefly describe the methodology/methodologies or tools used.	The GBI's campaign to return resources to the people is the rallying framework around which gender budgeting training, lobbying, awareness raising, advocacy, and information dissemination are implemented and for which the following methodologies and tools are used: • policy analysis and engagement; • budget review, analysis, and tracking; • pilot studies on gender-sensitive budgets; • lobbying and advocacy to influence national and local government budgets.
	What advocacy and media activities support the initiative?	The gender festival, gender and development seminars, campaign task teams, and ad hoc campaign activities such as press releases and conferences promote awareness of the gender budgeting initiative. The recent introduction of Feminist Activism Coalition radio should further improve matters.
	How inclusive was the intervention?	The GBI campaign brings together various groups of Tanzanian society, including youth groups, rural women groups, intermediary gender networks, women's production and economic societies, academia, CSOs, people living with HIV/AIDS, workers' unions, the disabled, farmers, pastoralists, and other rural societies.
	Other important information or comments	The GBI is a new intervention that has had a number of successes, including being accepted by decision-making authorities both in local and central government, donors, parliamentarians, CSOs, and the business community.

Results and Impact	*What (if any) has been the impact of the initiative? What have been the incentives?*	One of the most notable impacts of the GBI has been the high demand from various stakeholders who want to learn more about the initiative, including how to undertake budget tracking.

	Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities and so on? Describe.	since its inception, the GBI has involved a number of stakeholders as targets, planners, implementers, or evaluators of the initiative. Groups such as parliamentarians, NGOs, faith-based groups, the media, CBOs, and opinion makers have been part of the initiative. This ensures a high level of sustainability for the initiative.
	(If applicable) Has the initiative been scaled up? Repeated?	Since the start of GBI phase II, there has been demand for the initiative from communities, including for some of GBI's substrategies, such as mini gender and development seminars at various community locations.
Further Reference	*Web sources*	http://www.tgnp.org
	Documents and Reports	GBI campaign concept note, 2004/5 Tanzania budget review from a gender perspective
	Resource Persons/Contacts	Mary Rusimbi (Executive Director) Tel.: 255-22-244-3205/244-3450/244-3286, Fax.; 255-22-244-3244 E-mail: info@tgnp.org

MONITORING FINANCES IN EDUCATION: TANZANIA

Methodology Type	Participatory Performance Monitoring

Basic Information		
	Name of Intervention	Monitoring Finances in Education: A Study of Financing for School Committee Training and In-Service Teacher Training
	Primary Agency Running the Intervention	Tanzania Education Network (TEN/MET)
	Location	Arusha, Dar es Salaam, Kagera, Kilimanjaro, Mwanza, Pwani, and Shinyanga regions
	Sector or Level of Focus	Education sector
	Type of Engagement	Continuous

Context and Scope		
	What is the driving force behind the initiative?	Tanzania is currently implementing its ambitious and challenging Primary Education Development Plan, part of the overall Education Sector Development Programme, aimed at fulfilling the Education for All declaration and the Tanzania PRS commitment to eradicate poverty. A series of policies and reforms aim at ensuring that all eligible children will have access to equitable, good-quality education, especially primary education. The Primary Education Development Plan was prepared by means of a consultative process involving the government and stakeholders in the education sector, including bilateral and multilateral organizations, (NGOs, and CBOs. TEN/MET carried out the study to promote increased allocation of funds to education and improved use and management of public funds. It focused on funds for training school committees and in-service teacher training on the basis of its longstanding experience in the education sector and comparative advantage of understanding dynamics at the community level.
	What are the main objectives and what key accountability problems does it seek to address?	TEN/MET would like to see a Tanzania in which all people, especially children, enjoy access to participatory, meaningful learning opportunities in order to realize their full potential and to enhance social integration. TEN/MET works with NGOs and CBOs to influence education policies and practices to promote accountability and to ensure that all people have access to meaningful learning without discrimination. Thus the main objectives are to increase the allocation of funds to education, improve the use and management of public funds, and ensure that spending is taking place as allocated, with a view to improving the quality of education. TEN/MET wants to ascertain the extent to which • funds allocated for capacity development of school committees and in-service teacher training at the national level are disbursed to the district level and from there to schools, that is, tracking budget inputs; • spending is taking place as planned; • training is having an impact on local resource management, governance, accountability at the school level, teaching quality, and the overall quality of education.
	Who is the target audience or demographic focus?	Primary schools in the regions listed
	What is the political culture or environment?	Democratic, multiparty system with poor governance; strong links between CSOs and communities

Tools and Methodologies Used		
	What specific social accountability tools and methodologies are being used?	Two members of the TEN/MET coalition developed a research tool that was tested and then amended as a result of the first trial outcomes.

	Briefly describe the methodology/methodologies or tools used.	The strategy was developed at a workshop involving NGO members of the coalition. Training was provided so that participants could understand public expenditure management and the basics of budgeting in education. Participants then selected school committee training and in-service teacher training as the key areas in which individual organizations and TEN/MET collectively had expertise. The selection of the schools was left to the fieldworkers, who lobbied their respective district councils to allow district education officers to collaborate with the fieldworkers. The tool includes questions about disbursements made to schools by quarter, how much citizens know about it, and whether the training provided meets the needs of school committees.
	What advocacy and media activities support the initiative?	• Report for the periodical public expenditure review that was also presented to the government and donors during the first review of the Primary Education Development Plan • Newsletters • Workshops for education stakeholders at all levels (national, district, and community) to present the results and discuss the role of each group of actors included in the process
	How inclusive was the intervention?	Education stakeholders at all levels are included in the study.
	Other important information or comments	TEN/MET members are concerned about making the education system play its full role in the struggle against ignorance, disease, and poverty. This means that adequate funds must be allocated to the sector as a whole and that they must be disbursed effectively and accounted for.
Results and Impact	*What (if any) has been the impact of the initiative? What have been the incentives?*	• Transparency and access to information are problematic. In some cases, verbal and policy commitments to transparency and accountability do not materialize in practice when individual officers are unwilling or unable to provide the needed information. TEN/MET recommends that information of public interest, such as that on resources for development, capitation, and capacity-building funds, be published on notice boards in district offices. • Information enabling tracking of inputs from the national to the district to the school level is not available in a readily understandable format and acquiring useful data requires persistence. TEN/MET recommends that budget lines should closely reflect activities to be carried out. • Funds for capacity building and in-service teacher training are held at the district level and decisions about their use are made with little involvement from schools. TEN/MET recommends that school committees and teachers should be more involved in identifying and meeting training needs. • Information about the cost-effectiveness of the different modalities for delivering training is lacking. TEN/MET recommends undertaking a study, possibly through the public expenditure review processes or coordinated by Prime Minister's Office Regional Administration and Local Government to help districts learn the lessons of their different practices.
	Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities and so on? Describe.	• TEN/MET has worked to ensure that information from the grassroots level is fed into the national level and has also engaged in advocacy work to raise awareness from the family level to the international level by sharing best practices and knowledge about the needs of marginalized groups. An example of this was during the Global Campaign for Education Week coordinated by the Maadili Centre, a local NGO member. • TEN/MET has analyzed the budget for capitation and development grants allocated to different districts. • NGOs who are members of TEN/MET were part of the process of formulating the original budget for the Primary Education Development Plan, thus there is a strong linkage with the government in relation to policy planning.
	(If applicable) Has the initiative been scaled up? Repeated?	The initiative is ongoing..

Further Reference	*Documents and Reports*	TEN/MET Monitoring Finance – September 2003 TEN/MET Strategic Planning 2004-2006
	Resource Persons/Contacts	Tumsifu Mmari, TEN/MET Acting Chair Beatrice Mallya, TEN/MET Program Assistant Rosaline Castillo, TEN/MET Steering Committee Member

POVERTY REDUCTION STRATEGY MONITORING:
TANZANIA

Methodology Type	Participatory Performance Monitoring

Basic Information	*Name of Intervention*	PRS Monitoring
	Primary Agency Running the Intervention	PRS monitoring consortia, which are CSOs working in seven districts with technical and fiscal support from Action Aid Tanzania. These consortia track the extent to which progress is being made by • examining the harmony between national and local-level plans and budgets under the PRS; • looking at the implementation of local-level annual plans (planned inputs and outputs versus actual inputs and outputs); • advocating for pro-poor policies, systems, plans, and budgets; • promoting transparency and accountability.
	Location	Urban: Kigoma, Pemba, and Unguja Rural: Kibondo, Kigoma, Liwale, and Tandahimba
	Sector or Level of Focus	The priority sectors are education, HIV/AIDS, agriculture, food security, governance, rural roads, health, and water. Gender is considered as a cross-cutting issue and is mainstreamed into sector issues. The consortia can select at least three priority sectors in which they are interested out of the seven national priority sectors.
	Type of Engagement	Continuous, starting two–and-a-half years ago in Pemba and Unguja and about a year ago in the other areas.

