

**Orientation and Methodology Workshop for the Application of
Social Accountability Mechanisms in Community Driven
Development and Decentralization Programs in South Asia**

May 16-19, 2005

Hyderabad, India

Final Report



**South Asia Agriculture and Rural
Development Department (SARAR)
World Bank**

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List of Acronyms

APARD	Andhra Pradesh Academy for Rural Development
ASCI	Administrative Staff College of India
ATI	Administrative Training Institute
CART	Consumer Action, Research and Training
CC	Community Coordinator
CEO	Chief Executive Officer
CESI	Community Empowerment and Social Inclusion Program (of the WBI)
CGG	Centre for Good Governance
CIF	Community Investment Fund
CRC	Citizen Report Card
CSO	Civil Society Organization
CUTS	Consumer Unity and Trust Society
DFID	Department for International Development
DISHA	Development Initiatives for Social and Human Action
DPC	District Planning Committee
DRDA	District Rural Development Agency
GPM & AR	Governance Public Management & Administrative Reforms
IAS	Indian Administrative Service
IKP	Indira Kanthi Patham
IPID	Institute for Participatory Interaction in Development
KILA	Kerala Institute of Local Administration
LIFH	Local Initiative for Health
MKSS	Mazdoor Kisan Shakti Sangathan
MS	Mandal Samakhya

NGO	Non-Government Organization
O&M	Operation and maintenance
PHC	Primary Healthcare Centre
PRIA	(The Society for) Participatory Research in Asia
Rs	Rupees
RWSS	Rrural Water Supply and Sanitation
SASAR	South Asia Agriculture and Rural Development Department
SASANET	South Asia Social Accountability Network
SC	Sub-centre
SDC	Swiss Agency for Development and Cooperation
SERP	Society for the Elimination of Rural Poverty
SHG	Self-Help Group
TISS	Tata Institute of Social Sciences
UNDP	United Nations Development Program
VSHLI	Village Self-help Learning Pilot Initiative
VO	Village Organization
WBI	World Bank Institute
WDR	World Development Report
WSP	Water and Sanitation Program

Foreword

There is growing realization that traditional accountability mechanisms have had limited success in bringing about public accountability. Along with attempts aimed at enhancing supply-side accountability systems, demand-side mechanisms must be developed to foster greater public accountability. Social accountability mechanisms strengthen democratic processes, empower citizens, ensure development effectiveness through effective service delivery and facilitate good governance.

The **Orientation and Methodology Workshop for the Application of Social Accountability Mechanisms in Community Driven Development and Decentralization Programs in South Asia** was designed to promote the use of social accountability methods and tools in South Asia. It brought together participants from India, Pakistan, Sri Lanka and Bangladesh. The workshop provided an ideal forum for engaging practitioners and decision-makers on social accountability issues. It not only facilitated knowledge dissemination and sharing of experiences, but also enabled participants to acquire skills with different social accountability methods and tools.

We thank all the participants, resource persons, speakers and guests, for making the workshop a successful one through their active participation and interest.

This workshop was an initial step towards enabling and institutionalizing social accountability practices in South Asia. Similar commitment and zeal will be required to sustain and scale up such practices.

Dr. P. K. Mohanty
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1 Introduction and Background

1.1 Introduction to Social Accountability

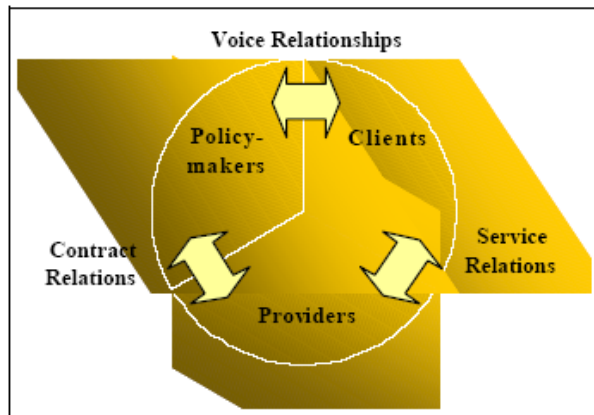
Democratic governance underlines the idea of a social contract—that rulers and people are bound to each other by reciprocal obligations. In other words, it established the basic bargain between the government and its citizens, a quid pro quo that entails accountability of the government to its citizens in exchange for the authority vested in it by its citizens.

“The concept of accountability, together with the institutions through which the concept is articulated and implemented, is perhaps the single most important factor that controls holders of political and public administrative power.”

Traditional approaches to accountability have stressed democratic mechanisms, hierarchical forms of control and supporting arrangements. Political representatives were held to be directly answerable to the citizens through democratic mechanisms such as elections. The bureaucratic apparatus was expected to enable efficient service delivery through a hierarchical chain of command. Other institutions, such as the judiciary, and audit and vigilance agencies, sought to check the misuse of power and authority through oversight and regulatory powers. However, such supply-driven accountability methods have met with limited success.

The World Bank’s 2004 World Development Report provides a framework for making services work for poor people through better public accountability. It unbundles the service delivery chain into a set of voice, contract and service relationships between three agents: (a) policy makers, (b) service providers, and (c) citizen-clients. These are portrayed in Figure 1.

Figure 1: Relationships in Service Delivery



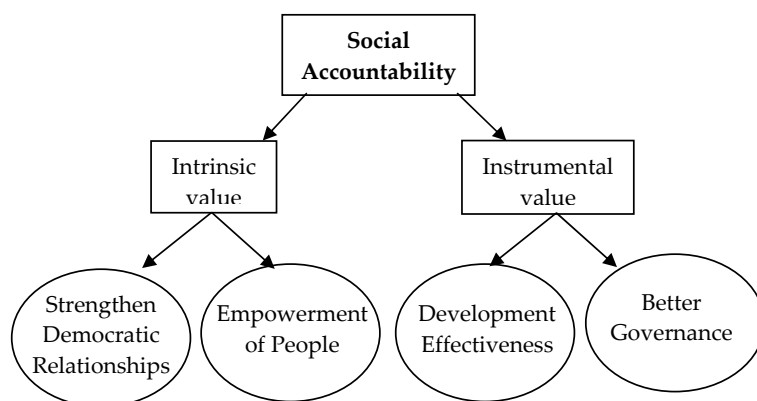
Of particular importance are ‘voice-based’ or ‘demand-side’ accountability mechanisms—mechanisms that allow citizens to directly demand accountability from government and service providers—which have gained prominence in recent times. This approach to exacting accountability through community or citizen action is called social accountability.

Social accountability refers to a broad range of actions and mechanisms that citizens, communities, civil society organizations and independent media can use to hold public servants

and service providers accountable. Traditionally, these have included protests, demonstrations, advocacy campaigns, and so on. But in recent years, attempts have been made, particularly by civil society organizations, to apply social accountability mechanisms in a systematic manner. Different instances of gradual acceptance of such mechanisms by the state, and evidence of better public performance through the use of such mechanisms, have lent credence to the need for greater use and institutionalization of social accountability mechanisms within the governance process.

Social accountability has intrinsic and instrumental value. Its intrinsic importance is reflected by strengthening of democratic relationships and in the empowerment of people. Examples include a more active and aware citizenry and improved relations between government and people. Social accountability's instrumental value is reflected in development effectiveness (through better service delivery) and better governance. For example, it can improve the targeting of government projects and resources through better informed project and policy design, make government more responsive to peoples' needs, increase transparency, and reduce leakages of public funds. These values are presented visually in Figure 2.

Figure 2: The Benefits of Social Accountability



The key areas for the use of social accountability methods have been in:

- the preparation, implementation, monitoring and evaluation of poverty reduction strategies
- public sector reform and public expenditure management processes
- community-driven development programs
- sectoral interventions (e.g., in health, education, transport, water and sanitation).

In recent years, the expanded use of participatory data collection and analysis tools, combined with enhanced space and opportunity for citizen and civil society engagement with the state, have led to a new generation of social accountability practices. These methods and tools are being increasingly used across different parts of India, South Asia, and the world. Some of the practices that have been applied are:

- Participatory Planning and Policy Formulation (Kerala, Brazil, Bangladesh)
- Participatory Budget Analysis (Gujarat)
- Participatory Expenditure Tracking (Uganda, Delhi, Rajasthan)

- Citizens' Surveys/Citizen Report Cards (Bangalore, Maharashtra, Ukraine, Philippines, Pakistan)
- Citizen's Charters (Andhra Pradesh, Karnataka)
- Community Scorecards (Malawi, Maharashtra, Andhra Pradesh)

In addition to these methods and tools, many more exist such as campaigns for electoral reforms, public interest litigation, social audits, and so forth.

1.2 Strategy for Promoting the Use of Social Accountability Mechanisms in South Asia

Social accountability mechanisms are particularly relevant in the context of decentralization, local government reform and community driven development projects that currently form the majority of the Bank portfolio in the South Asia region. Most of these projects have developed good systems of *internal or project level* accountability that move upwards from project management committees to project staff. The challenge of scaling up these projects in the context of increased decentralization is to extend these project level accountability systems into the sphere of local government and public services in general. For this reason they need to invest in training and piloting of innovative social accountability mechanisms such as participatory budgeting, expenditure tracking, and monitoring. This need provides the background for this workshop.

Although development history is replete with attempts by citizens and civil society organizations to foster greater social accountability of governments, the use and practice of social accountability tools have been restricted to bottom-up initiatives launched by dedicated and committed individuals who dared to make a difference. It is important to institutionalize the concept of social accountability and further the use of social accountability tools by all key stakeholders, particularly the government. Towards this end, it is necessary to (a) engage the government and local bodies and build ownership; (b) build awareness of social accountability within civil society; and (c) develop a knowledge base on social accountability tools and a strong pool of trainers for knowledge transfer.

Recognizing this need, the World Bank has started initiatives in different parts of the world. In South Asia, the World Bank has planned the following activities.

- to engage centers of best practices from across the world in the area of social accountability
- to facilitate capacity-building and piloting of social accountability mechanisms in South Asia
- to review and refine operational tools for Social Accountability
- to establish regional networks and communities of practice in the area of social accountability across the globe for knowledge sharing and learning

The World Bank has identified the Centre for Good Governance (CGG), Hyderabad, as a partner institution in promoting social accountability in governance in South Asia through the above-mentioned agenda. The Centre for Good Governance, which was established by the Government of Andhra Pradesh and the United Kingdom Department for International Development (DFID) in 2001, has emerged as a centre for excellence in the area of governance reforms. CGG has been working with the national and state governments to reorient the governing structures and processes to enable better service delivery and better development outcomes through enhanced accountability, transparency and responsiveness.

As a first step, the Centre for Good Governance assisted the World Bank in:

- organizing an orientation and methodology workshop on social accountability mechanisms for key stakeholders such as government leaders/functionaries, project staff, training institutions, civil society organizations
- designing and developing a website that would serve as a knowledge base on social accountability issues as well as facilitate knowledge transfer and sharing across South Asia.

The workshop was a first step in a long-term World Bank initiative to promote and support social accountability practices throughout South Asia. Follow-up activities, including capacity building and pilot projects, are under implementation in selected regions.

1.3 Workshop on Social Accountability Mechanisms – An Overview

The ***Orientation and Methodology Workshop for the Application of Social Accountability Mechanisms in Community Driven Development and Decentralization Programs in South Asia*** was held from May 16-19, 2005, at the Administrative Staff College of India, Hyderabad. The workshop was jointly organized by the Centre for Good Governance, Hyderabad, and the South Asia Agriculture and Rural Development Department of the World Bank.

1.3.1 Objectives of the Workshop

The workshop was designed to be a hands-on, methodology and field-based learning event. Its key objectives were to:

- acquaint participants with social accountability rationales, benefits, risks, practices, methods and tools from different parts of the world
- build capacity to implement social accountability mechanisms through training on social accountability techniques, methods and tools
- promote peer learning among South Asian practitioners by sharing local, regional and international best practices using interactive learning methodologies
- enable future knowledge dissemination by providing a platform for creating a regional community of practice on social accountability
- identify potential pilot projects for the application of social accountability mechanisms

The workshop also aimed at facilitating a regional community of practice by launching a website: the South Asia Social Accountability Network (www.sasanet.org). This is expected to serve as a knowledge sharing and networking forum on social accountability by bringing together actors, experiences, methods and tools.

1.3.2 Workshop Participants

The workshop was attended by: (i) **Government Staff** directly involved in the implementation of community driven development and decentralization programs in the South Asia Region, (ii) **Resource Organizations** (CSOs, NGOs, research organizations and training institutes) that provide training, knowledge and learning support to these programs, and (iii) **Key Decision Makers** that influence higher level policy making.

Dr. Mohan Kanda (Chief Secretary to Government of Andhra Pradesh) was the Chief Guest and Mr. Michael Carter (Country Director – India, World Bank) was the Guest of Honor.

More than 50 participants attended the workshop. Four South Asian countries were represented – Bangladesh, India, Pakistan, and Sri Lanka. A list of participants is given in Annex I.

1.3.3 Workshop Agenda

The four-day workshop was comprised of two main parts:

- A one day orientation program with the objective of familiarizing the participants, especially key decision makers, with current trends in social accountability—globally, regionally and locally—to create an enabling environment for the implementation and institutionalization of social accountability mechanisms.
- A three day methodology workshop for training development practitioners through hands-on methodology and field based training.

The structure of the workshop was designed to address the needs of different participants. The purpose of the orientation program was to acquaint participants, especially government decision-makers, with the use and institutionalization of social accountability mechanisms in the governance process. Informal panel discussions helped make the proceedings spontaneous and highly interactive. The workshop agenda is provided in Annex II.

The methodology workshop provided more detailed knowledge about a variety of social accountability tools. Leading practitioners presented interesting cases of participatory planning and budgeting, participatory expenditure tracking, and community-based performance monitoring tools such as citizen report cards and community scorecards. Simulations, role playing and group exercises made the workshop more interactive and useful. This was supplemented by field visits to villages and e-seva centers to provide practical hands-on training—and interaction with project staff and users—on community scorecards and citizen report cards. The last day of the workshop provided an opportunity for the participants to discuss and present ideas on potential pilot projects for applying social accountability mechanisms in their field of work.

1.3.4 Workshop Results

The workshop enabled participants to:

- enhance their knowledge on social accountability mechanisms concerning their use in different contexts, method of application and results and learning
- identify potential pilot projects for applying social accountability tools in their respective organizations and work programs
- engage in constructive dialogue and networking for knowledge sharing and learning through a community of practice.

2 Orientation Program

The orientation program took place during the first day of the workshop. It was designed to facilitate interaction and experience sharing among senior government decision-makers.

Box 1: Highlights of the Orientation Program

- Participation of delegates from Bangladesh, India, Pakistan, and Sri Lanka
- Inauguration of the South Asia Social Accountability Network (SASANET) and address by the Chief Guest, Dr. Mohan Kanda (Chief Secretary of the Government of Andhra Pradesh)
- Address by Guest of Honor, Mr. Michael Carter (Country Director, India, World Bank)
- Keynote speeches by noted practitioners of social accountability initiatives in India – Dr. Shekhar Shah (World Bank), Dr. Samuel Paul (Public Affairs Centre, Bangalore, India) and Mr. Madhusudan Mistry (Development Initiatives for Social and Human Action)
- Interactive panel discussions on social accountability issues among practitioners and key government decision-makers

The orientation program was comprised of four sessions:

2.1 Session I: Inaugural Session

Dr. P. K. Mohanty (Director-General and Executive Director, Centre for Good Governance) delivered the welcome address and gave a brief description of the role played by CGG in the area of governance reforms and change management.



