Study Circle Material

Citizen Participation in Governance and Social Accountability

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ISBN 9982-55-166-3

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Disclaimer

This material is wholly or partially financed by We Effect. We Effect does not necessarily share the views here expressed. Responsibility for the content is solely the author's and the review team.

Acknowledgement

This study material on Citizen Participation in Governance and Social Accountability was developed through a participatory approach with financial and technical support from We Effect. Civic Forum on Housing and Habitat Zambia (CFHHZ) recognises the efforts of its network members who provided an input into the development process of the material. Sincere gratitude is extended to CFHHZ staff and the We Effect resource team of Enock Mashinyi, Marjorie Chonya and Martin Sekeleti for the guidance and review of the document.

Further, sincere thanks is extended to the various governance experts, too numerous to mention, that worked with the CFHHZ to design and align the content of the material.

Grace Chikumo-Mtonga

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Acronyms and abbreviations

AU	African Union
CAGs	Community Action Groups
CBE	Community Based Enterprise
CBO	Community Based Organisation
CC	Citizens' Charter
CDF	Community Development Fund
CFHHZ	Civic Forum on Housing and Habitat Zambia
COMESA	Common Market for Eastern and Southern Africa
CRC	Citizen Report Card
CSC	Community Score Cards
HRBA	Human Rights Based Approach
MCDSS	Ministry of Community Development and Social Services
MCTA	Ministry of Cultural and Traditional Affairs
MLG	Ministry of Local Government
MLNRD	Ministry of Lands and Natural Resource Development
MHID	Ministry of Housing and Infrastructural Development
NGO	Non-Governmental Organisation
LWSC	Lusaka Water and Sewerage Company
PET	Public Expenditure Tracking
SADC	Southern Africa Development Community
SDGs	Sustainable Development Goals
TIZ	Transparency International Zambia
UN	United Nations
UNDP	United Nations Development Plan
WDC	Ward Development Committee
ZESCO	Zambia Electricity Supply Corporation

Introduction to study circles

Learning objectives

By the end of this session, participants should be able to explain:

- What a study circle is;
- Why and how adults learn;
- The use of study circles;
- The need for a study circle leader;
- The role of your study circle leader and their role as participants.

Discussion

Discuss the following questions:

- *What is a study circle?*
- *Why did you join the study circle?*
- *What are your expectations from this study circle?*
- *How can all these expectations be achieved?*
- *How do you, as adults, want to learn?*

What is a study circle?

A study circle is a group of seven (7) to sixteen (16) people with a common goal to learn together. They meet to share ideas, which provide them with the opportunity to learn new things, improve skills and increase their personal development. They meet on a regular basis and participate voluntarily in a democratic environment. The group holds eight (8) to sixteen (16) meetings, preferably once or twice per week, to study a selected topic for about two hours. They meet to learn together and share experiences. In a study circle, work is built around:

- The participants' wish to learn more about a subject that will help in improving their own lives and address community challenges;
- Democratic values that ensure equality and mutual respect for each other;
- Effective communication among participants. Therefore, study circle participants sit in a circle, facing each other;
- Discussions to share and analyse individual experiences;
- Study materials that provide factual information relevant to the participants' aspirations and needs;
- Participants' involvement in planning and implementation of their work; and
- A study plan to guide the participants to achieve their study objectives.

How do adults learn?

Adults, unlike children, learn because they want to and they have a purpose to learn. They have a reason and an objective to meet. For instance, they might want to understand how to make duty bearers accountable over the use of community funds yet they don't have the knowledge on how to use community funds such as constituency development funds. Adults learn best when the content is relevant to their lives. Three questions guide the dialogue:

- How does this issue affect me and my community? - The first question asks participants to describe their own experience – to tell their story;
- What are others saying about this issue? -The second question asks them to think critically about their culture and how any approach in addressing a particular issue would be affected by their cultural practices;
- What can we do about this issue right now? - The third question asks them to brainstorm actions, to make plans for personal and public action.