Context and Scope	*What is the driving force behind the initiative?*	This initiative owes its origin to the Heavily Indebted Poor Countries Debt Relief Initiative initiated in 2001. In Tanzania, this relief went into basic education under the Primary Education Development Plan, as the performance of this sector was experiencing a downward spiral because of limited resources; poor governance; and lack of political commitment, transparency, and accountability. Civil society participation in the monitoring of the Primary Education Development Plan's inputs, outputs, and outcome became mandatory. The first activity was undertaken by the Tanzania Education Network (please refer to the previous template).
	What are the main objectives and what key accountability problems does it seek to address?	The main objectives are to increase active civil society participation in the program cycle, including monitoring and evaluation of the PRS, and to enhance the government's commitment, accountability, and transparency in the planning and delivery of key public services.
	Who is the target audience or demographic focus?	Local and central governments as the main public service providers and communities in the seven areas
	What is the political culture or environment?	A democratic, unified, and multiparty society with increased devolution of power, while at the same time the central and local governments are becoming more proactive and responsive to civil society initiatives, including PRS monitoring

Tools and Methodologies Used	*What specific social accountability tools and methodologies are being used?*	Community scorecards

	Briefly describe the methodology/methodologies or tools used.	A number of CSO representatives have formed consortia and acquired the basic skills for tracking achievements in specific priority sectors. These consortia received training on the PRS and on monitoring, including on the use of community scorecards, which measure both inputs and outputs as indicated in the PRS and the extent to which local government plans to use them to address poverty. Senior officials from local government departments have had opportunities to attend these training sessions. Consortium members go to sample areas, expose communities to the PRS, and let community members identify their priority areas for research and form monitoring committees. These community monitoring committees learn how to fill in the community scorecards and submit them to the budget tracking consortia for analysis. The community scorecards are pretested to check their reliability and validity. Local government officials fill out special community scorecards for self-assessment that report on district-level performance for comparison with community-level assessments. Finally, the district authorities, the main service providers, meet with budget tracking consortia to discuss the way forward.
	What advocacy and media activities support the initiative?	• Holding consultative meetings with stakeholders, including local governments and sector ministries • Getting the media involved • Lobbying by other like-minded, activist, local and international NGOs
	How inclusive was the intervention?	Community scorecards are a popular monitoring and tracking tool among public service beneficiaries and civil society, thus the intervention is inclusive and participatory. In the future, the intervention will have multiplier effects nationally.
	Participation	As noted, monitoring of the PRS with the community scorecards is participatory. It starts with capacity building and is aimed at empowering civil society to exercise its responsibilities and demand accountability and transparency from the government in the delivery of pro-poor programs.
	Other important information or comments	Local and sector ministry officials need to be better informed about the roles, responsibilities, and legitimacy of civil society in relation to PRS monitoring.

Results and Impact	*What (if any) has been the impact of the initiative? What have been the incentives?*	• The findings shared with local government authorities at dissemination meetings have been instrumental in influencing plans and budgets. • The planning process is increasingly becoming more inclusive, responsive, results oriented, and people centered. • The inputs from the consortia during the PRS review were incorporated, albeit not in their entirety, into the review process, which is coordinated by the Vice President's Office. This is likely to influence plans, the budget, and policy in the revised PRS for 2004.
	Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities and so on? Describe.	The methodology has not been institutionalized, but inputs from the consortia are mainstreamed into the centralized participatory poverty assessment system. Institutional linkages and partnerships with NGOs and communities have been growing. Attempts to engage with individual parliamentarians and the media are under way.
	(If applicable) Has the initiative been scaled up? Repeated?	Action Aid Tanzania plans to extend support to three new operational areas. It also plans to explore the possibilities of partnering with another like-minded organization at the national level to increase synergy with local-level PRS work.
	What were the main outcomes of the social accountability initiative?	• Increased grassroots participation in the monitoring and evaluation of community development under the PRS and in demanding government commitment, transparency, and accountability in the delivery of public services • Enhanced local and central government plans, budgets, policies, and systems to ensure that they are as inclusive and pro-poor as possible

	Bottlenecks and problems: what difficulties did the agency or NGO face and how did it resolve them?	The initiative is sometimes construed as an operational audit that puts pressure on the government, especially when most participants are from opposition parties. In addition, accessing the requisite documents, such as district comprehensive plans and budgets, is sometimes difficult. These bottlenecks were solved through progressive engagement of district officials from the inception of the project and mindful, inclusive representation by civil society to avoid political overtones.

Further Reference	*Web sources*	http://www.actionaid.org/tanzania
	Resource Persons/Contacts	Billy Ambilla, BillyA@ctionaidtz.org, admin@actionaidtz.org

POVERTY REDUCTION STRATEGY MONITORING IN SELECTED DISTRICTS AND AREAS OF THE ARUSHA REGION: TANZANIA

Methodology Type	Participatory Budget and Expenditure Tracking Participatory Performance Monitoring

Basic Information		
	Name of Intervention	Participatory Monitoring of the PRS and Pro-Poor Expenditure
	Primary Agency Running the Intervention	Hakikazi Catalyst
	Location	Arusha, Tanzania
	Sector or Level of Focus	Multisectoral, selected areas of the Arusha region
	Type of Engagement	Continuous, beginning in 2003

Context and Scope		
	What is the driving force behind the initiative?	To contribute to the Poverty Monitoring Master Plan by providing evidence on whether or not poverty is changing and how the government's efforts to reduce poverty are making an impact
	What are the main objectives and what key accountability problems does it seek to address?	• To indicate how the PRS is working in selected grassroots communities • To ensure good governance and exact more accountability and transparency in relation to resources allocated for the PRS • To ensure the sharing of information in order to encourage greater transparency in terms of resource allocation versus actual expenditures
	Who is the target audience or demographic focus?	Local communities, including both males and females from poor and marginalized communities of pastoralists; small traders; and small producers in six villages of the Arusha municipality and Arumeru District Council
	What is the political culture or environment?	Democratic; the central and local governments are relatively open and responsive to peoples' initiatives

Tools and Methodologies Used		
	What specific social accountability tools and methodologies are being used?	To keep track of indicators to make sure that the government is going in the right direction, Hakikazi Catalyst used a modified community scorecard and a self-evaluation card.

	Briefly describe the methodology/methodologies or tools used.	The type of community scorecard used is an innovative kind developed by Hakikazi Catalyst. It is a dynamic and flexible tool that empowers communities by enabling them to have a voice, thus rather than data collection being done through focus group with facilitators, community committees collect the data. Monitoring and evaluation of the budget and poverty indicators with community scorecards enables feedback to be given to communities and to the government about the effectiveness and efficiency of projects implemented.
		The process involves building capacity among local government officials, CSOs, community-based organizations, and community leaders and members; holding community-based PRS debates; selecting and training PRS monitoring committees; collecting information with community scorecards; and analyzing the data. The community scorecards cycle is as follows: the community selects issues; prepare the community for scoring through an awareness meeting; build facilitators in the use of community scorecards; engage communities in dialogue about performance and scoring criteria; undertake analysis; share results; and take action by providing feedback to influence poverty advocacy, social change, and policy change.
		During the exercise, the community scorecards covered various sectors, including education, health, roads, agriculture, and water. Issues the community scorecards looked at included the following: • What can grassroots communities learn by looking at PRS targets and indicators versus resources (budgets) allocated and disbursed? • What are the perceptions of grassroots communities on priority sectors of the PRS?
		Local government officials completed self-evaluation cards. These are similar to the community scorecards, but collect information about entire district includes the amount spent on outputs.
	What advocacy and media activities support the initiative?	• Including representatives of the media among the participants of various capacity-building workshops, which also include local government officials, local leaders, and community members, in order to obtain the support of local government leaders and to disseminate information • Networking with other organizations involved in pro-poor advocacy
	How inclusive was the intervention?	The initiative is open to all interested stakeholders, including communities, donors, CSOs, government, and mass media. It is inclusive because communities participated in the collection and analysis of data; CSOs facilitated the collection, analysis, and report preparation; mass media participated in workshops and broadcasting of the results; and local government officials mobilized people and completed self-evaluation cards.
	Other important information or comments	Hakikazi Catalyst is an independent, nonprofit, nongovernmental, nonreligious, Tanzanian social and economic justice organization that was established in August 2000. It promotes the rights of all people to participate fully in the social, technical, environmental, and economic decisions that affect their lives. Hakikazi supports vulnerable people by giving them an effective voice that enables them to work toward • reducing poverty, • Achieving sustainable livelihoods, t • Enjoying equality with others at the community, national, and international levels.