Dr. P. K. Mohanty, Director-General and Executive Director, Centre for Good Governance (left) and Dr. Mohan Kanda, Chief Secretary, Government of Andhra Pradesh

The Guest of Honor, Mr. Michael Carter (Country Director – India, World Bank), welcomed the social accountability initiative and complimented CGG as an emerging center of excellence. He identified service delivery as a critical area for improvement and emphasized the need for greater devolution and decentralization as crucial for strengthening service delivery. While identifying with the objectives of the workshop as an action-learning program that would provide opportunities for participants to learn from different experiences, he stressed the crucial element of scaling up local-level successes to the macro level.



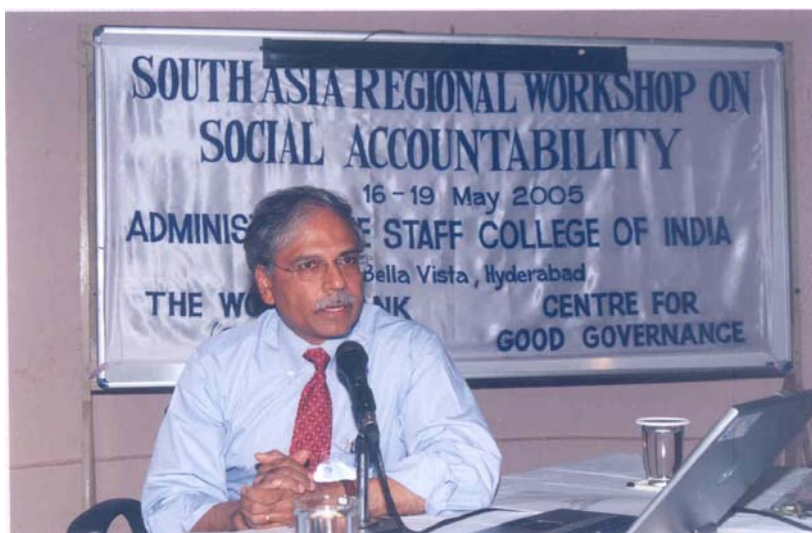
Dr. S. K. Rao, DG - ASCI, and Michael Carter, World Bank Country Director – India

The Chief Guest, Dr. Mohan Kanda (Chief Secretary, Government of Andhra Pradesh), inaugurated the workshop and launched the South Asia Social Accountability Network (SASANET) website (see Annex III for a photo of the website home page and website links to workshop presentations and other key documents). In his address, Dr. Kanda focused on the need to constantly re-engineer governing structures and align them to changing demands. While accepting the requirement for strengthening the accountability link between citizens and public servants, he emphasized that accountability must be clearly defined and a fine balance must be maintained between doing something and not overdoing it. He also urged practitioners to develop and apply such tools that must lead to genuine empowerment rather than apparent empowerment.

The Chair of the session, Dr. S. K. Rao (Director General, the Administrative Staff College of India), identified the need to build links and share successful experiences that enable cross-learning and commended the effort to bring a diverse set of people from different parts of South Asia to the workshop.

2.2 Session II: Social Accountability and Public Management: Setting the Context

Dr. Shekhar Shah (Economic Advisor, World Bank) put social accountability in the context of the service delivery framework of the 2004 World Development Report that emphasized the need for greater accountability by realigning accountability relationships between policy makers, service providers and clients. He pointed out the key implications that emanate from this perspective in the form of institutional, civic, and policy steps needed to strengthen the demand side, mechanisms to enhance voice in budgetary, policymaking and regulatory processes.



Dr. Shekhar Shah, Economic Advisor, World Bank

Dr. Shantha Sinha (Secretary-Trustee, MV Foundation) delivered a keynote address, “Social Accountability and Role of Civil Society”. She highlighted the gap between the poor and non-poor in education and health and related it to differences in access at the local level. She emphasized the role of civil society in awareness-building and mobilization for greater voice and empowerment of the poor.

Mr. Parmesh Shah (World Bank) and Ms. Karen Sirker (World Bank Institute) presented an overview of global trends on social accountability. Mr. Shah drew attention to experiments in social accountability from Latin America, Southeast Asia, and India. He identified the need to share such learning and see if it fits the South Asian context. Ms. Sirker gave an introduction to the World Bank Institute and its focus on information sharing and supporting capacity building throughout the world. She pointed out that more than 80 social accountability experiments have taken place in South Asian and Southeast Asian countries such as Indonesia, India, Pakistan, Sri Lanka, Malaysia, and the Philippines.

Mr. A. Raghotham Rao (Special Chief Secretary, GPM & AR Department, Government of Andhra Pradesh), who chaired the session, made the concluding remark that efforts must be directed towards making democracy “for the people” a reality.

2.3 Session III: Social Accountability Practices

This session provided insights into different experiences with social accountability in South Asia and elsewhere.

The keynote address was delivered by Dr. Samuel Paul (Public Affairs Centre), the pioneer of Citizen Report Cards in India. Dr. Paul provided a basic definition of accountability as “holding a person responsible for his/her actions”. He highlighted civil society initiatives as one of the mechanisms for enabling better service delivery. Dr. Paul identified four prerequisites for success: (1) democratic traditions and tolerance of dissent, (2) intermediate organizations and non-partisan leadership, (3) citizen commitment, resources and energy, and (4) the State’s willingness to empower people.

This was followed by an interactive panel discussion among practitioners in which different social accountability experiments were discussed and debated. This discussion served as an introduction to the cases and methodologies that were covered in greater depth during the methodology workshop the next three days. The following cases were presented in the panel discussion:

- *Citizen report cards in Bangalore.* Dr. Paul traced the report card initiative in Bangalore, how it has been institutionalized within the public system, and how it has enabled service delivery improvements and empowerment.
- *Local Governance Development Fund, Bangladesh.* Mr. Siddiqui (Government of Bangladesh) highlighted this UNDP program in Sirajganj district in Bangladesh with particular reference to participatory planning and a performance rating card for local governments.
- *Participatory planning in a decentralized context in Kerala.* Mr. P. P. Balan (Kerala Institute of Local Administration) described how decentralization has enabled participatory planning in Kerala.
- *Participatory budgeting in Brazil.* Mr. Andre Herzog (World Bank) gave a brief overview of the process adopted in Porto Alegre and how it has been institutionalized within the decentralized system of municipal governance.
- *Right to information in Rajasthan.* Ms. Soumya Kidambi (Mazdoor Kisan Shakti Sangathan) spoke about the ‘Jan Sunwais’ or public hearings that have enabled rural people in Rajasthan to obtain information on the use of public funds in their villages.
- *Participatory expenditure tracking in Uganda.* Mr. Sanjay Agarwal (Indian Administrative Service) highlighted the Ugandan experience of public expenditure tracking in education as a top-down approach to tracking public expenditures, identifying systemic leakages and preventing elite capture.
- *Decentralization and other initiatives in Maharashtra.* Mr. S. S. Hussain (Principal Secretary, Government of Maharashtra) briefed the audience on policy and legislative changes brought about by the Government of Maharashtra to empower citizens in demanding accountability from local governments.

Box 2: A Sample of Cases Discussed in the Open Forum

- *The utility of Citizen Report Cards.* CRCs enable identification of the relative satisfaction of the users of different public services. Based on this, advocacy work has been carried out to make improvements in weak areas (those with low satisfaction rank) of service delivery. The improvement in performance is measured by subsequent CRCs. However, it is very important that the service provider should own the results of CRC and make efforts to act on them.
- *The nature of audit mechanisms for local bodies in Kerala.* Apart from the formal financial audit by the Comptroller and Auditor-General, a social audit is done by the social audit committees identified in the Gram Sabha along with verification of works. The Government of Kerala is trying to make necessary changes in the law for the Comptroller and Auditor-General to take note of the findings of the social audit committees in their formal reports.
- *Women's empowerment in Rajasthan:* Have gender equations changed within families in Rajasthan? Though changing gender relations have led to empowerment of women at different levels, it is necessary to push this agenda further. The Government of Maharashtra has made it mandatory for Gram Panchayats (rural local bodies) to conduct Women's Sabhas (forums) before the general Gram Sabha (village assembly) and the Gram Sabha should ratify the resolutions of Women's Sabha without further questions.

The key messages that emerged from the interactive panel discussion include the following:

- The success of different social accountability experiments demonstrated that service delivery, especially to the poor, improved when the service provider has owned and used social accountability mechanisms.
- The challenge lies in developing and institutionalizing social accountability mechanisms that enable poor people to change from a 'culture of silence' to make their 'voice' heard.
- Social accountability methods must be carefully applied lest they become a mere formality.
- Sustainability of this process needs political and administrative support from government and willingness and capacity of citizens to demand accountability.

2.4 Session IV: Institutionalizing Social Accountability Mechanisms

This session attempted to engage decision-makers in debates about how social accountability mechanisms can be institutionalized within the governance process.

The session began with a keynote speech by Mr. Madhusudan Mistry (Development Initiatives for Social and Human Action, DISHA) on practical issues of social accountability. Mr. Mistry identified the key issue as inadequate knowledge and access to information by citizens, particularly with regard to public finance. He felt that the budget analyses done by academics rarely reveal the actual use of public funds and the different social accountability mechanisms currently practiced are not able to influence the allocation of money for the poor in the desired

manner at the state, district and block levels. Therefore, a mass awareness campaign on public finance is needed.

A panel discussion among government decision-makers discussed the following issues:

- *Right to information.* Mr. S. S. Hussain (Government of Maharashtra) highlighted the efforts undertaken to create awareness of the right to information in Maharashtra. Mr. Vijay Kumar (Government of Andhra Pradesh) identified the right to information as a necessary, but not sufficient, condition for social accountability because it presupposed an active civil society that could raise awareness among the citizens.
- *Institutional changes.* Mr. Sabir Ahmed (Town Municipal Administration, Gulshan, Pakistan) described institutional changes implemented at the local level, which included restructuring of the existing administrative apparatus, to facilitate local governance and social accountability.
- *Community empowerment.* Mr. Janaka Amarasinghe (Gemidiriya Foundation, Sri Lanka) gave details of how participation and inclusion have been institutionalized within the foundation's projects.
- *Fiscal responsibility.* Mr. Mistry (DISHA) noted the importance of fiscal responsibility at every level through statutory requirements. Its impact on decentralization and devolution of finances to local bodies in India was also debated.
- *Local finances and taxation.* Increasing the revenue generation capacity of local bodies through taxation and community contributions were seen as important means for encouraging social accountability. It was felt that taxation will be beneficial if proper assessments of the needs of the poor are done.

Box 3: Some Key Issues that Emerged in the Open Forum

- *Equity versus efficiency in the allocation of central government funds.* Should funds be allocated based on entitlements (a development index) or based on efficiency? Currently, the Government of India allocates funds to states based on a development index. Poor states get more funds than developed states. Does such allocation enable a state to develop or does it perpetuate low levels of performance? What incentives do they give to poor states? The discussants agreed that central allocations should also consider other aspects such as better performance, transparency and accountability.
- *Efficiency of scale versus participation.* This pertains to the tradeoff between the extent of participatory processes and the scale at which services can be delivered. The structural differences of decentralization across different Indian states highlight this aspect. One of the ways this problem could be mitigated is by enabling service efficiency at viable levels with sub-level participation forums as seen in Kerala, West Bengal and Karnataka.

The key lessons from this session were:

- The right to information is an important means for enabling and institutionalizing social accountability mechanisms.
- An active citizenry and a vibrant civil society are critical for enabling supply-side social accountability measures.

- Local-level initiatives must be supported and strengthened by macro-level initiatives such as fiscal responsibility, decentralization, and performance incentives.
- Decentralization provides the framework within which social accountability mechanisms can be put to good use.
- Empowering local governments must go hand-in-hand with institutionalizing accountability mechanisms.
- Decentralization must involve role clarity, financial and functional devolution, simple fiscal transfer mechanisms, local taxation, hard budget constraints and capacity building.

The World Bank and the Centre for Good Governance concluded the orientation program with suggestions on taking the agenda forward and summary remarks. With this introduction, the workshop participants were prepared and invigorated to tackle the cases and methods in depth during the methodology workshop the following three days.

3 Methodology Workshop

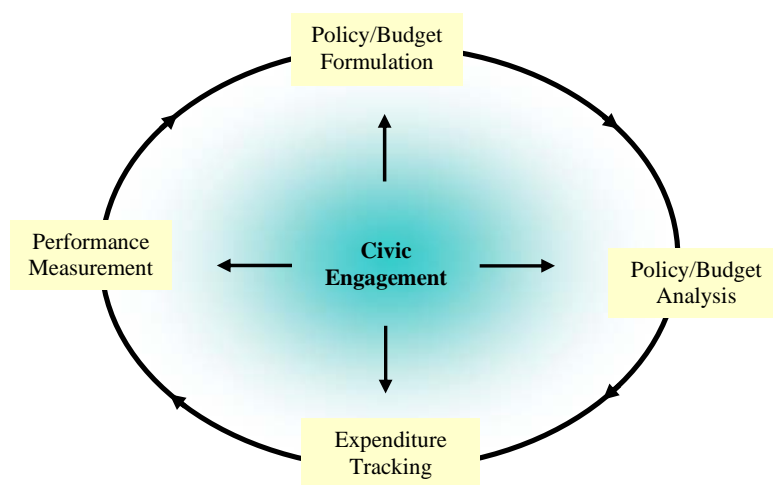
The methodology workshop took place from May 17-19, 2005. Rather than report on the methodology workshop in a day by day or session by session chronology, the workshop and this report is organized around the following main activities of the methodology workshop:

- presentations of case studies using social accountability tools
- group exercises and simulations
- field visits for practical hands-on training
- designing pilot social accountability programs

3.1 Presentations of Case Studies Using Social Accountability Tools

The workshop adopted a holistic approach for understanding the applicability of social accountability methods by using the Participatory Public Expenditure Management Model. This model identifies a set of mechanisms for enabling civic engagement in the process of public expenditure management whereby users, clients or citizens can become involved in the process of allocating, reviewing, tracking, and monitoring public expenditures. This provided a conceptual framework for the discussions on the specific cases and tools that followed. The model is presented in Figure 3.

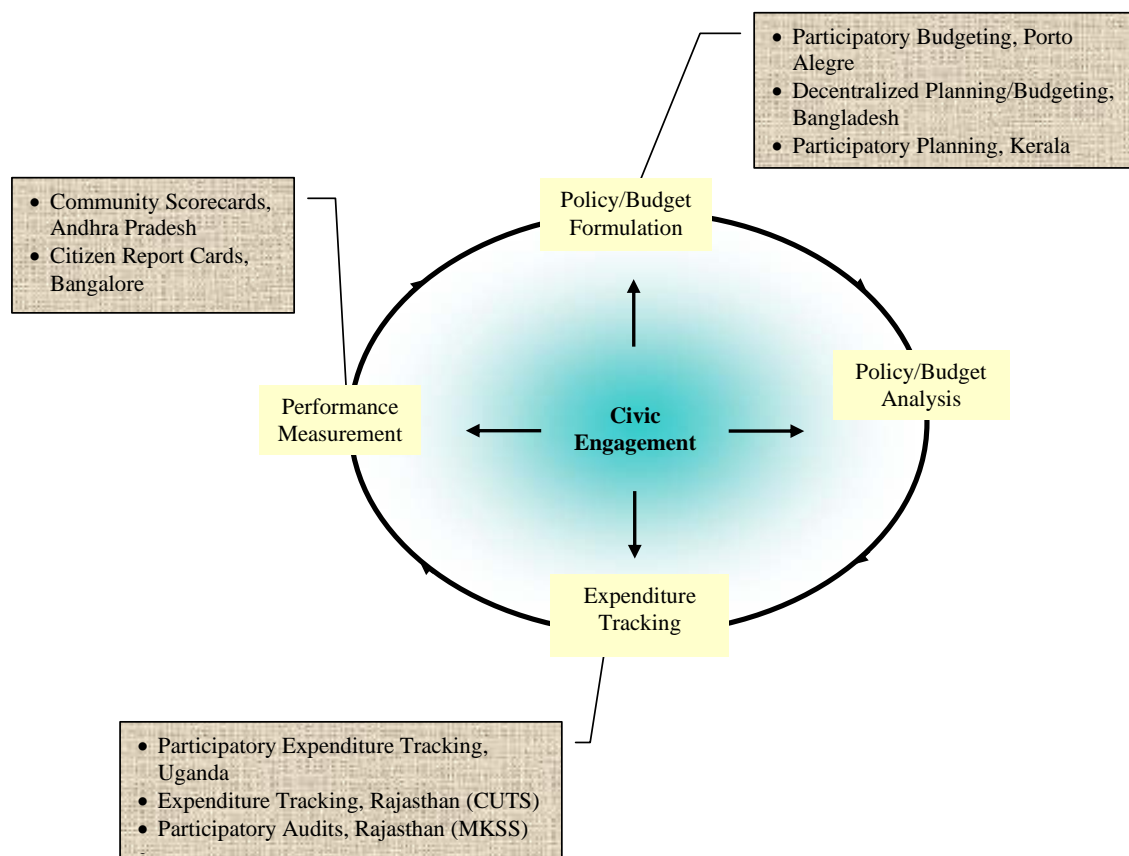
Figure 3: Participatory Public Expenditure Management Model



Participatory Budgeting involves citizens participating in the making of a public budget. Citizens propose spending projects, set priorities and decide which projects get funded. The goal of *Participatory Budget Analysis/Review* is to review the impact and implications of budget allocations by demystifying the technical content of the budget for common people. Such analysis is generally applied at higher levels of budget setting organizations such as state governments or Zilla Parishads. *Participatory Budget/Expenditure Tracking* involves the use of civil society to track how the public sector spends the money that was allocated to it. *Performance measurement* of public services and projects allows measurement of the quality of service delivery by users/customers and identifies areas that need improvement. Figure 4 locates the different tools

and cases presented at the workshop according to the model. A conscious effort was made to provide examples from different stages of the public expenditure management cycle.