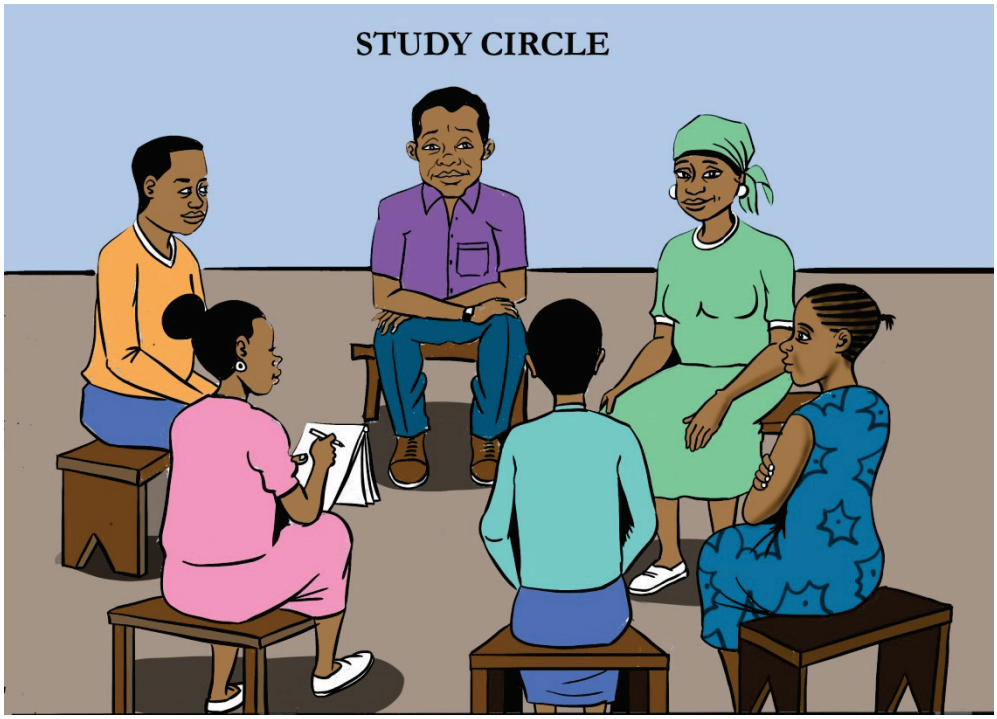


Figure 1: A study circle session in progress

Individual study circles can take place within communities or within organisations such as schools or government agencies. However, study circles have the greatest reach and impact when organisations across a community work together to hold multiple study circle sessions as part of a large-scale programme. These community-wide programmes engage large numbers of citizens in some cases thousands. There can be several study circle groups that would be established on a public issue such as housing, land, participation in governance issues, crime and violence, or education,

health etc. Broad sponsoring coalitions create strong, diverse community participation. In a study circle, participants talk by taking turns answering the question which has been brought to the group. This takes the form of a conversation and not a discussion. In fact, in the first session, participants review the characteristics of a good conversation which includes:

- Being interested;
- Supportive;
- Non-argumentative; and
- Non-competitive.

Choosing a study circle leader

The study circle leader is selected by fellow participants. The leader should be reliable and must possess leadership qualities. The study circle leader should be oriented by the study circle organiser on how to facilitate a study circle session. The leader requires continuous support during study circle work. To be a study circle leader, one must have the ability to:

- Set goals;
- Make other people achieve their goals; and
- Bring people together to perform a task.

Brainstorming time!!!!!

List the important qualities you would consider when electing your study circle leader.

The following are examples of good leadership qualities:

- Competence to facilitate and coordinate members with different backgrounds;
- Honesty in facilitation methods;
- Embrace members' views and never to present themselves as being more knowledgeable than the other participants;
- Ability to control their temper (tolerant);
- Ability to encourage member participation and to open up discussions;
- Ability to take ideas from other participants;
- Good listening skills;
- Ability to prepare and study ahead and be familiar with the study circle material;
- Ability to summarise discussions or key lessons;
- Must be approachable and interested in people; and
- Must never act in an authoritarian manner.

Roles and responsibilities of a study circle leader

The roles and responsibilities of a study circle leader are to:

- Create a learning process that stimulates and encourages participants to actively look for knowledge;
- Participate in the study circle work in cooperation with fellow participants;

- The study circle leader should not be authoritative or imposing but embracing;
- Develop team spirit so that the participants feel secure;
- Strengthen the participants' self-confidence;
- Enable participants arrive at common decisions and apply what they have learnt in everyday situation;
- Make different options clear and act as a guide;
- Encourage cooperation among the participants and discourage competition;
- Be a resource person in organising the studies but need not be an expert in the subject matter;
- Guide members in discussing the questions and ensure that answers are put down with clear follow up actions and plans.