Results and Impact	*What (if any) has been the impact of the initiative? What have been the incentives?*	• *Immediate impact*: Communities became aware of their roles and responsibilities in enforcing governance relating to resources allocated for poverty reduction. The democratic development process that enhances communities' opportunities to raise their voices and give them choices on matters affecting their lives has been broadened. • *Intermediate impact*: In some cases, especially in the education sector, resources that had been delayed without adequate reasons being provided were immediately released. Following awareness creation, communities organized themselves by forming poverty monitoring committees. This is expected to ensure sustainability. There is now dialogue between communities and lower levels of government. • *Long-term impact*: The long-term impact is not yet known, but expectations are that feedback from local discussions will percolate to upper levels of decision makers.
	Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities and so on? Describe.	• The central and local governments have accepted the methodology as demonstrated by local governments completing the self-evaluation cards. • The report findings are used to influence decision making and resource allocation. • Twenty-one local NGOs participated in the program and more are asking for the training so they can apply the methodology (community scorecards) in their programs and monitor poverty reduction strategies.
	(If applicable) Has the initiative been scaled up? Repeated?	The initiative has spread to some other areas outside Arusha.

Further Reference	*Web sources*	http:// www.hakikazi.org
	Documents and Reports	Hakikazi Catalyst Participatory Monitoring of PRS and Pro-Poor Expenditure in Selected Districts and Areas of Arusha Region, Tanzania. 2004.
	Resource Persons/Contacts	Emanuel Kallonga, Director, Hakikazi Catalyst, hakikazi@cybernet.co.tz

ACTION LEARNING APPROACH AND ORGANIZATIONAL SELF-ASSESSMENT:
UGANDA

Methodology Type	Participatory Performance Monitoring

Basic Information	*Name of Intervention*	Action Learning Approach and Organizational Self-Assessment
	Primary Agency Running the Intervention	SNV Uganda (Netherlands Development Organization) Mission: Capacity development support to intermediary organizations and local capacity development providers to reduce poverty in relation to structural poverty reduction and improved governance.
	Location	Kampala, Uganda, with regional offices in Karamoja, Rwenzori, and West Nile
	Sector or Level of Focus	Multisectoral and covers five areas: responsive and accountable local governance and gender sensitivity, development of market access for the poor, peace building and conflict transformation, institutional responsiveness to HIV/AIDS, and pro-poor tourism
	Type of Engagement	Continuous

Context and Scope	*What is the driving force behind the initiative?*	Beneficiaries' and other stakeholders' lack of involvement and participation is undemocratic and undermines ownership and sustainability. Action learning and organizational self-assessment would promote • the effective involvement and participation of all stakeholders, • a conducive environment for participation, • a simple and less stressful, but motivating, tool compared with traditional fault-finding and external evaluation missions, • a visionary and reflective approach.
	What are the main objectives and what key accountability problems does it seek to address?	• Effective involvement of and participation by all stakeholders, transparency, accountability, ownership, and sustainability • Reflections on experience and the integration of lessons learned to improve the planning process and the quality of planned results
	Who is the target audience or demographic focus?	CBOs, local governments, NGOs, and other organizations; key stakeholders include management and staff, women, men, youth, policy makers
	What is the political culture or environment?	The government of Uganda has a gender-sensitive and democratic constitution, a local government act, and policies to promote effective service delivery and eradicate poverty. The management of the organizations is now also becoming committed to the action learning approach and is promoting a learning organization culture.

Tools and Methodologies Used	*What specific social accountability tools and methodologies are being used?*	• Action learning approach • Organizational self-assessment
	Briefly describe the methodology/methodologies or tools used.	The action learning approach has four components: action, experience, reflection, and planning. Each component feeds into the others and the process is continuous. For every action undertaken, one–asks what went well and why? What did not go well and why? What could have been done better? The questions are simple but strategic, and can be answered by management, support staff, or any other stakeholders. A skilled facilitator is required to probe deeper to allow for analysis, reflection, and learning to take place, thereby producing insights, learning, and innovations that can be integrated into planning.

	What advocacy and media activities support the initiative?	The results can be published by means of print and electronic media. Donors can use the planning document to review events in connection with a particular activity. These plans have been used to solicit donor funding and technical support for the organizations involved. Voice recording is important to capture the emotion of discussions and reflect how people feel about the activity in question. Such recordings have been used for advocacy and lobbying purposes.
	How inclusive was the intervention?	It involved management, subordinate staff, target groups, and all stakeholders.
	Participation	Members of the organization are enthusiastic about participating in planning and review sessions because they know that their concerns will be taken up and that mistakes will be corrected.
	Other important information or comments	• Elite groups find this approach less challenging, obvious, and therefore time-consuming; however, its results are informative and empowering to all stakeholders. • Adequate time and resources should be provided for action learning to obtain meaningful results. • External consultants should facilitate the process of action learning to allow for better participation by all.
Results and Impact	*What (if any) has been the impact of the initiative? What have been the incentives?*	• It has built confidence and empowered beneficiaries to voice their concerns and demand remedies for mistakes. • It has improved the quality of internal organizational plans (especially bottom-up planning). • It has promoted the involvement of and participation by marginalized women and youth.
	Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities and so on? Describe.	Action learning and organizational self-assessment are among the methodologies used in organizational development and are the SNV's main area of support to partner organizations for capacity development and effective performance. The Uganda Local Government Association will take up organizational self-assessment to improve downward accountability, self-assessment, and planning. SNV has partnerships with local districts, the Uganda Women Parliamentarian Association, the Uganda Local Government Association, the National NGO Forum, the Association of Micro Finance in Uganda, and other intermediate organizations. Through these associations, services to members and the community at large are expected to improve.
	(If applicable) Has the initiative been scaled up? Repeated?	The initiative is a tool for organizational development that is used in strategic planning and to review interventions with all partners. The Uganda Local Government Association intends to use this approach with its member local governments.
	What were the main outcomes of the social accountability initiative?	• Promoting participatory discussions and consultations rather than desk reviews is important, because it improves communication and information sharing • Promoting a sense of ownership and inspiration for people to demand accountability • Improving team relationships, transparency, and organizational values • Enhancing a spirit of learning

	Bottlenecks and problems: what difficulties did the agency or NGO face and how did it resolve them?	• Government organizations think that the action learning approach is an NGO tool and is not intended for them. • Action learning and organizational self-assessment address less tangible areas such as gender, values, vision, and mission, therefore soliciting commitment on the part of management, who would like to see more tangibles then intangibles, is difficult. • It requires the commitment of management, effective facilitation, patience, time, and resource to achieve quality results, but many organizations have not adequately provided for them, and the approaches are not high on their list of priorities. • Action learning is not a well–known approach.. Actions taken included the following: • Making action learning one of the tools for planning and review sessions and making organizational self-assessment a prerequisite for establishing a partnership with SNV, because it readily identifies capacity gaps; • Training staff as process facilitators; • Publishing details of a process approach with clear concepts and steps to be taken.

Further Reference	*Documents and Reports*	SNV Capacity Development Service Booklet using Action Learning Approach. 2004. ULGA Review and Planning workshop reports
	Resource Persons/Contacts	Kwiyucwiny F. Grace, SNV Uganda, P.O Box 8339, Kampala, Uganda E-mail: gkwiyucwiny@snvworld.net, Kwiyucwiny@yahoo.com

INDEPENDENT BUDGET ANALYSIS AND EXPENDITURE TRACKING PROJECT:
ZAMBIA

Methodology Type	Independent Budget Analysis and Advocacy Participatory Budget and Expenditure Tracking

Basic Information	*Name of Intervention*	Independent Budget Analysis and Budget and Public Expenditure Tracking Project
	Primary Agency Running the Intervention	Catholic Centre for Justice Development and Peace
	Location	Lusaka
	Sector or Level of Focus	National Budget. Health and education at the local level
	Type of Engagement	Contributions to composition of the budget prior to its announcement, analyses after budget presentation and throughout the year, analyses of disbursements at the national level and local levels.