Figure 4: How the Workshop Cases Fit into the Participatory Public Expenditure Management Model



3.1.1 Participatory Policy/Budget Formulation

3.1.1.1 Participatory Budgeting

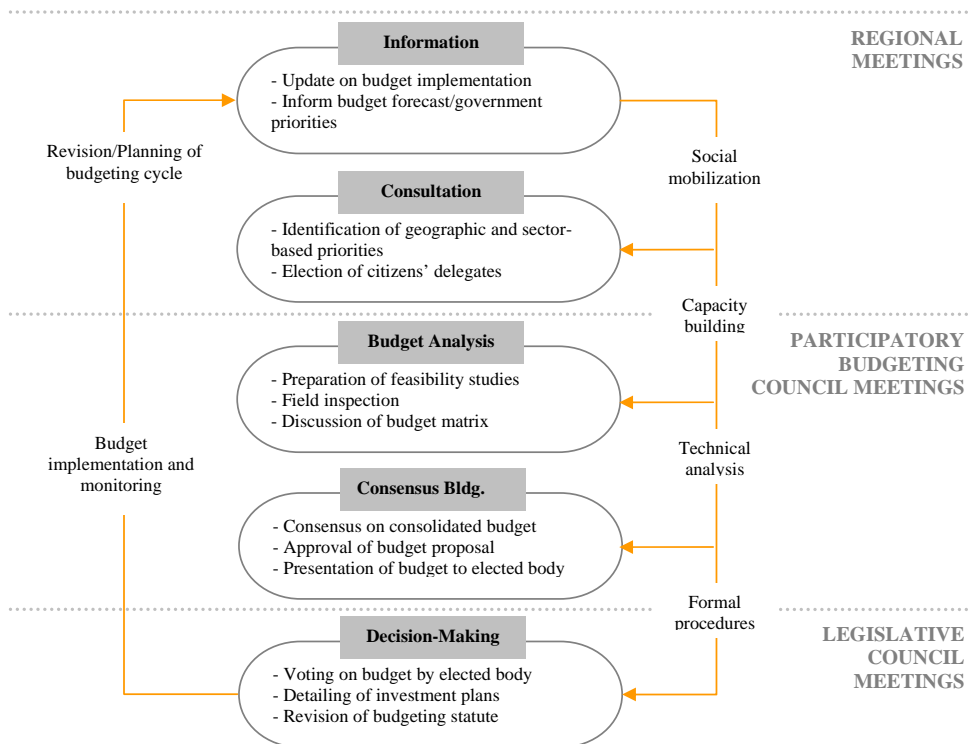
Participatory Budgeting can be broadly defined as a mechanism or process through which the citizens participate directly in the different phases of the budget formulation, decision making, and monitoring of budget execution. Due to the nature of citizen participation, this process is effective at the local government level and not at higher levels. When properly managed, participatory budgeting can improve the transparency, efficiency and effectiveness of public budgeting in the following ways:

- better targeting of public expenditures
- better citizen understanding of the tax system and budget constraints
- enhance transparency and accountability
- enable social inclusion

- complement and strengthen representative democracy

The diversity of participatory budgeting experiences shows the universal value of citizens' engagement in budget formulation and execution. Despite the variation in terms of participatory processes, institutional arrangements, legal frameworks, and degree of fiscal policy discretion, it is possible to identify some common features without prescribing a single model. In most cases, the participatory budgeting process has been organized cyclically, following the annual or multi-year public budgeting process, as shown in Figure 5.

Figure 5: Flow Chart of the Participatory Budgeting Process



Some of the critical factors underpinning the success of participatory budgeting are: (i) political commitment, (ii) interest and capacity of citizens, (iii) civil society organizations' capacity to support a proactive information communication campaign for citizens, (iv) institutional capacity to manage the process and overcome bureaucratic obstacles, (v) capacity of citizens' representatives to effectively represent their communities, (vi) fiscal reforms to complement administrative modernization and re-prioritization of expenditures, and (vii) planning for aligning sectoral resource allocations with regional development strategies.

Mr. Andre Herzog (World Bank) made a presentation on the participatory budgeting process developed at the municipal level in Porto Alegre in 1989 (see Box 4). By 2004, about 240 Brazilian municipalities across the political spectrum were applying similar mechanisms. Variants of the Brazilian experience in participatory budgeting have taken place in more than 20

countries, from Latin America (Argentina, Uruguay, Chile, Peru, Nicaragua, Mexico, El Salvador, and the Dominican Republic), to Asia (India, Sri Lanka, Indonesia, and the Philippines), Africa (Cameroon), and Europe (Spain, Italy, Germany, France, Belgium, Portugal, Switzerland, Albania, and Bosnia and Herzegovina).

As one of the best known examples of participatory budgeting, the Porto Alegre case generated a lot of attention but also some questions, such as:

- Is the government's role neutral? Government only initiated the process but the citizen council does the coordination.
- Are there any tensions? Tensions were there since administrators and politicians felt that power was being taken away from them. But in the end they felt it better to involve citizens in the process. Now, elected members of the councils are invited to attend citizen meetings.
- Is there a supportive legal framework? No legal framework exists. Currently statutes (rules and regulations) of participatory budgeting are used. These are revised annually.

Box 4: Participatory Budgeting in Porto Alegre, Brazil

Context. Direct involvement of citizens in the budgeting process was pioneered at the municipal level in Brazil fifteen years ago when the country was undergoing a process of intensive social mobilization and decentralization. Among other reforms, these changes included the establishment of public policy management councils that facilitated innovative social accountability mechanisms for civil society engagement. The 1989 municipal elections brought to power a progressive mayor who realized the potential for opening up to citizen's scrutiny the serious fiscal situation inherited from the previous administration and engaging citizens in the prioritization of local needs vis-à-vis scarce municipal resources.

Process. The participatory budgeting cycle usually starts with the division of the municipal administrative boundaries into regions. The Municipality organizes information meetings at the beginning of the budget cycle. Citizens are provided with the necessary information to start the process such as budget rules and procedures, implementation status of the current budget, and government expenditure priorities. A second round of meetings is organized for the identification of citizens' priorities and the election of delegates (regional representatives) and for citizens to voice their needs and vote for priorities. The delegates undertake capacity-building activities to improve their understanding of public budgeting, fiscal mechanisms, and service and investment planning as well as to enhance their consensus-building and conflict resolution skills. The delegates usually conduct field inspections to validate the priorities selected during the regional meetings. The government conducts technical and financial feasibility studies for each priority presented at the budget council. After intensive debates between the government and citizens' delegates, the final proposal is voted on by the budget council and presented to the mayor for budget consolidation and submission to the Municipal Legislative Council.

The participatory budgeting cycle ends with the analysis of and voting on the budget by the members of the legislature who hold the legal mandate to approve the municipal budget. The delegates closely follow the analysis of the budget proposal and the final voting session of the Legislative Council to ensure that their deliberations are reflected in the final budget text approved by the legislature. Once the budget is approved, a monitoring committee is established to oversee the procurement and budget execution processes. The cycle restarts with the evaluation of the budget activities of the previous year, incorporating the necessary changes into the set of rules and procedures, and planning the activities for the new participatory budgeting cycle. One of the most important innovations is the formula for resource allocation and prioritization which combines three basic criteria (population, access to service and infrastructure, and regional priorities), and a weighting system to allocate the total budget among the 16 regions and 13 priorities.

Outcomes. There has been steady growth in the number of people participating in the budget process in Porto Alegre. Since 1989, almost 15 percent of the total population has participated in at least one budget event. Over the last 15 years, Porto Alegre has shown significant improvements in several areas.

- The number of social housing units increased from 493 per year to 1,000 per year.
- The paved road deficit decreased from 690 km to 390 km from 1988 to 2003.
- Sewage system coverage increased from 46 to 84 percent from 1989 to 2002.
- The number of municipal schools increased from 29 to 92 from 1989 to 2002, with enrollment increasing from 17,862 to 55,741.
- Expenditures in health increased from 10 percent in the 1980s to 18 percent.
- Tax revenues steadily increased and property tax evasion declined 30 percent since 1989.

Mr. Azizur Rahman Siddiqui (Sirajganj Local Governance Development Fund, Bangladesh) made the second case study presentation on participatory budgeting (see Box 5). He described the project's context, the history of its development and its processes including a number of social accountability tools.

Box 5: Sirajganj Local Governance Development Fund, Bangladesh

Context. Local governments in Bangladesh continue to struggle to obtain sufficient administrative and fiscal power. The three levels of rural local government—Union Parishad, Upazilla Parishad and Zilla Parishad—are constrained by poor transparency, low capacity, bureaucratic control, political interference, weak authority, lack of accountability of service provider and weak financial resources. The Sirajganj Local Governance Development Fund project was implemented as a pilot to strengthen local bodies and ensure pro-poor service delivery through responsive local governance. It is a rural initiative and is located in 81 unions of the Sirajganj District, Bangladesh.

Process. Many participatory and social accountability practices were incorporated within the project. These include:

Participatory Performance Assessment. A public scorecard was used to grade officials and assess financial management, service delivery, female participation in decision-making, transparency, accountability, and overall governance of the Union Parishads. The assessments were done once a year with the participation of community representatives, Union Parishad bodies, and occasionally local government officials.

Participatory Budget Meeting. The annual income and expenditure statements of the Union Parishad were presented in the budget meeting, along with the succeeding year's income-expenditure plan. The Union Parishad prepared a draft budget and displayed it on notice boards. On a fixed date, the participants reviewed the budget and asked Union Parishad representatives about different income and expenditure items and made suggestions.

Participatory Planning Sessions. Participatory planning sessions were organized at the ward (village) level to identify and prioritize the problems of the community. They also suggested potential solutions and programs to address the problems. The sessions were facilitated by Ward Development Committees and the union facilitation team members. More than 150 persons (30-40 percent women) participated in the ward level sessions as representatives of their respective wards.

In addition, information on the Union Parishad (yearly plan, scheme lists, funds received, minutes of meetings, notices, and budgets) was publicized through the notice board. Information boards were set up near the schemes to inform the community about their details (funding source, amount of work, dates, responsible persons, scheme costs, etc.). Complaint books were kept at each scheme site to obtain feedback on quality.

Outcomes. The main outcomes of the social accountability initiatives include greater ownership by the community of local level development, better resource mobilization, greater devolution of authority to local governments, reduction in corruption, better quality of service delivery and better access to services by the rural poor. The Local Government Division has already internalized the performance assessment system and implemented it the last two years. The national government has asked UNCDF to replicate the project in other districts.

During the discussion a participant remarked on improvements in transparency and accountability: open discussions were now possible and poor people received the opportunity to participate in the decision making. In fact, the process has rules to ensure broader participation. No Union Parishad member (elected local body member) can be on the supervisory committee. The supervisory committee consists of a school teacher, a woman member of an NGO, a social worker, and two interested volunteers.

3.1.1.2 Participatory Planning

Participatory planning is the process by which citizens come together to identify their needs and prioritize them within the resource envelope that can be mobilized through a socially and politically acceptable form of negotiation. To ensure realism and specificity, planning has to be vis-à-vis an indicative budget. Participatory planning is an element of participatory budgeting.

Participatory planning, as a tool for social accountability, has the following advantages:

- relevant to all types and sizes of local governments
- facilitates the identification of priorities of different sections of society
- develops local solutions to difficult development problems that are unfettered by technological, institutional or ideological fixations
- motivates citizens to back up their participation with contributions in cash or labor to expand public resources to match the identified spending priorities
- provides local data collection and analysis and is a good base for reflection and development action leading ultimately to empowerment
- facilitates enhanced information flow as well as greater awareness of development issues
- generates the desire for learning about development, including concepts like gender, social justice, environmental sustainability, and assimilating the physically challenged.

In order to ensure that national and regional development objectives are harmonized with local level needs and aspirations, a framework is needed for participatory planning without being restrictive. To make the whole exercise legally and administratively valid, existing rules and regulations have to be suitably restructured to enable participation. Participatory planning is only a beginning. If properly managed, it can lead to a demand-led improvement of service delivery and to responsive local government.

One workshop session was a panel discussion of the experience of people's planning in Kerala state in India (see Box 6). Mr. S.M. Vijayanand (Secretary, Planning and Local Self-Government, Kerala) and Dr. Joy Elamon (Chief Program Coordinator, Capacity Development for Decentralization) each made presentations to lead the discussion. Dr. Elamon elaborated on the range of training required, systemic changes, challenges, and conceptual and practical issues to consider: for example, projects versus long-term processes, elite capture versus absence, participation versus attendance, bureaucracy versus elected representatives, dual control, mistrust and ego, the absence of rules, legitimacy, levels of accountability, and who benefits.

Mr. Vijayanand described the key features of decentralization and participatory planning in Kerala, the many social accountability mechanisms utilized, the new initiatives the process has triggered and a critical assessment of the performance so far. The key lessons for social accountability that he outlined were:

- Social accountability increases with decentralization.
- Public action does not necessarily follow awareness of what is happening.
- Capacity building is critical for achieving social accountability.

- Continuing citizen education and creation of fora for public participation is necessary.
- The right to information has to be supplemented by compulsory disclosure.
- Social accountability and formal accountability systems have to be linked.
- Community-based organizations linked to local governance can strengthen social accountability.
- Existing systems of administration need to be overhauled to support decentralization.

Box 6: People's Planning in Kerala

Context. The 'People's Campaign' for decentralized planning was a direct result of the social movement for bottom-up development led by the Kerala Sastra Sahitya Parishat and the realization that top-down state-led approaches had failed to realize their goals. The 73rd and 74th amendments that mandated decentralization provided the opportunity for participatory planning in Kerala. This led to the People's Planning Campaign as a mechanism for planning and budgeting, specifically established for the development of the 9th five year plan, through a hierarchical compilation of plans from the local level up to the state level. This practical methodology for participatory planning has been institutionalized within the decentralization process in Kerala.