Having discussed the qualities and roles, now elect your study circle leader.

Role of participants

Study circle participants help each other to search for knowledge and cooperate on how to solve problems together. All participants must understand and accept the responsibility of utilising one's experience to benefit others. Once a participant has put forward an idea, it becomes a group idea. This improves group knowledge and allows each member to make a contribution. All study circle participants should encourage cooperation and discourage competition. The participants should share the responsibility for the success or failure of the study circle.

Work in a study circle is made up of:

- The study circle material;
- The skill of the study circle leader;
- Knowledge and experiences of the members; and,
- A study circle plan.

Planning learning session

Before any study can start, a number of issues need to be agreed upon in advance. These include:

- The topic and study plan-what will we study?
- Venue-where shall we be meeting?
- Time schedule – when, how often and for how long shall we meet?
- Responsibilities – who shall do what?

- External resource person – who could provide guidance if we get stuck and for which topics or session shall we need an external resource person?
- Assessment – how shall we test our understanding and are we going to meet our study objectives?
- The study material-where can we find information about our study topic?

The topic of study is decided by the study circle group since it concerns everyone and not the study circle leader. After participants have identified the topic, a study circle plan is made. A study circle plan is the way learning sessions will be run, how the group will work together, the venue, time frame and roles of each group member.

A study circle plan can be prepared in a planning session and includes basic steps such as:

- Objectives of the study circle;
- Dividing the topic into suitable steps;
- Providing information on the issues under study;
- Providing advice to the group on how their learning sessions can be effective; and
- Setting the time frame. During the planning session, the group should agree on the time to be spent on a particular topic.

The success of the study circle will depend on good planning and preparation in order to achieve goals in an effective manner.

In this case, when coming up with a plan, the initial study circle activities can include:

- Sharing experiences on governance;
- Familiarising study circle participants with the study material;
- Comparing content of the study material with the study circle group members' expectations;
- Ensuring the study plan meets the wishes and needs of the participants.

A study can be a session-by-session outline on the issues you intend to study during the study circle. An example:

Session 1: Key terms used in governance

Session 2:Citizen participation

Session 3:Principles, application and benefits of citizen participation

Session4:Citizen Participation in practice: Visioning and design

Session 1: Key terms used in governance

1.1 Learning objectives

By the end of this session, participants should be able to:

- Define governance;
- Explain who a citizen is;
- Describe how a citizen can participate in governance;
- Explain public participation and what it entails;
- Distinguish between duty bearer and rights holder;
- Describe the power and rights that citizens have to engage duty bearers;
- Explain citizens' responsibilities.

1.2 What is governance

Discussion

In your own words, answer in the group the following questions:

- What is governance?
- Who is a citizen?
- How does a citizen participate in governance?
- What do we understand by the term public participation?
- What is the difference between public participation and citizen participation?

There are many accepted definitions of governance, with some examples listed here:

- "The manner in which power is exercised in the management of a country's economic and social resources for development" (World Bank);
- "The exercise of economic, political and administrative authority to manage a country's affairs at all levels. It comprises mechanisms, processes, and institutions, through which citizens and groups articulate their interests, exercise their legal rights, meet their obligations, and mediate their differences."(UNDP);
- "The traditions and institutions by which authority in a country is exercised. This includes the process by which governments are elected, monitored and replaced; the capacity of the government to effectively formulate and implement sound policies; and the respect of citizens and the state for the institutions that govern economic and social interactions among them."(Worldwide Governance Indicators);

- "What determines who has power; who makes decisions, how other players make their voice heard and how accountability is rendered?"(Institute on Governance);
- "The provision of the political, social and economic public goods and services that every citizen has the right to expect from his or her state, and that a state has the responsibility to deliver to its citizens" (Mo Ibrahim Foundation).

The Civic Forum on Housing and Habitat Zambia (CFHHZ) employs the human rights based approach (HRBA) in its programming and project implementation. CFHHZ thus sees governance as a process which is citizen-centred and provides avenues through which citizens make decisions about issues (social, economic, legal, political etc.) that affect them in a transparent and accountable manner. To achieve this, CFHHZ promotes citizens' participation in all public decision making processes and requires citizens to know their rights and responsibilities as well as be able to hold their civic leaders, who are the duty bearers, accountable.