Context and Scope	*What is the driving force behind the initiative?*	The government's lack of focus on poverty issues
	What are the main objectives and what key accountability problems does it seek to address?	The main objective is to advocate for just economic policies that benefit the poor. Problems include the gains of poor prioritization of expenditure going more to political offices than to social and economic sectors that benefit the poor, the lack of information on budget disbursements, and the poor funding.
	Who is the target audience or demographic focus?	Parliament; the executive branch of government; and civil society, including the church and local communities
	What is the political culture or environment?	Democratic, weak accountability to the public, media freedom, weak parliament

Tools and Methodologies Used	*Briefly describe the methodology/methodologies or tools used.*	• Holding public forums at which budget contributions, which are done at the national level, are presented to the government and citizens have a chance to engage with the minister of finance • Holding focus group discussions at the local level and agreeing on districts' prioritization preferences for the next budget, which are presented to the permanent secretary of the province and sent to the capital • Undertaking postbudget analyses and holding forums at which technocrats and the finance minister are represented • Sharing postbudget analyses with parliamentarians • Holding workshops for members of parliament • Writing newspaper articles and circulating booklets on budget analysis to civil society. • Submitting proposals for budget changes to the minister of finance for consideration by the cabinet • Providing information on the budget to the church hierarchy and provincial teams so that they can engage with ministers when they travel to disseminate the budget • Providing training on budget issues for church and other civil society groups • Undertaking analyses of disbursements • Having local justice and peace teams undertake a tracking exercise throughout the year whereby they look at sectoral objectives, examine how funds are flowing, and conduct group discussions to get communities' views • Having local teams conduct interviews with government service providers and assesses timeliness, adequacy, and reporting mechanisms

	What advocacy and media activities support the initiative?	• Meetings with the minister and deputy ministers of finance, the secretary of the treasury, staff of the Budget Office, members of parliament, and representatives of donor organizations • Newspaper articles, booklets, radio and television discussions • Collaboration with other groups undertaking similar initiatives
	How inclusive was the intervention?	The work is done by Justice, Development and Peace teams, but these work with communities in relation to research and public forums and the public is included in radio discussions.
	Participation	The work is done within church structures by members of justice and peace teams, who are themselves poor and work in the communities in which they live. Capacities at are built at the local level as a result of this work.

Results and Impacts	*What (if any) has been the impact of the initiative? What have been the incentives?*	• The government now recognizes the public's input into the budget process and took a more deliberate poverty focus, even before the introduction of the PRSP, for example, by increasing allocations for welfare and adopting free education policies with accompanying grants for schools. • The public is increasingly engaged in budget issues, for example, some government agents are calling for collaboration in tracking the fertilizer subsidy and in changes in the tax threshold for income tax. • The government is including civil society groups in budget formulation processes.
	Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities and so on? Describe.	The methodology has been institutionalized, although in the absence of a legal framework. Contributions of the prebudget are considered and sought during formulation of the next budget. Linkages have been established with other groups working on different issues, for example, the PRSP.
	(If applicable) Has the initiative been scaled up? Repeated?	The provincial pre-budget contributions are new, but will increase in the next year, because they are now more relevant given activity-based budgeting.
	What were the main outcomes of the social accountability initiative?	• Wider acceptance of the role of civil society in budget and expenditure issues by different levels of government • Increased public debate about expenditure choices and patterns • More discussion of expenditure choices for reducing poverty and creating wealth
	Bottlenecks and problems: what difficulties did the agency or NGO face and how did it resolve them?	• At the central government level, slow release of information • At the local government level, teams face problems accessing information on disbursements along with government resistance and high costs, which they deal with by means of persistence and linking with other groups • Human resources are inadequate • The government is overly centralized

Further Reference	*Web sources*	http://www.ccjdp.org.zm
	Documents and Reports	Available on website
	Resource Persons/Contacts	Mulima Kufekisa Akapelwa, akakapelwa@zec.org.zm

POVERTY MONITORING AND BUDGET EXPENDITURE TRACKING: ZAMBIA

Methodology Type	Participatory Budget and Expenditure Tracking		
Basic Information	*Name of Intervention*	Monitoring of PRSP Implementation	
	Primary Agency Running the Intervention	Civil Society for Poverty Reduction (CSPR)	
	Location	Lusaka and five other provinces of Zambia	
	Sector or Level of Focus	Multisectoral (agriculture, tourism, education, health, water and sanitation, HIV/AIDS, and gender); scope is national, provincial, and district-level (five provincial focal groups monitor poverty levels and PRSP implementation at the district level)	
	Type of Engagement	Since 2002, the CSPR has engaged in the following: • participatory poverty assessment once a year, • budget monitoring twice a year (prebudget and postbudget), • expenditure tracking –on a regular basis.	
Context and Scope	*What is the driving force behind the initiative?*	• Given CSOs' involvement in the design and drafting of the PRSP, the CSPR saw a need for participation by key stakeholders in the government's implementation and monitoring of the PRSP. • As the PRSP's objective was to reduce poverty levels, CSOs believed that monitoring poverty levels was key for establishing whether PRSP programs were yielding their intended results. • Because of low allocations and untimely release of poverty reduction funds by the government, budget and expenditure tracking became necessary to track the expenditures of poverty reduction programs undertaken by the government and other authorized spending agencies.	
	What are the main objectives and what key accountability problems does it seek to address?	• To establish the government's commitment to poverty reduction through allocations and disbursements • To establish whether poverty has decreased as a result of the PRSP • To monitor the impact of the PRSP interventions on people's livelihoods • To ensure that t resources meant for the PRSP are not misused or redirected	
	Who is the target audience or demographic focus?	Information is obtained from rural communities and public offices. Information generated is targeted at the Ministry of Finance, parliamentarians, urban and rural communities, policy makers, the International Monetary Fund and the World Bank, donors, and CSOs.	
	What is the political culture or environment?	• Low levels of political will and responsiveness by politicians to address some pertinent poverty advocacy issues by reflecting them in political action • Low levels of stakeholder involvement in PRSP implementation • Weak government PRSP implementation and monitoring structures resulting in the noninclusion of most CSOs at most levels • Redirection of funds meant for poverty reduction to other sectors • Lack of timely information on the release of poverty reduction funds	
Tools and Methodologies Used	*What specific social accountability tools and methodologies are being used?*	• Participatory rapid assessment • Roundtable discussions • Expenditure tracking • Prebudget and postbudget analysis • Reviews of records • Site visits	

	Briefly describe the methodology/methodologies or tools used.	• *Poverty assessments*: This involves obtaining views, perceptions, and comments from community members using qualitative participatory monitoring tools. This approach focuses on communities as the units of development and monitors trends in livelihoods resulting from PRSP implementation. • *Budget expenditure tracking*: This involves the analysis of resources for poverty reduction from budget allocations and disbursements at the district levels.
	What advocacy and media activities support the initiative?	• Issuing press releases, newsletters, and prebudget and postbudget statements • Holding roundtable discussions with stakeholders • Simplifying relevant government documentation • Submission to constitutional review process • Organizing television and community radio talks and documentaries • Producing brochures, fliers, and T-shirts with advocacy messages
	How inclusive was the intervention?	Poverty monitoring was conducted in five districts of Zambia: Choma, Mongu, Mwinilunga, Petauke, and Samfya. NGOs dealing with poverty reduction in these districts were involved in the planning and monitoring of all the interventions at both the national and provincial levels.
	Participation	• The participatory rapid assessment surveys use poor people's participatory respondents • The actual monitoring of expenditure tracking is conducted mainly by local CSOs
Results and Impact	*Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities and so on? Describe.*	The process of monitoring is institutionalized under the CSPR network and takes place at regular intervals. The feedback of information to the government is not entirely institutionalized because of erratic information from the government on the best times to receive the information and feed it into the PRSP progress reports. Key linkages are with the Ministry of Finance's Planning Department, although they are not institutionalized. The CSPR network currently consists of approximately 100 CSOs, and the joint effort by CSOs has contributed immensely to the social accountability process.
	(If applicable) Has the initiative been scaled up? Repeated?	The initiative has been scaled up in terms of its scope and focus.
	What were the main outcomes of the social accountability initiative?	• Increasing communities' awareness about the availability of PRSP funds for poverty reduction programs • Increasing meaningful and tangible engagement by CSOs with government and local authorities on issues pertaining to budget expenditure tracking • Deterring the misuse of resources • Increasing allocations and disbursements for poverty reduction since 2002 • Including civil society in government poverty monitoring at both the provincial and national levels • Improving networking between national and local CSOs working on poverty • Undertaking an evaluation of the PRSP during 2005 to mark the end of the first phase of Zambia's PRSP
	Bottlenecks and problems: what difficulties did the agency or NGO face and how did it resolve them?	• Lack of timely information on fund disbursement by the Ministry of Finance • Lack of proper record keeping by agencies implementing PRSP programs • Limited capacity to conduct assessment at lower levels