Process. The felt needs of the community are identified through a meeting of the Grama Sabha/Ward Sabha, The meetings are held in a semi-structured manner with plenary sessions and subgroup sessions dealing with specific issues. The decisions are recorded and forwarded to local governments. Based on the demands emanating from the Grama Sabha/Ward Sabha, detailed development reports are prepared for every local government. These reports describe the sectoral development status, analyze the problems, and point out directions for future development. Based on Grama Sabha/Ward Sabha feedback and the development report, a one day seminar is held at the local government level in which participation of experts, elected members, representatives nominated by the Sabhas, and public practitioners is ensured. The development seminars suggest the broad priorities and general strategies of development projects to be taken up for a particular year. The ideas developed by the above three stages are translated into projects by working groups at the local government level.

The local government finalizes its plan for the year and this plan is submitted to the District Planning Committees (DPC) through the Technical Advisory Committees. The Panchayat is free to take up any project, irrespective of its cost, subject to available resources and within sectoral limits. The Technical Advisory Committees at the Block or the District level, consisting of official and non-official experts, vet the projects for their technical viability and conformity with mandatory government guidelines on planning and costing, and forward them to the DPC. They cannot change priorities or projects; they can only ask for rectification. The DPC gives the formal approval to the plans after which the local government can start implementation. The DPC also cannot change the priority of a local government. It can only ensure that government guidelines are followed. Administrative approval for implementation is given by the local government.

Outcomes. The targeting of benefits has improved and beneficiary selection is more equitable. Local governments have been able to channel more funds to the poor and have achieved considerable progress in poverty reduction. Local governments have done very well in the provision of minimum needs infrastructure, particularly housing, sanitation, water supply, electricity and facilities for schools and hospitals. The planning process has facilitated widespread public knowledge about development programs undertaken by local government and the quality of their implementation. Participation in setting priorities is still

considerable with attendance in Grama Sabhas remaining around 10 percent with poor women constituting the majority.

3.1.2 Participatory Expenditure Tracking

Traditionally, expenditure reviews are conducted by technical agencies, bureaucrats, or external consultants. Participatory expenditure tracking is different and more powerful because there is continuous public involvement in the exercise. Actual users or beneficiaries of services—for example, parents of school children or electricity consumers—collect data on inputs and expenditures. Not only are expenditures tracked, but all inputs, by looking at inventory records. Participatory expenditure tracking can take different forms such as public expenditure tracking surveys, participatory social audits, right to information movements, citizen juries, investigative journalism, and civil society monitoring of public agency performance.

3.1.2.1 Public Expenditure Tracking Surveys

Public expenditure tracking surveys are quantitative exercises that track the flow of resources from origin to destination and determine the location and scale of anomalies. They are tracking surveys, intended to provide communities with information about the level of resources allocated to particular services in their area, such as the local school or health clinic. They systematically track the flow of resources through the various layers of government bureaucracy. This is to determine how much of the originally allocated resources reach each level and how long they take to get there. The surveys assess the leakage of public funds and can help to assess the efficiency of public spending and the quality and quantity of services. The unit of observation is typically a service facility or local government rather than a household or an enterprise. The survey collects information on facility characteristics, financial flows, and outputs (services delivered). It highlights not only the use and abuse of public money, but also gives insights into the concepts of capture, cost efficiency, decentralization, and accountability.

Public expenditure tracking surveys have been undertaken in Albania, Bolivia, Cambodia, Chad, Ghana, Georgia, Honduras, Laos, Macedonia, Madagascar, Mozambique, Nigeria, Papua New Guinea, Peru, Rwanda, Senegal, Tanzania, and Uganda.

After the session on participatory budgeting, the methodology workshop had a session on participatory expenditure tracking, the third step in the participatory budget expenditure management model (figure 3). Mr. Sanjay Agarwal (Indian Administrative Service) made a presentation on the Uganda experience. Mr. George Cheriyan and Mr. K.C. Sharma (both from the CUTS Centre for Consumer Action, Research and Training) and Ms. Soumya (MKSS) made presentations on the Rajasthan experience. This session was followed by a group exercise on participatory budgeting and expenditure tracking described in the next section of the report (Group Exercises and Simulations).

Mr. Agarwal outlined the tools and experience of participatory expenditure tracking (see Box 7). He focused his presentation on Uganda where only 13 percent of allocations were reaching schools, and none were reaching poor schools. He described the extensive, sustained program by government and citizens to reduce leakages of public funds. He identified political context and culture, access to information, role of the media, state capacity, state-society synergy, and institutionalization as critical factors for success. He concluded by offering the following lessons: (1) access to information reduces local capture, (2) inexpensive policy actions and mass media campaign can improve targeting of programs, and (3) the poor are least likely to claim their entitlements from district officials so they benefit the most from such exercises.

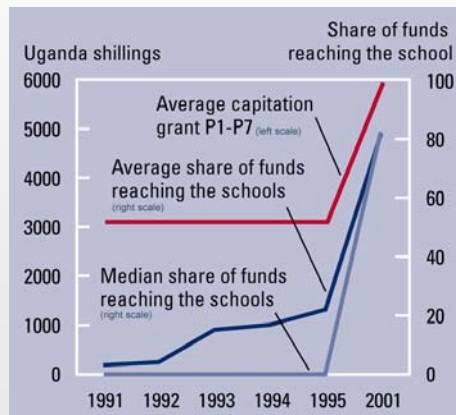
Box 7: Participatory Expenditure Tracking Surveys in Uganda

Context. Expenditure tracking surveys began in Uganda once it was realized that public spending on basic services had increased substantially whereas several officially reported output and outcome indicators had remained stagnant. The most obvious disparity in outcome indicators was seen in primary school enrollments. Budget allocations for primary education nearly tripled between 1991 and 1995, yet there was hardly any increase in officially reported enrollment.

Process. As part of the tracking, budget allocations and actual spending were compared for primary education. A field survey was carried out in 19 of Uganda's 39 districts, covering a randomly selected sample of 250 government schools, to collect spending data for 1991–95. The survey was designed and implemented in collaboration with the Ugandan government, a local research center and an independent Ugandan consulting firm. The process involved (a) identifying the scope, actors and purpose, (b) design of questionnaires, (c) sampling, (d) execution of the survey, (e) data analysis, and (f) dissemination of information.

The field survey confirmed the hypothesis that input flows suffered from weak governance and lack of accountability. On an average, less than 30 percent of the funds intended for non-salary public spending actually reached schools from 1991 to 1995 because district authorities used most of the non-salary grants meant for schools. Similarly, schools were allowed to keep, at best, only a third of the mandatory tuition fees from parents. The survey revealed that although the government's share of spending on public primary education increased over time, most of the burden continued to be borne by parents, who accounted for as much as 70 percent of school spending in 1991 and 60 percent in 1995.

Outcomes. After the survey results were released in 1996, the government actively responded to them. For example, to increase transparency and accountability, monthly transfers of public funds to districts are now reported in the main newspapers and broadcast on radio. Moreover, government policy now requires that transfers to primary education be displayed on public notice boards in each school and district center, and the Ministry of Education monitors compliance. School-based procurement has replaced the central supply of construction and other materials. Detailed expenditure data on teacher salaries are now available at the central government level. The Ministry of Education replicated the school survey in 1998 and found major improvements in the flow of funds.



Ms. Soumya's presentation (see Box 8) focused on the right to information through Jan Sunwais (peoples' hearings). Her organization, Mazdoor Kisan Shakti Sangathan (MKSS), played a key role in introducing the concept of social audits of public expenditures to Rajasthan. She elaborated the process and achievements of peoples' hearings. Although 30 public hearings have been conducted by MKSS, they are not a solution but rather an example of how to pursue the right to information. Public hearings only highlight corruption. To find solutions, lobbying has to be done with the administrators and politicians to incorporate social audits. Ultimately, there needs to be the political will to undertake such exercises.

Box 8: Peoples' Hearings in Rajasthan

Context. A *Jan Sunwai*, or peoples' hearing, is a form of participatory social audit in which government officials are brought face to face with citizens in a public debate. The *Jan Sunwai* was one of the most important innovations introduced by the Mazdoor Kisan Shakti Sangathan (MKSS) in Rajasthan to conduct social audits of public expenditures. In the *Jan Sunwai*, people give individual and collective testimony on the work done by their *panchayat* officials. Jan Sunwais help identify corrupt practices in rural development works such as over-billing, fake muster rolls, under-payment of wages, and ghost work.

Process. The following steps take place in a typical *Jan Sunwai*:

- Information on suspected corruption in local development projects is generated from extensive research by volunteers organizing the *Jan Sunwai*.
- Official records on amounts sanctioned and actually spent on local development projects are procured from local government offices and analyzed.
- A public hearing is organized independently of the official village assembly in a public place in the concerned village.
- Extensive publicity is given to the public hearing. All villagers, government officials, elected representatives and the press are invited.
- The hearings are presided over by a panel of respected individuals from the local community.
- At the start of the *Jan Sunwai*, the rules of the meeting are explained. Everyone, except those under the influence of alcohol, is entitled to speak. Everyone must speak on the theme and be restrained in their language.
- Identified cases are taken up one by one. Detailed accounts of development expenditures from official records are demystified, paraphrased and read aloud to the assembly.
- Villagers—particularly laborers, suppliers and contractors—verify whether they received the money due to them or whether construction took place as claimed. Officials are encouraged to clarify or defend themselves.
- In this way discrepancies are highlighted and officials are asked to account for missing sums.

Outcome. The Government of Rajasthan has institutionalized social audits for all development works. The state government has started organizing *Jan Sunwais*, some of which are under the supervision of MKSS, in villages, especially those in which large amounts of money have been spent.

Mr. Cheriyan and Mr. Sharma gave a detailed presentation on the people's campaign for transparency and accountability in Rajasthan. They explained the rationale of the campaign, its strategy, limitations of formal accountability mechanisms, and how to ensure genuine transparency and accountability through a participatory approach. The presentation provided details on many activities of the campaign. They acknowledged problems including civil society lack of capacity, difficulty in data collection from government agencies, and the attitude and mindset of government functionaries. Despite the problems, they mentioned many achievements:

- enhanced information at the grassroots
- villagers collecting information about schemes and the problems of the villages through participatory rural appraisal
- increased knowledge at grassroots among common people about public expenditures
- more and more people participating in the expenditure tracking process
- government machinery more alert on public spending
- more coverage in local media on public expenditure

Box 9: Strengths and Weaknesses of Participatory Expenditure Tracking

Strengths:

- provides concrete evidence of mismanagement or fund leakage by governments
- empowers the poor by giving them confidence and self-respect
- significantly lowers corruption and leakages

Limitations:

- no legal guarantees for punishing the guilty
- no safeguards for whistleblowers
- government backlash or resistance

3.1.3. Performance Measurement

Performance measurement of public services involves systematic collection of the experience and level of satisfaction of service users with the public services they receive. They rate service delivery on indicators they identify. This is equivalent to customer satisfaction surveys conducted by corporations to find out where customers desire improvements. This process is also called giving voice to customers. The responsible service delivery agencies or higher tiers of government plan for performance improvement in the areas that receive low user ratings.

Two important tools of participatory performance measurement are the Community Scorecard and the Citizen Report Card. The first entails communities choosing the performance indicators for a set of services themselves, rating their performance and analyzing their scores. The feedback of the community monitoring exercise is then presented immediately through meetings with relevant government agencies in the hope of a response.

The most commonly used instrument for performance measurement at the more macro level is the Citizen Report Card. This is a survey instrument used to tap information on users' awareness, access to, and satisfaction with publicly provided services. It contains information about the key constraints the poor face in accessing public services, the quality of services, and details of their experience in interacting with public officials.

The methodology workshop devoted two sessions to performance monitoring, mainly on scorecards and report cards. An entire day of the workshop was committed to field visits to meet with communities using report cards and scorecards. Mr. Tathagata Dasgupta (Public Affairs Centre) spoke about the experience of citizen report cards in Bangalore. Mr. Jonnalagada Murty (Local Government Initiative Fund, Maharashtra Water and Sanitation Program) gave a presentation on the local government performance rating system in Maharashtra. Mr. Abdul Wahab and Mr. Sabir Ahmed reported on the experience in Karachi. Mr. Parmesh Shah (World Bank) described the community scorecards methodology.

Mr. Dasgupta recalled the history of the development of citizen report cards in Bangalore through a civil society initiative by the Public Affairs Centre (see Box 10). He outlined the steps in planning and organizing a report card. Over a period of almost ten years both supply side and demand side factors contributed to improved public service delivery. Demand side factors included the glare effect of citizen report cards, pressure from civil society groups, reliable surveys by highly skilled researchers, pressure by the media, and donor dialogue. Supply side factors included a state agency task force, resource mobilization by state agencies, use of an ombudsman, and political commitment and support by the Chief Minister of the state. Although it took time, the citizen report cards ultimately did have an impact.

Box 10: Citizen Report Cards in Bangalore

Context. The Citizen Report Card was developed in 1993 in Bangalore, India by the Public Affairs Centre in response to public concern about the quality of services. The Citizen Report Card is an assessment of public services by the users of public services through survey methods.

Process. Over a decade, the Public Affairs Centre issued three citizen report cards: in 1994, 1999 and 2003. Unlike other technical and financial assessments of services, the citizen report card sheds light on how users benefit from services and the extent to which they are satisfied with the services they receive. The third citizen report card covered public agencies such as the Bangalore Municipal Corporation, the Bangalore Development Authority, the Bangalore Electricity Company, the Bangalore Water Supply and Sewerage Board, the Bangalore Metropolitan Transport Corporation, the Bharat Sanchar Nigam Limited, the Bangalore police, public hospitals and the Road Transport Authority.

Outcome. The satisfaction of Bangalore citizens with all services increased significantly over a four year period. Of the nine agencies on which citizens of Bangalore provided feedback, all have received satisfaction ratings above 70 percent in 2003 compared to less than 40 percent in 1999. Report cards have been used in seven cities in India—Ahmedabad, Bangalore, Calcutta, Chennai, Delhi, Mumbai and Pune. This concept has also spread to other countries such as Ukraine, Vietnam and the Philippines.

Mr. Murty described accountability and responsiveness as more sustainable approaches than more funds or technocratic solutions to long term improvements in government performance (see Box 11). Tools for improving accountability include benchmarking performance, encouraging competition, the use of incentives, and building user and citizen awareness. Examples included the Swaraj Trophy in Kerala and the Sant Gadge Baba Cleanliness Campaign in Maharashtra. Ratings were used to identify weak areas and to build capacity in these areas.

Box 11: Performance Ratings of Local Bodies

Context. Scorecards can also be used to gauge the performance of local bodies. Efforts in this direction have been made in Kerala and Maharashtra.

Process. The Swaraj Trophy, launched in 2000 to reward the best local governments in Kerala, evaluated the local governments on all sectors of their work. The competition is advertised every year and interested local bodies apply by providing details of their performance. The best performing local governments at the district, block and village levels are given rewards and cash prizes.

In Maharashtra, a sectoral scorecard (sanitation) has been used by the government to assess and reward the performance of rural local bodies. These local bodies are evaluated on a range of 10 activities, primarily related to water supply and sanitation. Field evaluations are done by a team of officers, elected representatives, and civil society organizations. There are 5 rounds of elimination and the best 3 at each stage (district, block and village) receive cash rewards.

Outcome. Based on the positive outcomes, the Government of Maharashtra is working on a comprehensive rating system for all rural bodies for measuring performance in 6 key areas - health, education, water supply and sanitation, social development, human resource development and financial management.