Further Reference	*Web sources*	http://www.cspr.org.zm
	Documents and Reports	• Zambia Social Investment Fund (Zamsif) / CSPR 2002 Baseline Study report. • Report on Analysis of the Participatory Provincial Poverty Monitoring 2003. • CSPR 2004 Poverty Monitoring Summary Report. • CSPR 2003 and 2004 Pre and Post Budget Statements. • Tracking Poverty Reduction Expenditures under the PRSP-an analysis of 2002 and 2003 budgets CSPR.
	Resource Persons/Contacts	Besinati Mpepo, Coordinator CSPR, besimpepo@zamnet.zm Robert Kelly Salati, National Steering Committee CSPR, kellysalati@mailcity.com, robertkelly@zambia.co.zm

CHILD FRIENDLY NATIONAL BUDGET INITIATIVE: ZIMBABWE

Methodology Type	Independent Budget Analysis and Advocacy Participatory Budget and Expenditure Tracking

Basic Information	*Name of Intervention*	Child Friendly National Budget Initiative (CFNBI)
	Primary Agency Running the Intervention	National Association of Non Governmental Organizations (NANGO)
	Location	Harare, Zimbabwe
	Sector or Level of Focus	Multisectoral with an emphasis on social sectors such as health, education, and public assistance
	Type of Engagement	Ongoing

Context and Scope	*What is the driving force behind the initiative?*	NANGO, through the CFNBI, believes that the national budget is a key tool that can be used to deal effectively with the deteriorating situation of children as confirmed by research conducted by NANGO in 2001 and augmented by annual, district–level, consultative workshops.
	What are the main objectives and what key accountability problems does it seek to address?	The goal of the CFNBI is to seek child-friendly public and private expenditure policies and patterns to reduce poverty. Its specific objectives are to • improve policy makers' and communities' understanding of child poverty, • influence national and international policies to prioritize resources to children's issues, • enhance children's participation in the CFNBI and in budgeting processes, • decentralize debate on the budgeting process to empower communities to participate in the budget-making process, • track patterns of expenditure on children's issues with a view to promoting transparency and efficient utilization of national resources.
	Who is the target audience or demographic focus?	The project seeks to benefit approximately 6 million children by engaging policy and budget makers. These include the ministries of Education, Health, Social Welfare, Home Affairs, and Finance as well as parliamentarians.

Tools and Methodologies Used	*What specific social accountability tools and methodologies are being used?*	• Undertaking research on types and effectiveness of specific programs • Analyzing budget statements and related policies such as fiscal policies • Engaging in public debate and lobbying with politicians, parliamentarians, and officials • Mobilizing communities to participate meaningfully in national budget debates
	Briefly describe the methodology/methodologies or tools used	Independent budget analyses usually start with a baseline survey of the situation of children in a given period and are augmented by district- or community-level consultative workshops. The initiative then advocates prioritization in the national budget of the issues raised by communities. Submissions are made to line ministries, parliamentarians, and the Ministry of Finance. Following announcement of the budget, independent budget analysis ascertains the extent of prioritization of the issues raised, the amount allocated to children in relation to other programs and to the total budget, and the adequacy of the resources. The analysis is usually done by project staff by means of joint workshops with stakeholders and consultative workshops with parliamentary portfolio committees and line ministries. Project staff also analyze the flow of resources to intended beneficiaries. The findings are discussed with policy and budget makers during public meetings and workshops and are shared with the media.

	What advocacy and media activities support the initiative?	• Community mobilization workshops aimed at empowering community groups to participate in national budget debates and also attended by policy and budget makers • Public debate with politicians, parliamentarians, officials, and technocrats • Engagement of budget and policy makers through workshops and meetings with government officials, parliamentarians, local authorities, and community leaders • Documentation and materials development and dissemination • News bulletins, editorials, television shows, and other media work
	How inclusive was the intervention?	The initiative seeks to involve all stakeholders from different parts of Zimbabwe, both rural and urban. The district workshops involve children from all walks of life as well as members of parliament, chiefs, councilors, and governors.
	Other important information or comments	Monitoring budget performance remains critical, especially the utilization of funds supposed to benefit children, as does advocating for more resources to be allocated for children's issues. Enabling policy and legal frameworks are also critical and therefore form part of the key advocacy issues.

Results and Impact	*What (if any) has been the impact of the initiative? What have been the incentives?*	As a result of intense lobbying and advocacy by NANGO, increases in budgetary allocations to specific programs to benefit children have been recorded. For example, the government made an about turn on birth registration and embarked on mobile birth and death registration. In the 2004 budget statement, allocations relating to basic education assistance for children in difficult circumstances and for nutritional programs increased. In addition, the maximum income allowable for the tax free bracket was more than trebled in order to leave poor workers with more disposable income. The initiative will result in approximately 6 million children benefiting from the budgetary allocations.
	Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities and so on? Describe.	Over the years, the CFNBI has become a major stakeholder in the national budgeting process and has been accorded consultative status by the government and parliament. Networks and strategic alliances have been developed with the Child Budget Unit of the Institute for Democracy in South Africa, and the Save the Children Alliance in different parts of the world, as well as with other organizations involved in budget advocacy work, such as the Poverty Reduction Forum.
	(If applicable) Has the initiative been scaled up? Repeated?	In the future, NANGO plans to consolidate the decentralization thrust of budget making to make the process broadly participatory and responsive to people's needs.

Further Reference	*Documents and Reports*	2002, 2003, 2004 Child Friendly National Budget Initiative lobby reports Child Friendly National Budget Initiative flyer Child Friendly National Budget Initiative- Lessons, Challenges and Achievements NANGO December 2002 Newsletters
	Resource Persons/Contacts	Bob Muchabaiwa and Josphat Mathe 1st Floor Mass Media House, 19 Selous Avenue, Harare Tel.: 263-4- 708761/732612 Fax.: 263- 4-794973 E-mail: info@nango.org.zw

ENGENDERING THE NATIONAL BUDGET: ZIMBABWE

Methodology Type	Independent Budget Analysis and Advocacy

Basic Information	Name of Intervention	Engendering the National Budget
	Primary Agency Running the Intervention	Zimbabwe Women's Resource Centre and Network
	Location	Gwanda, Rusape, and Shurugwi districts
	Sector or Level of Focus	Multisectoral, national focus
	Type of Engagement	Continuous

Context and Scope	What is the driving force behind the initiative?	Since September 2001, the Zimbabwe Women's Resource Centre and Network has been involved in studying, analyzing, and questioning the nation's socioeconomic policies and actions from a gender and HIV/AIDS perspective. The main thrust has been calling for the adoption of gender-sensitive budgeting. The result of this work has revealed painful inequalities, inequities, and injustices between women and men in terms of resource allocation and distribution.
	What are the main objectives and what key accountability problems does it seek to address?	The main objective is to foster a gender-sensitive national budget.
	Who is the target audience or demographic focus?	Women, women's organizations, parliament, policy makers
	What is the political culture or environment?	Governance is poor; links between civil society and parliament in relation to gender-sensitive budgeting are poor

Tools and Methodologies Used	What specific social accountability tools and methodologies are being used?	• Capacity-building workshops on gender-sensitive budgeting • Gender analysis of sectoral ministries for example, health, education, social welfare • Consultations with women and men at the community level, with results submitted to relevant parliamentary portfolio committees
	Briefly describe the methodology/methodologies or tools used.	• Training women's organizations, women, men, policy makers, and parliamentarians on gender-sensitive budgeting and its usefulness. • Producing gender analyses of sector ministries, especially the social sectors, referred to as gender budget watches • Undertaking prebudget and postbudget consultations with women and men at the grassroots level and making submissions to relevant portfolio committees
	What advocacy and media activities support the initiative?	• Gender budget watch newsletter circulated to the organization's mailing list and also circulated in some newspapers with wide readership • Presentations to the Ministry of Finance and Economic Development and to other relevant ministries • Dialogue with portfolio committees and line ministries
	How inclusive was the intervention?	Mobilized most stakeholders, especially women as the beneficiaries
	Participation	Primary targets are women in rural areas, revealed by statistics as the poorest and most marginalized. The work done with women enabled them to articulate their concerns to policy makers and to come up with recommendations regarding women's input into the budget process.

Results and Impact	*What (if any) has been the impact of the initiative? What have been the incentives?*	As the project is ongoing, it is too early to measure progress; however, the Ministry of Finance has undertaken gender-sensitive budget training for its staff. At the prebudget seminar for policy makers, the minister acknowledged that Zimbabwe is still lagging behind in its gender commitments, and invited the Zimbabwe Women's Resource Centre and Network to provide more input into the ministry's work plan and policies, as well as to the line ministries' quarterly reviews of budget performance. Women have also started playing a role in the budget-making process.
	Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities and so on? Describe.	The organization has worked with other like-minded organizations dealing with economic justice, for example, the Confederation of Zimbabwean Industries, Zimbabwe National Chamber of Commerce, Zimbabwe Coalition on Debt and Development, and Combined Harare Residents' Association, and received invaluable support from them on the workings of the budget. Parliament has to some extent institutionalized the gender budgeting initiative, as evidenced by its requests for gender budgeting training, submissions, and a presentation at the prebudget seminar in October to revise the 2005 budget before announcing it.
	Bottlenecks and problems: what difficulties did the agency or NGO face and how did it resolve them?	• Restrictive legislation against NGOs has curtailed activities. • Many sectors of society, even policy makers, have not yet paid serious attention to gender issues, so much work remains to be done.
Further Reference	*Web sources*	zwrcn@zwrcn.org.zw
	Documents and Reports	Gender budget watch newsletters, budget cycle poster
	Resource Persons/Contacts	Thembile Phute, Acting Executive Director Nomthandazo Jones, Program Officer, njones@zwrcn.org.zw

ESTABLISHING LOCAL INTEGRITY SYSTEMS THROUGH SATISFACTION SERVICE DELIVERY SURVEYS: ZIMBABWE

Methodology Type	Participatory Performance Monitoring

Basic Information	*Name of Intervention*	Establishing Local Integrity Systems through Satisfaction Service Delivery Surveys
	Primary Agency Running the Intervention	Municipal Development Partnership for Eastern and Southern Africa, Harare Office
	Location	Regional initiative with the municipalities of Kwekwe and Marondera as pilot projects
	Sector or Level of Focus	Housing
	Type of Engagement	The pilot was run for nine months during 1998–9 with a view to mainstreaming local integrity systems in council operations.

Context and Scope	*What is the driving force behind the initiative?*	At a time when concepts of decentralization, good governance, and accountability were gaining momentum in Sub-Saharan Africa, the issue of corruption was taking center stage. The consequences of corruption were pervasive and far-reaching. Corruption was encouraging competition in relation to bribes rather than the quality and prices of goods and services and appeared poised to distort economic and social development.
	What are the main objectives and what key accountability problems does it seek to address?	- Solicit residents' opinions about service delivery by their local authorities - Ascertain public perceptions of corruption and where it is most likely to occur - Introduce a service delivery system as a management tool intended to improve the efficiency and responsiveness of service delivery - Introduce local integrity systems to enhance accountability and transparency and guard against corruption - Provide an occasion to test the applicability of the concept of local integrity systems and assess its potential for implementation in local authorities
	Who is the target audience or demographic focus?	Municipal governments, mayors, councilors, community members, and service providers (including the private sector)
	What is the political culture or environment?	Democratically elected councils with an active civil society

Tools and Methodologies Used	*What specific social accountability tools and methodologies are being used?*	- Holding a regional training of trainers workshop on developing local integrity systems - Developing a charter for building integrity in local government administration - Identifying volunteer municipalities - Identifying a nucleus team and developing a work plan - Gaining consensus and the support of all council members and key stakeholders - Contracting an independent local consultancy firm, Systems Management Consultancy - Preparing questionnaires - Recruiting and training research assistants - Undertaking a pilot survey to test the instruments - Undertaking field work - Holding focus group discussions - Presenting the findings to the council

	Briefly describe the methodology/methodologies or tools used.	The household surveys were conceived as a means whereby local authorities could initiate dialogue with local residents about the extent and nature of malpractice in service delivery and possible methods of dealing with the problem. Surveys were preceded by public meetings chaired by the mayor and the regional director of the Municipal Development Partnership for Eastern and Southern Africa to inform people of the purpose and nature of the survey and encourage them to support the idea of constructive reforms. The questionnaires focused on overall satisfaction with the council's performance, attitude of council officials toward the public, tendencies toward corruption in the area of housing allocation, and actions that needed to be taken to prevent corruption. Household surveys were supplemented by focus group discussions and individual case studies. Following the completion of the surveys and internal local consultation, a national workshop was held that was attended by mayors and town clerks to share the survey's findings and take necessary action. The surveys were not conducted directly by the local authorities, but by a private consultancy company, Systems Management Consultancy, assisted by teams of research assistants recruited from the local community. However, the local authorities were fully involved in all aspects of the design and management of the surveys and the overall exercise was coordinated by a project team that included representatives from the two local authorities. Following the national workshop, a regional workshop attended by participants from eastern and southern Africa was organized in Durban, South Africa, to share regional experiences.
	What advocacy and media activities support the initiative?	Councils issue monthly bulletins on the level of service provision
	How inclusive was the intervention?	Councilors were tasked to mobilize their residents to provided the information required.
	Participation	Research assistants were selected from within their communities.

Results and Impact	*What (if any) has been the impact of the initiative? What have been the incentives?*	Following the study, both mayors agreed, as a matter of priority, to do the following: • undertake institutional reviews to set performance benchmarks and to devote more resources to service provision rather than to recurrent expenditure, • incorporate satisfaction service delivery surveys in the budget cycle, • establish a mechanism for involving residents directly in budget preparation, • rule that the housing waiting list becomes an auditable record, • commission handbooks for guiding residents on procedures and rules.
	Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities and so on? Describe.	• Regular satisfaction service delivery surveys have been institutionalized in many councils. • Participatory budgeting has been acknowledged as a good practice. • Councilors in a number of councils no longer question civic participation in local government.
	(If applicable) Has the initiative been scaled up? Repeated?	Many local authorities both in and outside Zimbabwe have incorporated satisfaction service delivery surveys in their annual budgets, for example, Windhoek, Namibia.
	What were the main outcomes of the social accountability initiative?	• Councils began to change the way decisions were being made by undertaking wider consultation with key stakeholders. • Satisfaction service delivery surveys were mainstreamed in council operations. • Councils have become community centered and mechanisms were put in place to facilitate community–council dialogue. • Gweru, Kwekwe, and Marondera councils became resource municipalities for other councils in the region interested in effecting positive changes for the benefit of their citizens.

	Bottlenecks and problems: what difficulties did the agency or NGO face and how did it resolve them?	The main issue was the lack of adequate resources to implement satisfaction service delivery surveys. The solutions were to • encourage knowledgeable municipalities to assist those in need of help, • mainstream the initiative in council operations, • integrate the surveys in the Municipal Development Partnership for Eastern and Southern Africa's training program on intergovernmental fiscal relations and local government finance.
Further Reference	*Web sources*	http://www.mdpafrica.org.zw
	Documents and Reports	Conyers, D. and G. Matovu. 2001. *Service Delivery Surveys : A Means of Increasing Accountability, Transparency, and Integrity in Local Government.*
	Resource Persons/Contacts	George Matovu, Municipal Development Partnership for Eastern and Southern Africa Regional Director, gmatovu@mdpafrica.org.zw

INSTITUTIONAL STRENGTHENING OF PARLIAMENT: ZIMBABWE

Methodology Type	Independent Budget Analysis and Advocacy

Basic Information	*Name of Intervention*	Institutional Strengthening of Parliament
	Primary Agency Running the Intervention	State University of New York (SUNY), U.S. Agency for International Development
	Location	Harare, Zimbabwe
	Sector or Level of Focus	Democracy and governance; targeting the parliament of Zimbabwe
	Type of Engagement	Continuous starting in 2000

Context and Scope	*What is the driving force behind the initiative?*	Need for parliament to implement reforms pertaining to the running of parliament so that it develops teeth and become relevant and a force to be reckoned with in a democratic society
	What are the main objectives and what key accountability problems does it seek to address?	Enhance civil participation in parliamentary processes like the budget so as to effect change and realize an outcome that is civic driven
	Who is the target audience or demographic focus?	Parliament, its staff, and members of parliament
	What is the political culture or environment?	Democratic, although problems relate to pushing for certain viewpoints that may not have been considered by the ruling party

Tools and Methodologies Used	*What specific social accountability tools and methodologies are being used?*	• Offering technical assistance to the various portfolio committees analyzing the budget • Contracting consultants to assist some committees in technical areas of the budget • Providing advice on the best way of opening up parliament so that the public can participate in the budgetary process • Disseminating information to members of parliament through workshops, special committee sessions, and face-to-face meetings SUNY sometimes contracts consultants to work with respective portfolio committees in reviewing the budget allocation and performance of a ministry. The consultants are mandated to research the adequacy of the budget and recommend how to prioritize activities within the ministry given the limited resources available. They then meet with the portfolio committees and give them briefs and help prepare questions for when ministry officials appear before the committee.
	Briefly describe the methodology/methodologies or tools used.	Parliament has been able to draw up a budget calendar that both monitors implementation of the current budget and feeds into the following year's budget as follows: • During the year, respective sectoral portfolio committees request and receive quarterly reports on the performance of the current budge. • At this stage, the committees hold public meetings with various interest groups from their respective sectors and ministry officials. Issues are raised and ministry officials answer questions primarily about delays in the implementation of some projects. • While reviewing the performance of the current budget, the committees also start to deliberate on what needs to be addressed in the following year's budget. This starts to shape the nature and priorities of the following year's budget. • Upon presentation of the budget, the respective committees, with technical assistance from SUNY, analyze the budget and prepare a report on the adequacy and degree to which the budget addresses concerns raised by the public.