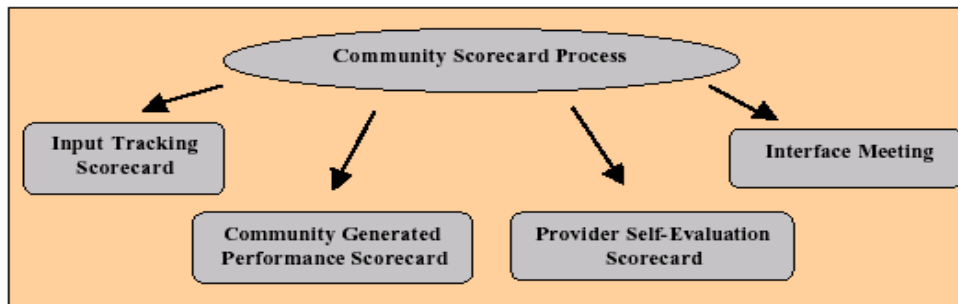
Mr. Wahab and Mr. Ahmed spoke about the devolution of municipal services in Karachi. Administrative actions were complemented by public performance monitoring instruments including the establishment of a public complaint system with online lodging and tracking of complaints, creation of public monitoring committees for development works, continuous interaction of elected representatives and the public, systematic and widespread efforts to improve public awareness, the encouragement of citizen community boards to participate in community development, and an agreement with Transparency International to improve efficiency of the system and to control corruption. Service levels improved at lower costs.

Mr. Shah explained that “community scorecards” is a term for a range of community-based monitoring tools that include citizen report cards (see Box 12). Examples of projects using this tool include the Local Initiative for Health project in Malawi and the Rural Poverty Alleviation project in Andhra Pradesh, again with respect to the health sector. In the latter case, both the health center staff and its clients rated scorecard items such as availability of doctors and drugs, facilities, respect for patients, and staff coordination. The staff and users first met in separate groups, and then together, to discuss their respective ratings and to decide on actions to address areas requiring improvement.

Box 12: Community Scorecards

The community scorecard process is a community based monitoring tool that is a hybrid of the techniques of social audit, community monitoring and citizen report cards. Like the citizen report card, the community scorecard process is an instrument to exact social and public accountability and responsiveness from service providers.

Figure 1: The Four Components of the Community Scorecard Process



The Local Initiative for Health (LIFH) Project in Malawi uses the scorecard as a tool to help service users claim and achieve their human rights, while holding service providers accountable. Citizens complete the scorecard and stipulate reasons for the score. Feedback on the results is provided to community members, project staff and other stakeholders who compile community priorities. From these, health centre priorities are identified. The results of the scoreboard have so far pinpointed problems and improvements have been made.

Box 13: Strengths and Weaknesses of Participatory Performance Management

Strengths:

- Participatory performance management gives voice to citizens and identifies weak areas of service delivery and governance.
- The chance to voice grievances and preferences directly to policy-makers has a strong empowering effect.
- Citizen report cards provide a quantitative demand side to inform policy.

Limitations:

- It depends on a critical mass of mobilization.
- There is a risk of government resistance, manipulation or indifference.

3.2 *Group Exercises and Simulations*

The workshop included group exercises, simulations, and role playing to provide a practical means for understanding the social accountability methods and the way they can be applied. They took place on the first day of the methodology workshop. They helped internalize the lessons from the case study presentations of the first day, prepare workshop participants for the field visits of the second day, and facilitated group discussion for designing social accountability pilots on the third day of the workshop. Therefore they were an integral part of the workshop and helped link the activities of the three days.

These simulation exercises were done for two social accountability tools—participatory budgeting and participatory expenditure tracking. Both these exercises used role-playing to facilitate intense interaction and group learning.

The process of participatory budgeting was simulated through the hypothetical case of Penanh Gram Panchayat in the southern state of Swoat. The learning objectives were to help participants understand participatory budgeting and to facilitate group discussion on how to design participatory budgeting processes. Simulation participants were assigned roles as either local government representatives or ward members. They were provided the historical context, summary socio-economic statistics about their ward, and a summary budget of Penanh Gram Panchayat’s revenues and expenditures. Simulation participants met in their separate groups for 20 minutes and then in a Grama sabha meeting for 30 minutes to develop a budget proposal through intensive discussion and negotiation. A 15 minute wrap-up discussion shared group views on tradeoffs and mechanisms for resource allocation, the negotiation process, and possible applications of participatory budgeting to their own situation.



The participatory budgeting role playing exercise

The participatory expenditure tracking process was simulated through analysis of expenditures for a primary school in the hypothetical Vikaspur Gram Panchayat. The learning objectives were to develop awareness about public expenditure tracking processes, analyze flows of government resources, identify and discuss opportunities for leakages of funds and inequitable distribution of resources, and identify practical ways to track funds, minimize leakages, and promote equity. Workshop participants were assigned roles as teachers, headmasters, contractors, Gram Panchayat members, or parents of primary school students. They were provided background information on the schools, budget allocations and expenditures for the school, information on salaries and textbook costs, and information about each of their roles. Simulation participants conducted group discussions for 30 minutes, shared group experiences for 25 minutes, and held a wrap-up discussion for 10 minutes. They discussed salary payment problems and leakages, the shortage of teachers, textbook distribution problems and leakages, what steps could be taken to track public expenditures more effectively, and what other accountability systems could be put in place to minimize irregularities. The details for each of the simulation exercises are given in Annex IV. They are sufficiently detailed so the reader can recreate the simulation.



The participatory expenditure tracking simulation

3.3 *Field Visits*

The workshop participants were given practical exposure to the use of two social accountability tools, the community scorecard and the citizen report card. The group activities undertaken as part of the field exercises are presented in Table 1.

Table 1: Field Visits

Community Scorecards				
	Activity	Location	Meeting	Wrap-up
Group 1	Community discussion – primary health center	Dhobipet village	meeting with primary health care center	presentation of group work
Group 2	primary health center staff self evaluation scorecard	primary health center hall, Shankarpally	staff and users of the health center	
Group 3	MS discussion	MTC building, Shankarpally	meeting with IKP project	
Group 4	IKP staff – self evaluation scorecard	MTC building, Shankarpally	staff and MMS	
Citizen Report Cards				
	Activity	Location	Meeting	Wrap-up
Group 5	questionnaire design	ASCI		presentation of group work
	field work	e-Seva Centre SR Nagar	meeting with users of service	
	data analysis and report card generation	ASCI		

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The Community Scorecard process was done for a primary health center and a rural poverty eradication project (Indira Kranthi Patham – IKP). For the sake of convenience, the community scorecards for both the projects were conducted in the same mandal. A majority of the participants were part of the community scorecard process in a nearby mandal.

One group of participants was also trained through a practical hands-on Citizen Report Card exercise for electricity services. This group visited an e-Seva center so that they could interview users of the service. The e-Seva center is the single-window information technology interface that offers a range of services to citizens such as payment of bills, certificates and licenses.

3.3.1 Community Scorecards

For the community scorecard process, the workshop selected Shankarpally mandal which is part of the World Bank funded poverty reduction project, IKP. The participants were divided into four teams based on their area of interest. Two groups were involved in the community scorecard process of the primary health center and the other two groups were involved the community scorecard process of the poverty reduction program for the mandal. The IKP staff prepared the communities and the service providers for the field exercise and the overall objectives behind it.

3.3.1.1 Community Scorecard for the Primary Health Center

The team conducted a group discussion about primary health care service delivery with the men’s and women’s self-help groups of Dhobipet village, which is about 4 kilometers from Shankarpally mandal. These were done among three different groups of community members – two women’s groups and one men’s group. At the end of the discussion, the groups finalized the criteria for assessing the performance of the primary health care center and gave scores for each

of the criteria. The other team worked with the primary health care staff in Sankarapally and helped them conduct a self-evaluation. The providers identified the indicators for self-evaluation and gave scores for each of the criteria.



Workshop participants meet with a women's self-help group in Dhobipet village as part of the field visit for the community scorecard for the primary health center.

The meeting between the users and the primary health care staff was held in the health center at Shankarapally. During the meeting, separate scores were presented by the

primary health care staff and users of the center. Both sets of scores were displayed and each group explained the reasons for the scores they gave. The wide differences in perceptions—on the indicators and scores—between the users and the providers were clearly evident. However, the subsequent discussion enabled the identification of key issues for improvement:

- availability of staff
- availability of doctors
- infrastructural facilities
- extension services

Table 2: Community Scorecards from the Primary Health Care Project

Community Scores		Service Provider Scores	
Key Indicators	Score (out of 100)	Key Indicators	Score (out of 100)
Availability of Doctor	40	Programs Conducted	100
Availability of Nurse	50	Facilities	10-50
Availability of Medicines	20	Availability of Medicines	PHC - 90 SC - 50
Availability of Tests	20	Staff/HQ maintenance	PHC - 60 SC - 0
Infrastructure/Beds	10	Infrastructure/Beds	10

PHC = primary healthcare center SC = sub-centre

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Solutions to these problems were then discussed by the primary health care center staff and the community. The Medical Officer responded positively and assured his complete support in tackling the identified problems.

3.3.1.2 Community Scorecard for the Poverty Reduction Program

One team worked with the Mandal Samakhya (MS) members and helped them finalize the criteria for performance measures of the Program and scores for each of the criteria. The other team carried out the same process with the IKP staff.



Workshop participants meet with MMS members as part of the field visit for the community scorecard for the poverty reduction project.



Workshop participants meet with IKP staff as part of the field visit for the community scorecard for the poverty reduction project.

Then there was a meeting between self-help group members and project staff that was facilitated by the team. The project director for the program in that district was also present in the meeting. During the meeting scores given by the MS members and scores given by the IKP staff were both displayed and both the sides explained why they had given those scores. Most of the criteria identified by the community and by the IKP staff were common and the scores given by both the sides more or less coincided. The meeting led to the identification of some problem areas such as:

- the need for increased focus on training of the community
- the need for IKP staff to spend more time with the community

Table 3: Community Scorecards from the Poverty Reduction Project

Community Scores		Service Provider Scores	
Key Indicators	Score (out of 10)	Key Indicators	Score (out of 10)
All poor women enrolled in SHGs	8	Frequency of CC visits to the village	5-8
Quality of bookkeeping	8	Quality of bookkeeping at SHG and village organization level	5
Capacity building training programs at the VO/SHG level	4	Organizing the non-included poor into SHGs	7-9
Use of available resources for better livelihoods	7	Course	2
Improvement of livelihoods	7	Frequency of training programs	1
Training on social issues	5	Quality of training programs	5
Gender equality	6	CIF reached the poor	4
		Identification of eligible persons for providing the CIF	3-9
		CIF released to VOs from the project	5

VO = village organization; SHG = self-help group; CIF = community investment fund; CC = community coordinator

The solutions to these problems were discussed by the staff and MMS members and were then put to the project director. The staff shared their problems which inhibits their ability to concentrate on training. The community was very clear that the staff has to spend more time training them and requested the project director to look into the problems raised by the staff. The project director responded positively and assured his complete support in tackling the problems.

3.3.2 Citizen Report Cards

As mentioned above, one group of participants was trained to prepare a mini report card on e-Seva services so that they might gain insights into the process that goes into carrying out a report card exercise. The group prepared a questionnaire. These questionnaires were then administered to the users of services at the e-Seva centers. The group tabulated the results, did the required analysis, and produced a mini-report on e-Seva services that was presented in the workshop. However, the group was clear that the reliability of the exercise might be low due to the small size of the sample.

Box 14: Key Lessons from the Field Exercises

Community Scorecard

- It is essential for users and service providers to be prepared for the exercise before it is carried out for the first time. Both the users and service providers need to be clear about the objective of the exercise.
- The role of the facilitators is extremely important, especially in situations where there is a wide disparity between the perceptions (and therefore scores given) of the users and service providers.
- The community scorecard process is most effective if the process is repeated every 3 to 6 months.
- The issues raised by both users and service providers need to be addressed and reviewed for them to own the process and be interested in repeating it periodically.
- Some adaptation of the methodology may be needed for specific contexts.
- Acceptance of the scorecard system and willingness to act on the results by senior officials is critical for the success of scorecard process.

Citizen Report Cards

- The success of citizen report cards depends to a great extent on technical skills in conducting the survey, sampling, questionnaire design, analysis and so forth.
- The survey design needs to counter bias in the ratings due to expectations and perceptions of satisfaction.
- The report card is not an end in itself. Dissemination of the findings and pursuing this with the government would determine how much these report cards could lead to change.

3.4 Designing Pilot Social Accountability Programs

The last half of the final day of the workshop was devoted to designing pilot social accountability tools. This exercise helped to integrate the lessons of the entire workshop into a practical tool that participants could adopt and use in their own programs, projects and activities. After a brief introduction to the pilot design exercise, about two hours were allocated to breakout sessions for designing the pilots. Resource persons were matched with participants to facilitate the design task. Finally, the pilot designs were presented in the plenary session. A synthesis of the different ideas that this exercise generated is provided in Table 4.

Table 4: Ideas for Social Accountability Pilots

Team	Social Accountability Tools	Application of the Tools
India – Tamil Nadu Poverty Reduction Project	<ul style="list-style-type: none"> Community Scorecards Participatory Expenditure Tracking 	<ul style="list-style-type: none"> Pilot Community Scorecards in 10 villages in the project. Explore using Participatory Expenditure Tracking.
India – Indira Kranthi Patham (IKP), Andhra Pradesh	<ul style="list-style-type: none"> Community Scorecards 	<ul style="list-style-type: none"> Pilot Community Scorecards in 2 mandals in different districts of the state and to be repeated every 6 months and the results compared.
India – District Poverty Initiative Project, Chattisgarh	<ul style="list-style-type: none"> Community Scorecards 	<ul style="list-style-type: none"> Pilot Community Scorecards in the project. Share the Pakistan experience and see whether it could be replicated in Raipur.
India – Tata Institute of Social Sciences (TISS)	<ul style="list-style-type: none"> Different Social Accountability tools 	<ul style="list-style-type: none"> The social accountability tools would be incorporated into the curriculum of the graduate course offered by TISS. Social accountability tools would be piloted in 15 nearby villages.
India – ATI, Mysore	<ul style="list-style-type: none"> Different Social Accountability tools 	<ul style="list-style-type: none"> Incorporate social accountability tools into training for local bodies. Assess using Citizen Report Cards for the Women and Child Welfare Department.
India – KILA, Kerala	<ul style="list-style-type: none"> Workshop on Social Accountability Tools 	<ul style="list-style-type: none"> Organize a training workshop on specific social accountability tools to build local capacity.
India – APARD, Andhra Pradesh	<ul style="list-style-type: none"> Participatory Budgeting Participatory Expenditure Tracking 	<ul style="list-style-type: none"> Explore using these tools in 5 watersheds in Andhra Pradesh.
India – PRIA, Chattisgarh	<ul style="list-style-type: none"> Different Social Accountability Tools 	<ul style="list-style-type: none"> Build capacity as a resource institution for government agencies and civil society organizations in Chattisgarh and other states.
Pakistan – Nazim Town	<ul style="list-style-type: none"> Workshop on Social Accountability Tools 	<ul style="list-style-type: none"> Work towards conducting a workshop on social accountability tools to sensitize stakeholders.
Sri Lanka – Health Ministry	<ul style="list-style-type: none"> Participatory Budgeting 	<ul style="list-style-type: none"> Explore the feasibility of using Participatory Budgeting in the Health department.
Sri Lanka – Gemidiriya Project	<ul style="list-style-type: none"> Social Audit Community Scorecard 	<ul style="list-style-type: none"> Consider using these tools at the hub office.
Sri Lanka – Finance Commission	<ul style="list-style-type: none"> Expenditure Tracking Participatory Planning 	<ul style="list-style-type: none"> Advocate the use of Expenditure Tracking and Participatory Planning by the Government of Sri Lanka.

4 Workshop Results

4.1 Participants' Evaluation of the Workshop

The workshop received high ratings from the 31 workshop participants who completed evaluations of the workshop. The highest ratings were for “relevance of the workshop to your current work or functions” (88 percent of the participants gave a rating of 4 or 5 on a five point scale) and for “overall usefulness of the workshop” (88 percent also gave this item a rating of 4 or 5). These scores are slightly higher than for all World Bank Institute (WBI) courses given from July 2004 to June 2005 (81 and 84 percent of participants in other WBI courses gave ratings of 4 or 5 to these two questions respectively). The workshop also received a high rating for focusing on what the participants specifically needed to learn (84 percent rated this 4 or 5 compared to only 69 percent of participants in other WBI courses). The workshop received high ratings on “the usefulness of the information” and “the extent to which the content of the workshop matched the objectives” (80 and 77 percent rated these two items 4 or 5 compared to 79 and 80 percent for other WBI courses). The only item not rated highly, “the extent to which you have acquired information that is new” (only 64 percent rated it 4 or 5), was in line with other WBI courses (68 percent). This may be explained by the fact that many participants were chosen for their experience with social accountability, many of them were presenters for the workshop, and thus they already were quite familiar with the subject of the workshop.

Statistics do not do full justice to the enthusiasm with which the workshop was received by the participants. This is better reflected by the written comments on the workshop evaluation forms. Several participants thanked the workshop organizers in their anonymous written comments, citing “the excellent management of the workshop” and saying that “the workshop module has been very well designed, excellent resource persons, well organized, appropriate methodology, and very friendly workshop environment and learning conditions.” Many participants asked for follow-up activities including: (1) more workshops on a regular basis, (2) knowledge sharing, especially on what is happening on these subjects and information about program-based experiences, and (3) ongoing support, including networks among the participants, “for at least the next two years until we gain confidence”, and to develop a manual. One participant remarked that “The workshop really created an impact on us to be more participatory in all our projects and attitudes.”

4.2 Ways Forward

The final session of the workshop reflected many of the same priorities recorded in the workshop evaluation. It discussed the three following areas of action to take forward the lessons from the workshop and to facilitate the application of social accountability mechanisms.

Preparation and Implementation of Pilot Projects. The first step is to assess the feasibility and practicality of the ideas generated at the workshop. For feasible ideas to evolve into practical pilot projects, the teams require technical and project management inputs. Suitable monitoring and evaluation mechanisms will also need to be put into place for different pilot projects. This will facilitate the documentation of lessons and assessment of outcomes.

Capacity Building. Before implementation of pilot projects can begin, the capacity of project managers and implementers needs to be enhanced. Intensive methodology training programs need to be conducted to equip them with the right skills. Simultaneously, resource organizations need capacity-building to enable them to promote the use of social accountability tools in their respective states.

Continuous Knowledge Dissemination. Continuous sharing of information and experiences is critical for sustaining this initiative. The South Asia Social Accountability Network (SASANET) will play a proactive role in collecting and sharing knowledge, and in enabling networking and continuous knowledge transfer between different stakeholders.

The World Bank intends to support the Centre for Good Governance as the coordinating center for social accountability mechanisms in South Asia. The Centre will play a key role in providing inputs to different stakeholders. Within the Government of Andhra Pradesh, the Centre will proactively seek to facilitate social accountability mechanisms in select departments such as Rural Development, Health and Education. It will also work with teams from different states to identify and design potential pilot projects. The Centre will provide capacity building support to resource organizations like PRIA in Chattisgarh, KILA in Kerala, TISS in Maharashtra, ATI in Karnataka and APARD in Andhra Pradesh. Simultaneously, it will work towards refining different social accountability tools to enable them to be applied in different contexts and settings and at different levels.

Box 15: Some Issues for Further Thought

While the utility of social accountability mechanisms was acknowledged by all workshop participants and speakers, some issues were identified for careful consideration.

1. Does political accountability dilute social accountability by dividing citizens along party lines and justifying partisanship and cronyism?
2. Do civil society groups have to function in opposition to political groups? Would strengthening of civil society mean de-politicization and weakening of the awareness of rights?
3. Does downward accountability reduce the need for upward accountability? Does intensified upward accountability reduce the time and space for downward accountability?
4. Is there a trade-off between formal and informal accountability mechanisms?
5. Is public action the ultimate goal of social accountability? Can it stop short of action and still achieve its objectives?
6. Is social accountability generally for the people at large or is it for interested groups? Is the latter form more intense and more realistic?
7. Will too much emphasis on social accountability reduce project efficiency by frittering away resources and spreading them too thinly on local demands?
8. Do social accountability mechanisms develop fatigue and fade away?
9. Is micro-level social accountability more realistic than macro level social accountability in the context of a local government?

4.3 Post-Workshop Status Update on the Social Accountability Pilot Projects

As of January 2006, six pilot projects have been launched since the May 2005 workshop. The pilots are an important result of the workshop and therefore a brief description of each is included in this report. The total cost of the six pilots is more than \$100,000. The first three pilots described below have been launched in the context of World Bank-supported projects. The second set of three pilots has been initiated by resource organizations and training institutions independent of Bank-supported projects. They receive Bank support through various capacity building activities (for example, technical workshops) and technical assistance from consultants.

Using the Community Scorecard Tool to Assess Health Care Service Delivery in Andhra Pradesh

The Centre for Good Governance (CGG), in partnership with the Andhra Pradesh Rural Poverty Reduction Project, will proceed with this pilot based on an earlier capacity building initiative. The objective of this pilot is to adapt the community scorecard methodology for health care service delivery in 15 villages in Vizag District, Andhra Pradesh. CGG will consult with state and district government officials, and with primary healthcare center staff including auxiliary nurse midwives, to develop the pilot. CGG will ensure broad community participation through focus group discussions to generate performance indicators and ratings. Health care service providers, elected representatives and Gram Panchayat officials will also develop indicators and performance ratings. Then community members and service providers will meet to discuss their respective ratings, the reasons behind the scores, and to generate ideas for improving health care service delivery. To complement the community scorecard tool, there will also be input tracking of budget allocations, financial and audit reports on recorded expenditures, official inventories of equipment and physical assets, official entitlements, and contractor data if applicable. This pilot is planned to take four months and be completed by June 2006. CGG will use this pilot to develop a sub-district model that can be replicated across all the districts in Andhra Pradesh.

Adapting the Community Scorecard and Citizen Report Card Tools to Design a Performance Monitoring and Rating System for the Assessment of Gram Panchayats in Chhattisgarh

The Society for Participatory Research in Asia (PRIA), in partnership with the Chhattisgarh Rural Poverty Project, is carrying out this pilot. PRIA will consult the project director and district CEOs to orient them on the pilot and to identify 30 villages for the pilot. PRIA will sensitize the communities and Gram Panchayats before the citizen report card (CRC) exercise is carried out. The Gram Sabha will be divided into homogenous subgroups for focus group discussions to generate indicators and performance ratings on the Gram Panchayat. Like the first pilot, elected representatives and Gram Panchayat officials will undertake parallel exercises to generate indicators and performance ratings, and then the community and Gram Panchayat members will meet to discuss their respective indicators and scores. The ratings will be used to help allocate grants to village panchayats to help improve their governance, management, and service delivery. This pilot will also have input tracking like the first pilot. The pilot will be completed in three months. Once the pilot has been developed and tested, it is hoped that it can be replicated in 2000 Gram Panchayats across Chhattisgarh.

Adapting the Use of the Community Scorecard Tool in the Community Development and Livelihood Improvement Project, Sri Lanka

The Centre for Good Governance (CGG), in partnership with the Community Development and Livelihood Improvement Project, the World Bank Institute, and local resource organizations, is piloting the community scorecard tool in five villages in Sri Lanka. This pilot builds upon a

September 2005 workshop on training of trainers in social accountability methodologies. As a result of that workshop, the CSC tool is being used to assess service provider performance in infrastructure projects and village savings and credit organizations. The pilot is also developing: (1) a video to be used as a training tool based on footage from the September 2005 workshop, and (2) an operational manual on the community scorecard tool that would be used as a training resource for the Gemidiriya Project.

Piloting the Community Scorecard Tool to Assess Health Care, Education, and Water and Sanitation Service Delivery in Maharashtra

The Tata Institute of Social Sciences (TISS) is piloting the community scorecard tool to assess service delivery in the health, education, and water and sanitation sectors in Osmanabad District, Maharashtra. Beyond piloting the CSC, the objectives of this pilot are to incorporate social accountability mechanisms into TISS work as appropriate, and to develop training modules on social accountability that will be incorporated into the academic curriculum that TISS uses for training local government staff, NGOs, CSOs, rural development workers, and other TISS clients and students. The pilot will be tested in 12 villages - four villages from each of the three blocks in the district. The pilot is expected to take nine months and be completed by June 2006.

Piloting the Participatory Expenditure Tracking, Citizen Report Card, and Community Scorecard Tools to Assess the Midday Meal Scheme in Rajasthan

The CUTS Centre for Consumer Action, Research and Training (CUTS-CART) is piloting a combination of participatory expenditure tracking, citizen report cards, and community scorecards to assess the government's Midday Meal Scheme in the Chittorgarh District of Rajasthan, a school lunch program mandated by order of the Supreme Court of India. This pilot builds upon CUTS-CART's experience in previous World Bank social accountability workshops and stocktaking exercises as well as its own budget analysis and expenditure tracking work. The objectives of the pilot are to analyze the budget, make comparative assessments, improve transparency of the school lunch program, and empower communities through awareness building and demystification of the public expenditure process. Data will be collected through surveys, questionnaires, interviews, group meetings, and other methods. A pilot survey will be tested in five schools in Chittorgarh District and, once refined, applied to 221 schools (10 percent of the total) in Chittorgarh. The pilot is estimated to take six months.

Piloting the Citizen Report Card and Community Scorecard Tools to Develop a Feedback System for the Participatory Planning Process in Kerala

The Kerala Institute of Local Administration (KILA) is piloting the use of citizen report card and community scorecard tools to further develop the participatory planning process launched by the Government of Kerala, known as the "People's Planning Campaign" or the "Kerala Development Program." While the participatory planning process is laudable, it does not provide appropriate feedback from citizens and users of various services. Therefore these social accountability tools will be used to develop a system for seeking citizen/user feedback to assess the quality and effectiveness of health, education, sanitation, nutrition, and office management services provided and managed by gram panchayats. This system is expected to enhance the effectiveness of the Kerala Development Program. The pilot will require five months to complete.

Annex I – Participant List

List of Trainees

Sl. No.	Name	Organization	Country
1.	Dr. Zakirul Islam	Deputy Secretary, Ministry of Local Government	Bangladesh
2.	Mr. Azizur Rahman Siddique	Sirajganj Local Government Development Fund Project	Bangladesh
3.	Mr. Sabir Ahmed	Gulshan-e-Iqbal Town Municipal Administration, Karachi	Pakistan
4.	Mr. Abdul Wahab	Nazim Gulshan, Karachi	Pakistan
5.	Mr. T.G. Jayasinghe	Finance Commission	Sri Lanka
6.	Mr. G.A.R. Keerthiratne	Provincial Planning Unit, Badulla	Sri Lanka
7.	Mr. Janaka Amarasinghe	Gemidiriya Foundation	Sri Lanka
8.	Ms. Shyamalie Damboragama	Ministry of Health	Sri Lanka
9.	T. Wickremesinghe	Gemidiriya Foundation	Sri Lanka
10.	W.L.C. Lekamge	Institute for Participatory Interaction in Development (IPID)	Sri Lanka
11.	D.B. Rambodagedera	Institute for Participatory Interaction in Development	Sri Lanka
12.	W.P.P. Abeydera	Sri Lanka Centre of Development Facilitation	Sri Lanka
13.	A. Sornalingam	Sri Lanka Centre of Development Facilitation	Sri Lanka
14.	D.C.S. Elakanda	Project Director, Village Self-help Learning Pilot Initiative (VHSLI)	Sri Lanka
15.	Dr. D.J. Elvitigala	DPDHS Office, Kegalle	Sri Lanka
16.	Dr. Joy Elamon	Capacity Development for Decentralization	India
17.	Dr. P .P. Balan	Kerala Institute of Local Administration	India
18.	Dr. Sunny George	Kerala Institute of Local Administration	India
19.	Mr. Y. Siva Ramaiah	APARD, Hyderabad	India
20.	Mr. H.P. Shiva Shankar	Administrative Training Institute, Mysore	India
21.	Mr. Tathagath Dasgupta	Public Affairs Foundation, Bangalore	India
22.	Ms. Rama Devi	Tamil Nadu Empowerment and Poverty Reduction Project	India
23.	Ms. Niroopa Rani	Tamil Nadu Empowerment and Poverty Reduction Project	India

Sl. No.	Name	Organization	Country
24.	Mrs. Usha Sarathy	Tamil Nadu Empowerment and Poverty Reduction Project	India
25.	K.C. Sharma	CUTS Center for Consumer Action, Research, and Training, Jaipur	India
26.	George Cheriyan	CUTS Center for Consumer Action, Research, and Training, Jaipur	India
27.	Ms. Kinnera Murthy	Administrative Staff College of India	India
28.	Dr. Ravindra Pastor	MP-DPIP, Bhopal	India
29.	Mr. Puranjit Banerjee	PRIA, Chattisgarh	India
30.	Ms. Sruti Mohapatra	Swabhimaan, Bhubaneswar	India
31.	Mr. K. Srinivasa Rao	Lok Satta, Andhra Pradesh	India
32.	Mr. Ankaiah Bhandari	Lok Satta, Andhra Pradesh	India
33.	Dr. C.P. Nagi Reddy	Society for the Elimination of Rural Poverty	India
34.	Mr. Vijay Kumar	Society for the Elimination of Rural Poverty	India
35.	Mr. Mukesh Janbandhu	Society for the Elimination of Rural Poverty	India
36.	Mr. Ratnakar Dasari	DRDA, Vishakapatnam	India
37.	Dr. Santosh Kumar	Tata Institute for Social Sciences – Rural Campus	India
38.	Mr. Rajat Roy	Chhattisgarh District Poverty Reduction Project, Chattisgarh	India
39.	Mr. Ashok Chatruvedi	Chhattisgarh District Poverty Reduction Project, Chattisgarh	India
40.	Mr. Badal Malick	WSP, World Bank	India
41.	Mr. Anup Wadhawan	WSP, World Bank	India

Other Participants

Sl. No.	Name	Organization	Country
42.	Sri. Mohan Kanda	Chief Secretary, Government of Andhra Pradesh	India
43.	Mr. Michael Carter	Country Director – India, World Bank	India
44.	Dr. Shekhar Shah	Economic Advisor, World Bank	USA
45.	Mr. T.R. Raghunandan	Joint Secretary, Government of India	India
46.	Prof. S.K. Rao, Principal	Administrative Staff College of India	India
47.	Sri. Raghotham Rao	Special Chief Secretary, Government of Andhra Pradesh	India
48.	Mr. S. S. Hussain	Principal Secretary, Government of Maharashtra	India
49.	Sri. K. Raju	Principal Secretary, Government of Andhra Pradesh	India
50.	Mr. Vijay Kumar	CEO, SERP, Government of Andhra Pradesh	India
51.	Dr. P. K. Mohanty	Director General and Executive Director, Center for Good Governance	India
52.	Mr. S. M. Vijayanand	Secretary, Government of Kerala	India
53.	Dr. Samuel Paul	Public Affairs Centre, Bangalore	India
54.	Dr. Shantha Sinha	MV Foundation, Hyderabad	India
55.	Mr. Madhusudan Mistry	Development Initiatives for Social and Human Action, Gujarat	India
56.	Ms. Soumya Kidambi	Mazdoor Kisan Shakti Sangathan, Rajasthan	India
57.	Mr. Parmesh Shah	Lead Rural Development Specialist, SASAR, World Bank	USA
58.	Ms. Supriya Kumar	Junior Professional Associate, SASAR, World Bank	USA
59.	Mr. Andre Herzog	Consultant, Social Development Department, World Bank	USA
60.	Ms. Karen Sirker	Social Development Specialist, CESI, World Bank Institute, World Bank	USA
61.	Mr. Jonnalagada Murty	Water and Sanitation Program, South Asia Region, World Bank	India
62.	Mr. Sanjay Agarwal	Indian Administrative Service	India

Annex II – Workshop Agenda

Orientation and Methodology Workshop for the Application of Social Accountability Mechanisms in Community Driven Development and Decentralization Programs in South Asia

May 16-19, 2005, Hyderabad, India

Jointly Organized by the World Bank and the Centre for Good Governance, Hyderabad

*Hosted by the Administrative Staff College of India
Bella Vista Campus, Raj Bhavan Road
Khairatabad, Hyderabad*

Main Objective for Day 1: To inform key decision makers about social accountability trends—globally, regionally and locally—to create an enabling environment for the implementation and institutionalization of social accountability mechanisms.