	What advocacy and media activities support the initiative?	The project does not really require any advocacy, as it is an implementing project. However, the parliamentary reforms advocated involve opening up parliament both to the public and the media. The public and the media are now free to attend sessions of parliament, including portfolio committee meetings. SUNY has helped to address issues on how the media can be involved and cover issues of parliament. The public is now always abreast of developments in parliament, including the agendas of the various portfolio committees.
	How inclusive was the intervention?	A platform for civic and public participation in parliament has been created, with the guiding document being the parliamentary reform document of 1999. This was born out of a process of consultation on how parliament should work.
Results and Impact	*What (if any) has been the impact of the initiative? What have been the incentives?*	• Parliament is now consulting the public through public hearings. No public hearings were held in 2000, but parliament recorded 16 hearings in 2002, 36 in 2003, and 40 so far in 2004. This indicates the openness of parliament. • Evidence indicates that most of the views expressed by stakeholders on how the budget should look through the committees have been factored into the final budget allocation by ministries. • Reports from committees on their work on the budget have been presented to parliament and have been debated.
	Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities and so on? Describe.	• Institutionalization has been the major objective of the project. The described budget process is now part of parliament's calendar and staff and members of parliament are geared up for the process. • Parliament staff is being prepared to devise manuals that would guide the process and explain how most of the set procedures should be conducted. A committee operations manual and public hearing guidelines have been prepared.
	(If applicable) Has the initiative been scaled up? Repeated?	• The budget process has ongoing since 2001 and the process has been repeated yearly. • The process started with the Budget and Finance Committee in 2001 and then spread to other committees later on. All committees are now involved in the budget process.
	Bottlenecks and problems: what difficulties did the agency or NGO face and how did it resolve them?	• When the project started, it faced much resistance from the staff of parliament, who did not like the idea of a "big brother" looking over their shoulders and telling them what to do. Time and interactions with the staff helped to dilute these misconceptions and project staff is now viewed as colleagues. • Views and comments offered were sometimes viewed as politically incorrect by certain quarters, especially the ruling party, who initially viewed project staff with suspicion. Again, time and the professional conduct of SUNY staff have helped to diffuse such views.
Further Reference	*Web sources*	http://www.cid.suny.edu
	Documents and Reports	Committee Operations Manual Public Hearings Guidelines
	Resource Persons/Contacts	Lesley Manika Mukurazhizha 76 Broadlands Road Emerald Hill, Harare Tel.: 263-091262206 E-mail: lesleymu@sunyzim.co.zw John Makamure, Director 76 Broadlands Road Emerald Hill, Harare E-mail: johnma@sunyzim.co.zw

LOCAL GOVERNANCE PROGRAM:
ZIMBABWE

Methodology Type	Participatory Performance Monitoring

Basic Information	*Name of Intervention*	Local Governance Program
	Primary Agency Running the Intervention	The Urban Institute, an international NGO based in Washington, DC
	Location	Harare, Zimbabwe
	Sector or Level of Focus	Local government, selected sites
	Type of Engagement	Continuous, beginning in 2001

Context and Scope	*What is the driving force behind the initiative?*	The desire to enhance citizens' input into local authority decision-making processes, the wish to improve service delivery by the local authorities, and the government of Zimbabwe's and the U.S. Agency for International Development /Zimbabwe's initiative to move toward decentralization
	What are the main objectives and what key accountability problems does it seek to address?	• To demand more accountability from local authorities through greater citizen participation in decision-making processes • To establish a simple and effective feedback system • To ensure the sharing of information in order to encourage greater transparency
	Who is the target audience or demographic focus?	Local authorities in Zimbabwe as providers of public services and residents
	What is the political culture or environment?	Democratic; local governments are relatively open and responsive to citizens' initiatives

Tools and Methodologies Used	*What specific social accountability tools and methodologies are being used?*	Restructuring action plans

	Briefly describe the methodology/methodologies or tools used.	Restructuring action plans are basically pacts between the community and service providers. They spell out expectations and roles, enabling citizens to interact more effectively with the municipality. They specify the expected standards of service, identify who is responsible, and outline the procedures for effective interaction between citizens and the municipality. For example, citizens and the council can agree on a process for an annual budget consultation that specifies roles and responsibilities as well as areas and timing of citizen inputs.
		The restructuring action plan is a tool for documenting the mechanisms and processes for citizen involvement in the decision-making processes of local governments. It covers areas such as the master plan, the strategic plan, the annual budget, borrowing authorization, service charters, debt collection methods, control of informal trading activities, and so on
		The Local Governance Program facilitates open dialogue between the council and citizens through combined representative workshops and through training. Training targeted at CSOs seeks to build their advocacy capacity and understanding of local government issues. Institutional development of the CSOs is also provided for. At the same time, institutional support is provided for the council by training policy makers and administrators. Information technology is one of the key support areas for councils.
		Through the program the various parties are enabled to meet and discuss development issues relating to their local government area and agree on restructuring action plans.
		A restructuring action plan begins with the identification of a policy issue by citizens, council administrators, or councilors. The issue is then debated by the council and relevant stakeholders and a course of action is agreed. Thereafter, the agreed course of action is formalized into policy by the council and implemented.
		Citizens are encouraged to form organized groups or CSOs that are interest based and have a meaningful constituency within the area. The same level of transparency and accountability required of the council is expected of the CSOs.
		Typical CSOs that have emerged in each of the participating local authorities include residents' and raters' associations, informal traders' associations, religious organizations, business associations, women in business, arts and craft groups, and HIV/AIDS support groups.
	What advocacy and media activities support the initiative?	• The program has the government's blessing and is hosted by the Ministry of Local Government, Public Works, and National Housing. The ministry issued introductory letters to selected local authorities. • A roundtable conference is organized from time to time to brief the program's stakeholders on progress. • The support of the municipal staff actually delivering the public services is sought by means of citizen-municipality interactive workshops. • The formation of neighborhood associations is encouraged by networking with like-minded organizations.
	How inclusive was the intervention?	The Local Governance Program is open to all interested stakeholders in participating areas. The initiative relies on CSOs and mass media to reach out to the public.
	Other important information or comments	The program is funded by the U.S. Agency for International Development /Zimbabwe.
Results and Impact	*What (if any) has been the impact of the initiative? What have been the incentives?*	The Local Governance Program has seen a tremendous response from citizens, who have begun to actively participate in partnership with municipalities. Encouraged by this response and by feedback, several systemic changes have been introduced and implemented to make services user friendly and accessible.

	Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities and so on? Describe.	The Local Governance Program is an important part of the government's decentralization policy. The government sees it as a way of ensuring sustainable local government structures in a decentralized environment. There is now even talk of legislative changes to entrench participative democracy as championed by the program.
	(If applicable) Has the initiative been scaled up? Repeated?	The Local Governance Program started as a pilot program in July 2001 operating in six local authorities and was scaled up to another seven in January 200. The intention is to spread eventually to all local authorities in Zimbabwe.
Further Reference	*Resource Persons/Contacts*	Israel Ndlovu

RURAL SCHOOL FEES EXPENDITURE MONITORING:
ZIMBABWE

Methodology Type	Participatory Performance Monitoring

Basic Information	*Name of Intervention*	Rural School Fees Expenditure Monitoring
	Primary Agency Running the Intervention	Centre for Total Transformation (CTT), an NGO specializing in social and economic transformation of rural communities
	Location	Mazoe district, Zimbabwe
	Sector or Level of Focus	District level
	Type of Engagement	Continuous

Context and Scope	*What is the driving force behind the initiative?*	Since 2003, the CTT, in partnership with the United Nations Children's Fund and the Steven Lewis Foundation, has been involved in promoting quality education with a special focus on orphans and other vulnerable children in rural communities. The social accountability initiative resulted from reports and complaints by parents that children were being returned home because of nonpayment of school fees when their school fees had been paid. There were also reports of good teachers resigning or going for months without paid. Students who had left school were kept on school lists and in several cases their fees were paid by the Department of Social Welfare. This rampant misappropriation by school principals brought about a loud outcry from communities. The school authorities often took the voiceless and illiterate rural residents for granted, resulting in the gross mismanagement of finances intended for education and educational facilities.
	What are the main objectives and what key accountability problems does it seek to address?	The general objective is to educate and empower rural dwellers on their right to obtain information, to participate in the administrative affairs (including budgeting) of schools within their communities, and to demand accountability and transparency from school authorities. The social accountability initiative also seeks to empower parents to be decision makers.
	Who is the target audience or demographic focus?	Local government authorities (rural councils), Ministry of Education authorities, local school authorities, and civil society (particularly parents and school development associations or committees)
	What is the political culture or environment?	Democratic, but weakened by illiteracy on the part of parents and lack of professionalism, poor governance, and corruption on the part of school principals