Monday, May 16 — Launch and Overview

8:30 – 9:30 Registration

9:30 – 10:15 **Session I: Inaugural Session**
Chair: Prof S.K. Rao, Principal, Administrative Staff College of India

- **Welcome Address**
Dr. P.K. Mohanty, Director General and Executive Director, Centre for Good Governance, Hyderabad
- **Opening Remarks**
Mr. Michael Carter, Country Director – India, World Bank
- **Inauguration and Website Launch by Chief Guest**
Dr. Mohan Kanda, Chief Secretary, Government of Andhra Pradesh
- **Remarks of the Chair**

10:15 – 11:30 **Session II: Social Accountability & Public Management**
Chair: Sri. A. Raghotham Rao, IAS, Spl. Chief Secretary, Government of Andhra Pradesh

- **Social Accountability – The World Development Report Perspective**
Dr. Shekhar Shah, Economic Advisor, World Bank
- **Social Accountability and Role of Civil Society**
Dr. Shantha Sinha, MV Foundation
- **Overview of Global Social Accountability Trends**
Mr. Parmesh Shah, World Bank and Ms. Karen Sirker, World Bank Institute
- **Remarks of the Chair**

11:30 – 11:45 COFFEE

11:45 – 1:15 **Session III: Social Accountability Practices**
Chair: Sri. K. Raju, Principal Secretary, Rural Development, Government of Andhra Pradesh

- **Social Accountability and Public Service Delivery**
Keynote Speaker: Dr. Samuel Paul, Public Affairs Centre

- **Panel Discussion: Experience Sharing by Practitioners**
 - Participatory Budgeting – Dr. P. P. Balan, Kerala Institute of Local Administration (Kerala experience); Dr. Zakirul Islam, Deputy Secretary, Ministry of Local Government (Bangladesh experience); Mr. Andre Herzog, World Bank (Brazil experience)
 - Participatory Expenditure Tracking – Mr. Sanjay Agarwal, Indian Administrative Service (Uganda experience); Ms. Soumya Kidambi , MKSS (Kerala experience)
 - Community-Based Performance Monitoring – Mr. S. S. Hussain, Principal Secretary, Government of Maharashtra (Maharashtra experience); Dr. Samuel Paul, Public Affairs Centre (Bangalore experience)
- **Remarks of the Chair**

1:15 – 2:00

LUNCH

2:00 – 3:45

Session IV: Institutionalizing Social Accountability Mechanisms
Chair: Sri. T. R. Raghunandan, Indian Administrative Service, Joint Secretary, Panchayat Raj, Government of India

- **Institutionalizing Social Accountability Mechanisms in Governance**
 Keynote Speaker: Mr. Madhusudan Mistry (DISHA)
- **Panel Discussion**
 Mr. S. S. Hussain, Principal Secretary, Government of Maharashtra; Mr. K. Raju, Principal Secretary, Government of Andhra Pradesh; Mr. Vijay Kumar, CEO, SERP, Government of Andhra Pradesh; Dr. Zakirul Islam, Deputy Secretary, Ministry of Local Government, Bangladesh; Mr. Abdul Wahab, Nazim Gulshan, Pakistan
- **Remarks of the Chair**

3:45 – 4:15

- **Taking the Agenda Forward and Concluding Remarks**
 World Bank and Centre for Good Governance

Main Objectives for Day 2-4: To facilitate learning of social accountability mechanisms by existing and potential practitioners through hands-on methodology and field based training, with a special focus on:

- *building capacity to effectively implement social accountability mechanisms*
- *promoting peer learning among South Asian practitioners by discussing local ,regional and international best practices*
- *designing pilots within specific program contexts for future experimentation*

TUESDAY, MAY 17 — DAY 2

9:00 – 9:30

Participants Introduction and Ice Breaker

9:30 – 10:15

Participatory Budgeting – The Case of Porto Alegre experience, Brazil

- Mr. Andre Herzog, World Bank

10:15 – 11:00

Participatory Budgeting – The Case of Sirajganj, Bangladesh

- Mr. Azizur Rahman Siddiqui, Sirajganj Local Government Development Fund

11:00 – 11:15

COFFEE

11:15 – 12:00

Participatory Expenditure Tracking – The Ugandan Experience

- Mr. Sanjay Agarwal, Indian Administrative Service

12:00 – 1:30

Participatory Expenditure Tracking – The Rajasthan Experience: The People’s Campaign for Transparency and Accountability

- Mr. George Cheriyan and Mr. K. C. Sharma, CUTS Centre for Consumer Action, Research and Training (CUTS-CART)
- Ms. Soumya Kidambi, Mazdoor Kisan Shakti Sangathan (MKSS)

1:30 – 2:15

LUNCH

2:15 - 3:45

Group Exercises

- **Participatory Budgeting**
- **Expenditure Tracking**

3:45 – 4:00

COFFEE

4:00 - 5:00

Performance Measurement: Citizen Report Cards – The Case of Bangalore

- Mr. Tathagata Dasgupta, Public Affairs Centre

5:00 - 6:00

Performance Measurement: Community Scorecards Methodology

- Mr. Parmesh Shah, World Bank

WEDNESDAY, MAY 18 — DAY 3

8:00 – 10:00

Methodology Training for Field Visit – Community and User Based Performance Monitoring Mechanisms

- Citizen Report Cards
- Community Scorecards

10:00 – 2:00

Visit to Villages to Carry out Exercises in:

- Citizen Report Card Methodology
- Community Scorecard Methodology

2:00 – 3:00

LUNCH IN THE FIELD

3:00 – 5:30

Meeting with Service Providers

5:30 – 6:30

RETURN TO THE ADMINISTRATIVE STAFF COLLEGE OF INDIA

THURSDAY, MAY 19 — DAY 4

9:30 – 10:15

Field Visit Discussion

10:15 – 11:00

People's Planning – The Kerala Experience

- **Panel Discussion**
Mr. S.M. Vijayanand, Indian Administrative Service, Secretary, Planning and Local Self Government (Kerala); Dr. Joy Elamon, Chief Program Coordinator, SDC-CapDeck

11:00 – 11:15

COFFEE BREAK

11:15 – 11:30

**Community Scorecards
Decentralization Context – The Case of Maharashtra**

- Mr. Jonnalagada Murty, Local Government Incentive Fund, MRWSS

11:30 – 12:15

The Karachi Experience

- Mr. Abdul Wahab and Mr. Sabir Ahmed, Karachi, Pakistan

12:15 – 12:30

Introduction to Pilot Design

12:30 – 1:15 Break Out Sessions for Designing Pilots

- Project Staff and Corresponding Support Organization will be matched with Appropriate Resource Persons

1:15 - 2:00 LUNCH

2:00 – 3:00 Break Out Sessions for Designing Pilots (Continued)

3:00 – 3:15 COFFEE BREAK

3:15 – 4:00 Presentations of Pilot Frameworks

4:00 – 4:15 Workshop Evaluation

4:15 – 4:30 Concluding Remarks

- Mr. Parmesh Shah, World Bank

Annex III - SASANET Website Links Related to the Workshop

As mentioned at the beginning of this report, the workshop also aimed to facilitate a regional community of practice by launching a website: the South Asia Social Accountability Network (www.sasanet.org). The workshop was inaugurated and the website launched by Dr. Mohan Kanda, Chief Secretary, Government of Andhra Pradesh. SASANET's website, whose home page is shown below, provides a wealth of information for anyone interested in social accountability – government and civil society practitioners, academics, concerned citizens and others. The website contains most of the workshop presentations. It also contains an extensive knowledge base including case studies, social accountability tools, and key documents reporting on regional and global experience. As noted in the final section of the workshop report, several pilot projects are underway, and information on those will be posted to this website. For the convenience of the reader, the website links to the workshop presentations and other key documents are listed below. People are encouraged to explore the website and take advantage of its resources, but also to use the “Post-it and Share” feature to make their own contributions to SASANET's website and help make SASANET an active community of practice.

Home Page of the South Asia Social Accountability Network (SASANET) Website



Website Links to Workshop Presentations

Website links to most of the workshop presentations are contained on the following page:
<http://www.sasanet.org/jsp/Presentations.jsp>

Website links to individual workshop presentations are contained on the following pages:

Dr. Samuel Paul, Public Affairs Centre, Bangalore, “Social Accountability: A Journey in Progress” (the keynote address of the workshop):

<http://www.sasanet.org/documents/Knowledge%20Base/Presentations/Samuel%20Paul's%20Presentation.ppt>

Mr. Sanjay Agarwal, Indian Administrative Service, “Public Expenditure Tracking Surveys: The Uganda Experience”:

http://www.sasanet.org/documents/Knowledge%20Base/Presentations/Uganda%20PETS.ppt#227_2,ParticipatoryExpenditureManagementCycle

Mr. Sabir Ahmed and Mr. Abdul Wahab, Town Municipal Administration, Karachi, Pakistan, “Gulshan-e-Iqbal Town Municipal Administration Karachi – Pakistan”:

<http://www.sasanet.org/documents/Knowledge%20Base/Presentations/Social%20Acc/TMA%20-%20Gulshan-e-Iqbal.ppt#377,1,Slide1>

Mr. George Cheriyan and Mr. K.C. Sharma, Consumer Unity and Trust Society – Centre for Consumer Action, Research and Training (CUTS-CART), “Participatory Expenditure Tracking – The Rajasthan Experience: The People’s Campaign for Transparency and Accountability”:

<http://www.sasanet.org/documents/Knowledge%20Base/Presentations/CART.ppt>

Dr. Joy Elamon, Chief Program Coordinator, Capacity Development for Decentralization (SDC-CapDecK), “Panchayatiraj in Kerala - Towards Institutionalization”:

<http://www.sasanet.org/documents/Knowledge%20Base/Presentations/Social%20Acc/Panchayati raj%20In%20Kerala.ppt>

Mr. Jonnalagada Murty, Local Government Initiative Fund, Maharashtra Water and Sanitation Program, “Local Government Performance Rating System – Maharashtra”

<http://www.sasanet.org/documents/Knowledge%20Base/Presentations/ZP-performance%20rating.ppt>

Mr. Azizur Rahman Siddiqui, Government of Bangladesh, “Sirajganj Local Governance Development Fund, Bangladesh” (a case study on participatory budgeting):

<http://www.sasanet.org/documents/Knowledge%20Base/Presentations/Bangladesh.ppt>

Mr. S.M. Vijayanand, Secretary, Planning, Economic Affairs, and Local Self-Government, Government of Kerala, “Social Accountability and Participatory Planning – Lessons from the Kerala Experience”:

http://www.sasanet.org/documents/Knowledge%20Base/Presentations/Social%20Acc/SA%20&%20PP%20-%20Lessons%20From%20The%20Kerala%20Experience.ppt#256,1,SOCIAL_ACCOUNTABILITY_AND_PARTICIPATORY_PLANNING-LESSONS_FROM_THE_KERALA_EXPERIENCE

“Piloting of Community Score Cards – Andhra Pradesh”:

http://www.sasanet.org/documents/Knowledge%20Base/Presentations/Social%20Acc/Community%20Score%20Cards-AP_Health.ppt#256,1,CommunityScoreCards

Website Links to Case Studies

Website links to all the case studies are contained on the following page:

<http://www.sasanet.org/jsp/CaseStudies.jsp>

Website links to individual case studies are contained on the following pages:

Case Study 1 - Bangalore, India: Participatory Approaches Budgeting and Public Expenditure Management:

<http://www.sasanet.org/documents/Case%20Studies/Bangalore%20Casestudy.pdf>

Case Study 2 - Porto Alegre, Brazil: Participatory Approaches in Budgeting and Public Expenditure Management:

<http://www.sasanet.org/documents/Case%20Studies/Participatory%20Approaches%20in%20Budgeting%20-%20Brazil.pdf>

Case Study 3 - Gujarat, India: Participatory Approaches in Budgeting and Public Expenditure Management:

<http://www.sasanet.org/documents/Case%20Studies/Gujrat%20case%20study.pdf>

Case Study 5 - Uganda: Participatory Approaches in Budgeting and Public Expenditure Management:

<http://www.sasanet.org/documents/Case%20Studies/Uganda%20case%20study.pdf>

Public Affairs Centre, Case Study - Bangalore, India: Citizen Report Card:

<http://www.sasanet.org/documents/Case%20Studies/Bangalore%20Citizen%20report%20card.pdf>

Mazdoor Kisan Shakti Sangathan (MKSS) and the Right to Information Campaign, "Participatory Approaches in Public Expenditure Management":

<http://www.sasanet.org/documents/Case%20Studies/MKSS%20Case%20Study.pdf>

Samuel Paul, Public Affairs Centre, "Citizen Report Cards – A Case Study":

http://www.sasanet.org/documents/Case%20Studies/CRC_Case.pdf

S. M Vijayanand, "Social Accountability and Participatory Planning - Lessons from the Kerala Experience":

<http://www.sasanet.org/documents/Case%20Studies/Participatory%20Planning%20Kerala%20Case%20Study.pdf>

Website Links to Key Articles and Reports on Regional and Global Experience

For an introduction to social accountability, the standard reference is:

Carmen Malena with Reiner Forster and Janmejaj Singh, "Social Accountability: An Introduction To The Concept And Emerging Practice" (World Bank):

<http://www.sasanet.org/documents/Knowledge%20Base/Articles/Social%20an%20Intro.pdf>

Website links to five reports on regional and global experience are contained on the following page:

<http://www.sasanet.org/jsp/GlobalTrends.jsp>

Website Links to Specific Social Accountability Tools

Website links to nine social accountability tools are contained on the following page:

<http://www.sasanet.org/jsp/Tools.jsp>

Website links to articles on individual social accountability tools are contained on the following pages:

Participatory Budgeting:

<http://www.sasanet.org/documents/Tools/FAQ%20Participatory%20Budgeting.pdf>

Participatory Planning:

<http://www.sasanet.org/documents/Tools/Participatory%20Planning.pdf>

Community Scorecards:

<http://www.sasanet.org/documents/Tools/Community%20Score%20Cards.pdf>

Social Audit:

<http://www.sasanet.org/documents/Tools/Social%20Audit.pdf>

Social Impact Assessment Methodology:

<http://www.sasanet.org/documents/Tools/Social%20Impact%20Assessment%20Methodology.pdf>

Citizen Survey Methodology:

<http://www.sasanet.org/documents/Tools/Survey%20Methodology.pdf>

Citizen's Charters:

<http://www.sasanet.org/documents/Tools/Citizen's%20Charters.pdf>

People's Estimate:

<http://www.sasanet.org/documents/Tools/People's%20Estimate.pdf>

Annex IV – Group Exercise and Simulations

A. PARTICIPATORY BUDGETING EXERCISE

1. Learning Objectives

- a) to help the participants understand the concepts and methods of participatory budgeting
- b) to give the participants the opportunity to simulate the main tools of participatory budgeting
- c) to facilitate a group discussion on how to design appropriate participatory budgeting processes in a particular context

2. Exercise Instruction

13:30-13:40 Introduction of Exercise (10 minutes)

- a) This is a role playing exercise. Participants will be divided into five groups. One group will play the role of the Local Government and the other four groups will play the role of people at the hamlet (ward) level.
- b) The role playing exercise is divided into two parts:
 - Hamlet meetings
 - Grama sabha meeting
- c) A final wrap up discussion will complete the exercise.