Tools and Methodologies Used	*What specific social accountability tools and methodologies are being used?*	- Baseline surveys to establish a yardstick against which progress is measured - Focused target group discussions - Workshops on school budgeting and expenditures - Community scorecards facilitated by a CTT field officer - Report cards - Structured interviews with school principals - Participatory performance monitoring

	Briefly describe the methodology/methodologies or tools used.	After the CTT has received reports of corruption, the process starts with a community gathering to discuss the extent of reported cases. This is followed by a baseline survey to establish and document the current operational environment. The baseline survey is facilitated by CTT staff, but is actually carried out by trained members of the community referred to as village-based researchers. Data collection methodologies used includes focused group discussions with parents, students, teachers, and community leaders; community gatherings; and one-on-one interviews. The baseline results are shared with the community and an official report goes to local authorities, such as school principals and rural district councils, as well as to traditional leaders. Community representatives and school authorities and other local leaders are then involved in practical workshops on topics such as transparency, accountability, the budget, and public expenditure training. During the workshops, school development committees made up of community representatives are strengthened or formed. These committees are empowered to monitor schools' administrative affairs. In addition to the school development committees, the CTT has also established its own monitoring and evaluation team made up of CTT staff and some community volunteers.
	What advocacy and media activities support the initiative?	• Continuous dialogue with school principals and parents • Reports to the district education officer, who represents the Ministry of Education • Community theater against corruption • Local newspapers • Village-based monitoring and evaluation teams supervised by the CTT • Open community forum with the member of parliament and provincial governor
	How inclusive was the intervention?	All stakeholders are involved: parents, local rural councils, church leaders, traditional leaders such as chiefs and headmen, students, the local member of parliament, the provincial governor, and other partners interested in children's welfare.
	Other important information or comments	The CTT holds weekly meetings with the community that ensure that discussions, education, awareness, training, and feedback are continuous throughout the year. Most initiatives are vibrant in the beginning, but enthusiasm fades as stakeholders fail to meet. The community center provides a neutral ground where many issues can be debated and resolved.

Results and Impact	*What (if any) has been the impact of the initiative? What have been the incentives?*	• The main impact of the initiative has been the reduction in corruption cases within rural schools, resulting in improved education service delivery and facilities. School authorities are now aware that they are being closely monitored by all members of the community and must be accountable publicly for every action they take. • The community members have gained a great sense of ownership of local schools and of education in general. This has resulted in a true partnership between school principals and parents. The CTT, together with communities, is in the process of establishing the best managed schools competition, whereby the school principal and staff will be publicly honored and the school will receive a prize.
	Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities and so on? Describe.	There are as yet no institutionalized partnerships between the CTT and the government, although the CTT's initiatives have a good deal of support from various local government departments, including the provincial governor's office.
	(If applicable) Has the initiative been scaled up? Repeated?	The initiative is only taking place in one district.

	What were the main outcomes of the social accountability initiative?	• Development and strengthening of school development committees or parent-teacher associations with proper terms of reference, and in some schools the school development committee, not the principal, handles fees • Reduced reported cases of corruption by school principals • Improved quality of education • Empowerment of communities resulting in ownership of the education system
	Bottlenecks and problems: what difficulties did the agency or NGO face and how did it resolve them?	• Some community members with first-hand information about corruption are not ready to reveal the information out of fear of witchcraft or social victimization. • In some cases, school principals were related to community members and people felt that it was morally unacceptable to inform on wrongdoing by their relatives. • The lack of a code of conduct for school principals developed by parent-teacher associations together with school authorities contributed to much of the misconduct. • Only the Ministry of Education has the power to dismiss someone, and this process can be lengthy.
Further Reference	*Resource Persons/Contacts*	Joy Chidavaenzi, Centre for Total Transformation P.O. Box BW 1739 Borrowdale, Harare, Zimbabwe Tel.: 091247929/04 496709/442544 E-mail: joy@africaonline.co.zw

SOCIOECONOMIC JUSTICE AND MUNICIPAL SERVICES: ZIMBABWE

Methodology Type	Participatory Budget and Expenditure Tracking Participatory Performance Monitoring

Basic Information		
	Name of Intervention	Socioeconomic Justice and Municipal Services
	Primary Agency Running the Intervention	Zimbabwe Coalition on Debt and Development (ZIMCODD)
	Location	Harare, Zimbabwe
	Sector or Level of Focus	National; local budget systems in the context of globalization
	Type of Engagement	Continuous

Context and Scope		
	What is the driving force behind the initiative?	The quality of service delivery by local municipalities has declined, as evidenced by a fall in health delivery systems, education standards, water quality, refuse collection, and so on. Excuses for poor service delivery have centered on a lack of funds, among other things, but ZIMCODD understands that macroeconomic conditions (debt and globalization policies) are important and need careful scrutiny at global, national, and local (municipal) levels. Debt and economic policies affect the capacity of budgets to deliver priority services.
	What are the main objectives and what key accountability problems does it seek to address?	The main objective is to increase the interaction between public policy and citizens in the area of service delivery. The key accountability area is governance scores for service delivery, basic rights of poor citizens, and transparency in public finance design and management.
	Who is the target audience or demographic focus?	Public service providers, residents (and residents' associations), and broader civil society,.
	What is the political culture or environment?	The political culture is mixed at the local level. In most cases, there is a commitment to democratic processes at the policy level; however, weak linkages between civil society and local authorities hamper evaluation of the political system. The current political and economic recession in the country is limiting democratic options for service provision.

Tools and Methodologies Used		
	What specific social accountability tools and methodologies are being used?	ZIMCODD seeks to introduce scorecards, focused study groups, and workshops.
	Briefly describe the methodology/methodologies or tools used.	• Baseline surveys • Detailed expenditure tracking systems • Training toolkits • Training of trainers • Documentaries • Participatory budget monitoring and evaluation • Loan tracking • Public meetings
	What advocacy and media activities support the initiative?	• Training councilors on public finance • Holding roundtable discussions with council treasurers • Training journalists on municipal reporting • Undertaking parliamentary advocacy • Participating in the Zimbabwe Social Forum

	How inclusive was the intervention?	• The intervention is based on capacity building and technical assistance to residents' associations. • More sharing takes place at the level of civil society, where ZIMCODD works using the coalition concept. • The same issues are shared with regional networks and international justice coalition with increased interface in critiquing privatization policies, international debt crisis, unfair trade regimes, and regional integration as espoused by New Partnership for Africa's Development/Africa Union and the World Trade Organization.
	Participation	Participation is centered on building social movements and developing informed citizens' groups. Local leaders and opinion makers are also part of the program.
Results and Impact	What (if any) has been the impact of the initiative? What have been the incentives?	The impact is difficult to measure, as the project is still in its infancy and lacks adequate resources; however, the project is becoming popular with civic organizations and local authorities.
	Is the methodology or initiative institutionalized? Have any institutional linkages and partnerships been established with the government, parliaments, media, NGOs, communities and so on? Describe.	The initiative is institutionalized in ZIMCODD and falls under the Policy and Advocacy Program. In relation to this project, ZIMCODD liaises with the parliamentary Committee on Local Government and National Housing. ZIMCODD also works with the Finance Committee of the Ministry of Finance and Economic Development and the ministries of Local Government and Public Service, Finance and Economic Development, Public Service Labor and Social Welfare. ZIMCODD also has international links with the Institute for Democracy in South Africa, the International Budget Project, and Christian Aid. This linkage will be developed to facilitate exchange study visits on the use of participatory budgeting, scorecards, and alternative public finance revenue sources.
	(If applicable) Has the initiative been scaled up? Repeated?	The initiative will be scaled up. Currently, the focus is on conceptualization.
	What were the main outcomes of the social accountability initiative?	ZIMCODD is profiling municipal debts. Research work on municipal budgets is in progress in three main urban areas: Bulawayo, Harare, and Mutare.
	Bottlenecks and problems: what difficulties did the agency or NGO face and how did it resolve them?	Participatory budgeting is a welcome exercise; however, interaction between research institutions, NGOs, and residents is insufficient. The ZIMCODD project has been failing to take off as a result of these bottlenecks, especially when there are financial constraints. ZIMCODD is making this effort a program with a full-time researcher and involving a wide reference group of players to make the project a success.
Further Reference	Web sources	http://www.zimcodd.org
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