13:40 – 14:00 Hamlet Meetings (20 minutes)

- a) Four groups will be assigned to four different hamlets. The local government representative will provide each ward with basic information about access to services under the responsibility of the local government. Please read carefully the role that you have to play. **Do not share the information on the sheet with the other groups at this stage of the exercise.**
- b) An intense discussion should take place in each ward in order to generate a prioritized list of needs according to the overall budget category priorities.
- c) In parallel, the technical staff of the local government will discuss the budget forecast, social economic data, and government expenditure priorities.
- d) Two delegates per ward should be elected to represent their ward in the Grama sabha meetings to be held to discuss and consolidate all priorities.

Expected outcomes:

- investment priorities per ward (ranking of budget categories and specific projects)
- elected delegates in each ward

14:30 – 15:00 Grama sabha Meetings (30 minutes)

- a) The Local Government representative will open the Grama sabha meeting for the discussion and prioritization of the next fiscal year budget.
- b) The local government will share the latest budget forecast, government expenditure priorities, and socio-economic data.
- c) The role of each hamlet delegate is to represent the demands selected during the Hamlet meeting.
- d) The delegates will have to negotiate, make tradeoffs, and build consensus on what will be included in the final budget vis-à-vis the information provided by the government, the needs of his/her ward, and the needs of other wards.

- e) Together with the people from the hamlets, an alternative resource mobilization should be presented to strengthen the revenue side of the budget.
- f) A consolidated budget proposal realistic for the fiscal situation of Penanh shall be agreed by the Grama sabha.

Expected Outcome:

- participatory budget proposal submitted to the Chief Officer of Penanh

15:00 – 15:15 Wrap-up Discussion (15 minutes)

- a) In each of the groups, participants shall discuss the questions below and assign one representative to share the group's views in the plenary session.
 - What were the tradeoffs and mechanisms of resource allocation and investment prioritization that came out from the exercise?
 - How were the negotiations and conflicts managed?
 - Were there any doubts about participatory budgeting in your group?
 - What are the different possible applications of participatory budgeting in your situation?
 - Is there any other question or issue your group wants to discuss in the plenary?

3. General Context

The Penanh Gram Panchayat is a local government unit in the southern state of Swoat that recently started an innovative social accountability program of promoting peoples engagement in the formulation of its budget and in monitoring public expenditures. This process was a result of a movement to bring more transparency, equity, and effectiveness to the use of public resources in Penanh.

For many years, the formulation of the budget in Penanh was the responsibility of only the finance department which had a narrow understanding of peoples' real needs. Most people in Penanh knew little about local government revenues and expenditures as the budget was a complicated technical issue that was beyond people's understanding. As a result, a large part of the population did not know the real financial capacity of the local government, creating a general mistrust and belief that government was misusing public resources.

As set by law, the budget proposal has been submitted to the Local Council for analysis and final approval. Composed by elected representatives from each of the hamlets (villages or neighborhoods), the Local Council reflects different social, economic, and political backgrounds. As result, the budget decision making was often influenced by political agendas and elite interests, undermining the real needs of the population. This has favored the traditional elites by concentrating expenditures in the center of Pananh where most of them have their residences, reinforcing social exclusion and poverty, particularly in the rural hamlets. In order to address these issues, the government of Penanh is starting a new approach to investment prioritization.

4. Ward Information

Ward 1: village center, close to market <ul style="list-style-type: none">▪ 50 percent of roads are paved▪ 75 percent of households have access to water▪ 15 percent of households have waste collected
Ward 2: backward rural community <ul style="list-style-type: none">▪ 5 percent of roads are paved▪ 3 public water stand posts▪ no solid waste management
Ward 3: middle-income, with school <ul style="list-style-type: none">▪ 50 percent of roads are paved▪ 75 percent of households have access to water▪ solid waste management reaches 15 percent of households
Ward 4: peri-urban, slum housing and infrastructure, migrant population <ul style="list-style-type: none">▪ 2 percent of roads paved▪ 2 public water stand posts▪ informal businesses are not paying business taxes▪ no solid waste management

5. Local Government Information

Ward 1: village center, close to market, no problem with employment <ul style="list-style-type: none">▪ population of 1500▪ poverty rate is 8 percent▪ 50 percent of roads are paved▪ 75 percent of households have access to water▪ 15 percent of households have waste collected▪ 85 percent of taxes are properly collected
Ward 2: backward rural community <ul style="list-style-type: none">▪ population of 1200▪ poverty rate is 34 percent▪ 5 percent of roads are paved▪ 3 public water stand posts▪ no solid waste management▪ very low tax contribution
Ward 3: middle-income, school located <ul style="list-style-type: none">▪ population of 750▪ poverty rate is below 10 percent▪ 50 percent of roads are paved▪ 75 percent of households have access to water▪ 15 percent of households have solid waste management▪ Only 35 percent of the businesses pay the proper tax due to an outdated cadastre

<p>Ward 4: peri-urban – slum housing and infrastructure, migrant population</p> <ul style="list-style-type: none"> ▪ population of 800 (rural migrants and homeless) ▪ poverty rate of 95 percent ▪ 2 percent of roads are paved ▪ 2 public water stand posts ▪ informal businesses are not paying taxes ▪ no solid waste management

Figure 1: Budget Summary 2005

Expenditure		Revenue	
1. Capital Investment		1. Local Revenue	
Roads	83,335.00	Property tax	12,636.00
Water Supply	62,354.00	Business tax	5,231.00
Solid Waste	31,354.00	Circulation tax	2,767.00
Employment	22,345.00	Water tariffs	2,756.00
Women Programs	11,324.00		
2. Salaries	39,355.00	2. State Transfers	152,466.00
3. O&M	2,634.00	3. Center Transfer	71,998.00
Total Expenditures	252,701.00	Total Revenues	224,464.00
Revenues-Expenditures	-28,237.00		

Figure 2: Budget Forecast 2006

Expenditure		Revenue	
1. Capital Investment		1. Local Revenue	
Roads		Property tax	12453
Water supply		Business tax	75023
Solid Waste		Circulation tax	3908
Employment		Water tariffs	2273
Women Programs			
2. Salaries	34123	2. State Transfers	170736
3. O&M	48345		
4. Deficit 2004	31012	3. Center Transfer	90352
Total Expenditures	113480	Total Revenues	261088
Revenues - Expenditures	147608		

15 percent of the resources allocated to water supply were not spent this year.

75 percent of the resources allocated to clean the roads in the center ward were not used.

B. PUBLIC EXPENDITURE TRACKING EXERCISE

Learning Objectives:

1. to develop awareness about Public Expenditure Tracking processes
2. to analyze the flow of government resources for two typical budget programs/activities in primary education
3. to identify and discuss opportunities for leakages of funds and inequitable distribution of resources
4. to identify practical ways to track funds, minimize leakages and reduce variances to promote equity

Exercise:

- This will be a hands-on, practical exercise, consisting of group work. The exercise is based on data given for a fictitious government school in Vikaspur village.
- Participants are required to form 6 groups of 8-10 members each.
- Each group is to select one member who will be the facilitator of the discussion and shall present the group findings.
- Each group is assigned one of the two cases on education programs/activities for detailed analysis.
- Each participant is assigned a role. The roles are explained on the sheets of paper on your table. Please pick only one sheet. Please read the role that you have to play carefully. **Do not share the information on the sheet with the other group members.**
- The facilitator shall ensure that all the different types of roles are given out to group members (that is, at least one member of the group should have received the role of the headmaster, the teacher, the GP member, and the parent).
- The group shall discuss the issues in the case questions given below.
- One member from each group is expected to summarize the key findings in an informal three minute presentation. This will be followed by a question and answer session.
- The time available for the various activities in the exercise are:

Introduction	10 minutes
Group work	30 minutes
Group presentations	25 minutes
Wrap-up	10 minutes
TOTAL	75 minutes

Materials Required:

Flipcharts, paper, markers, transparencies, trays, roles for each group participant.

Case questions for discussion:

- **Case A: Salary payments**
 1. What are the main salary payment related problems that have been identified by different user groups (headmaster, teachers, Gram Panchayat members and parents)?
 2. Are there any leakages or irregularities in salary payments?
 3. Is there a shortage of teachers? If so, is it possible to appoint other teachers given the allocated funds?
 4. What steps can be taken to track public expenditure more effectively? What other accountability systems can be put in place to minimize irregularities?
- **Case B: Textbook distribution:**

1. What are the main textbook distribution related problems that have been identified by different user groups (headmaster, contractor, parents above and below the poverty line)?
2. Is there a shortage of textbooks? Are there any leakage or inequity issues in textbook distribution?
3. Can local resources be generated to solve the textbook problem?
4. What steps can be taken to track public expenditures more effectively? What other accountability systems can be put in place to minimize irregularities?

PRIMARY EDUCATION IN VIKASPUR GRAM PANCHAYAT¹

Basic Data:

Population of Vikaspur Gram Panchayat	10,000
Population below the poverty line	40 percent
Number of primary schools in village	2 (1 government and 1 private)
Number of students in government school	500
Number of these students below the poverty line	300
Number of teachers in government school	6

There are two primary schools in Vikaspur Gram Panchayat out of which one is run by the government through the Zilla Parishad. The other is a private school run by a non-profit organization. Children in the 6-12 year old age group generally attend primary school which involves seven years of education. Schools primarily run on government grants. Parents are not supposed to pay any school fees.

There is a school management committee, which comprises Gram Panchayat members and the headmaster. The committee is responsible for administering the quality of education and managing accounts. The day to day affairs of the school are run by the headmaster. Staff salaries are drawn directly from the government treasury. Local communities sometimes pitch in with their own resources to assist the government school. Users have a number of complaints about the government school such as staff absenteeism, poor quality of teaching, shortage of classrooms, and scarcity of textbooks. The school is short-staffed and has six teachers who teach all 500 children in the school.

Educational Programs/Activities: For the purposes of this exercise, allocations and expenditures for only two budget items have been given.

- **Teachers' salaries:** Staff salaries are paid directly by the government through the treasury office. The supervisory staff is usually busy in administrative and non-education related work. It is suspected that this lack of supervision has resulted in teacher absenteeism and the presence of "ghost teachers."
- **Textbook distribution.** Textbooks are supposed to be provided to primary school students. Textbooks are generally purchased in bulk centrally, supplied to the respective schools by a contractor, and then distributed to the students by the school headmaster. The government allocation may be insufficient to meet the demand of textbooks for all students. The headmaster often exercises discretion in textbook distribution. Even though disadvantaged

¹ Local self-government institutions in India have a three tier structure. At the village level there is the Gram Panchayat, then at the block level there is the Panchayat Samiti, and at the district level is the Zilla Parishad.

communities, such as children below the poverty line, are to be given priority, this is often not the case.

Table 1: Budget Allocations and Expenditures for Vikaspur Government School

Budget Item	Allocation (2004-05)	Expenditures (2004-05)	Remarks
A. Salaries	340,000	300,000	See Notes 1 and 2
B. Textbook distribution	20,000	20,000	See Note 3

Notes:

1. Staff salaries are: Headmaster = Rs. 60,000 per year; teacher = Rs. 40,000 per year.
2. The government school has 1 headmaster and 5 teachers.
3. The number of budgeted positions is higher and 2 vacancies exist.
4. Each textbook costs Rs. 100.

ROLES

Facilitator (1 per group): You should assign the roles so that all the roles are assigned to at least one group member. You are also expected to facilitate the discussion in the group, ensure that everything is done on time, and present the group's findings.

A. Salary payments: Total 10 members = 9 + 1 facilitator:

- **Headmaster (1)** – There is one ghost teacher in your school. You withdraw the salary of the missing teacher and share it with your supervisor. Since you are short of money due to ill health, you often ask your teachers to buy medicine for you and in turn ignore irregularities and unauthorized absences. You have to ensure that the village does not find out about these activities.
- **Teachers (2)** – You are absent every Friday as your house is far away from the school and it is difficult for you to commute. You do not want the villagers to hold you accountable.
- **Gram Panchayat members (2)** – You need the support of the teachers to help you win in the next election. You know that the school is not functioning properly but tolerate it as your children do not attend the school.
- **Parents (4)** – Your children often come back home complaining that the class teacher has not come to school. You want the teachers to come regularly to school and teach well. You know that the school is run poorly and suspect that there are irregularities. You want the schools to function efficiently and the resources to be utilized properly.

B. Textbook distribution: Total 10 members = 9 + 1 facilitator:

- **Headmaster (1)** – As per government norms, each student is supposed to receive four textbooks. You have been allocated 2,000 textbooks (500 students x 4 books). However you have contacts with the contractor and he sells 50 percent of the textbooks and provides the remaining 50 percent to the school. You receive 40 percent of the proceeds of the textbook sales from the contractor. You distribute 3 textbooks per child to children

from families above the poverty line (3 books for each of the 200 children above the poverty line) and 1 book each for the 300 children below the poverty line). You still have 100 textbooks that have not been distributed as you did not have the time to distribute them.

- **Contractor (1)** – You have paid kickbacks to receive the textbook contract and the only way you can make a profit is by selling textbooks in the market. You pay 40 percent of the sale proceeds to the headmaster. You do not want the villagers to know this.
- **Parents from families below the poverty line (4)** – You do not have the money to buy textbooks for your children. This year your child received only one textbook and so was not able to study other subjects. Please assume that all 300 children from families below the poverty line have received one textbook per child. You want to withdraw your children from the school. Poor quality education will not get them jobs.
- **Parent from families above the poverty line (3)** – You want the school’s resources to be utilized properly. You know that the school is run poorly and suspect that there are irregularities. Your child has received three textbooks. Please assume that all 200 children from families above the poverty line have received three textbooks per child. You can buy textbooks for your children and do not need government supplied textbooks but do not mind accepting them as they are free. You will be happy to buy textbooks for your children’s friends. You have heard rumors that the contractor is selling textbooks to children from the private school.

ISSUES

Salary Payment Related Issues:

1. The salary of one extra (ghost) teacher is being withdrawn. The annual salary of all teachers is Rs. 260,000 as given in the table below while the annual expenditures are Rs. 300,000.

	Number	Annual Salary	Total Salary
Headmaster	1	60,000	60,000
Teachers	5	40,000	200,000
		Total	260,000

2. It is possible to fill the two vacancies in the school with the budgeted allocation (i.e. appoint two teachers as they together require an expenditure of only Rs. 80,000). If, however, the ghost teacher is not identified, then it is possible to appoint one teacher in the school. This has not been done in Fiscal Year 2004-05.
3. All teachers are not getting their full salary as they have to pay for the headmaster’s medical bills. In return the teachers’ unauthorized absence is ignored and this ultimately affects the quality of education.

Textbook Distribution Related Issues:

4. There is no shortage of funds for textbooks. The requirement for 2000 textbooks is Rs. 20,000 and there is a sufficient budget allocation for that.
5. Fifty percent of the textbooks (1000 textbooks) are not being received in the school and are being sold in the open market by the contractor. The textbook shortage is because of the headmaster-contractor arrangement.
6. There are 100 textbooks lying undistributed in the school even though there is unmet demand.

	Number	Allocated Books per Child	Total Books (Allocated)	Actual Books per Child	Total Books (Actual)
students below the poverty line	300	4	1,200	1	300
students above the poverty line	200	4	800	3	600
Total	500		2,000		900

7. The textbooks are unequally distributed. While children below the poverty line receive one textbook per child, children above the poverty line receive three textbooks per child as depicted in the table above.
8. Parents above the poverty line are willing to buy books for their own and even other children. This implies that local resource generation at the village level can solve the textbook shortage problem. Families above the poverty line can buy 800. Assume that the undesirable leakage of 1000 books continues. That implies that there is a shortage of only 200 books which means that families above the poverty line need to donate one textbook per child. This can easily be done.

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