Below are some concepts that citizens need to understand to actively participate in governance:

1.3 Who is a citizen?

A citizen a person who legally belongs to a country and has the rights and protection of that country. A citizen has the duty and right to participate in the affairs of the country to which they belong, through public participation.

1.4 Public participation

Public participation which is used interchangeably with citizen participation is a process in which citizens are informed, consulted or involved to ensure their concerns are considered throughout the decision making process. It is an action or series of actions a citizen takes to engage in the affairs of government or community. This may include:

- Participation in voting exercises;
- Attending community meetings that would decide on the kind of project or development that should come to an area;
- Participating in public or private political discussions or debates;
- Signing a petition on an undesirable government action;
- Holding civic leaders accountable based on implemented projects and expenditure;
- Volunteering in the community;

- Contributing money to a political party or independent candidate vying for election;
- Contributing resources for community projects or programmes.

Discussion

In your own words, answer in the group the following questions:

- Who is a duty bearer and a rights holder?
- What is the difference between a duty bearer and a rights holder?
- What are the respective roles of duty bearers and rights holders?
- What power do citizens have in governance?

1.5 Duty bearers

Duty bearers are actors who have a particular responsibility to respect, promote and realise human rights. Duty bearers can either be state or non-state actors. An example of a state actor is a leader in the national or local government. Depending on the context, individuals, local organisations, private companies, donors and international institutions can also be considered as duty bearers.

1.6 Rights holders

Rights holders are individuals or social groups that have particular entitlements in relation to specific duty bearers. A citizen has a right to services delivered by the local council or central government such as housing, water, sanitation, solid waste management, health, education and security among other rights; all of which the local council or central government, as a duty bearer, has an obligation to provide.

1.7 Powers by which a citizen may act

Citizens have powers by which they may act and participate in governance. These include:

Passive citizen power

Passive citizen power refers to participation of citizens that does not require direct physical actions. For instance, signing a petition, voting, writing letters to complain or to demand for information or services.

Physical citizen power

Physical citizen power requires direct physical participation of citizens such as protesting, participation in public works or boycotting. When exercising physical

citizen power, it is important to do so in a responsible manner as provided under the law.

Fiscal citizen power

Fiscal citizen power relates to financial action such as paying taxes, giving donations and approving or disapproving government borrowing or spending of money and its usage.

Sovereignty

Sovereignty refers to collective power exercised by the citizens. The citizens may exercise the sovereign power either directly or indirectly through their democratically elected representatives.

1.8 The importance of sovereign power

The importance of sovereign power is that it allows the citizens to abide by the principles of unity, peace, liberty, equality, equity, and popular decision making. This promotes democratic governance and the upholding of the rule of law.

Case Study: Citizen Power

Chikuni community has a population of 1,500 people who are involved in farming, trading, mining, fishing and other trades. The community members nominated 5 leaders to represent them by engaging the local government on various developmental issues such as transport, access to housing, good sanitation, clean water, electricity, health facilities, and education. All the leaders are elderly men and women, able bodied and have flourishing businesses in Chikuni community.

Once each month, leaders provide reports to the community which highlight the progress made and challenges faced. The community leaders use this opportunity to share with members the emerging needs. Leadership is changed every two years.

Questions

- Who nominated the community leaders?
- Which leadership qualities did the community look for in the leaders?
- What other qualities should have been considered in nominating the leaders?
- Why is it necessary for a community to have leaders?

The case study above demonstrates the processes involved in governance and the important role of citizens in the governance process. It showcases how citizens can participate in governance processes either passively or actively. The leaders elected

are drawn from citizens themselves selected to represent them using a prescribed criterion. In this regard, the leaders elected are duty bearers as they have been given the responsibility to watch over the affairs of the community members and their needs. The role of citizens does not end here, as they can engage in affairs of the community and also participate in public or private discussions or debates that affect their well-being.

1.9 Conclusion

This session aims at defining and explaining the key terms used in governance and how citizens can participate in governance. Key terms discussed in this session include: governance; citizens and the various forms of citizen participation; public participation; duty bearers and right holders; and citizen and duty bearer's responsibilities. The session concludes with powers of a citizen and sovereign power.

Session 2: Citizen Participation

2.1. Learning objectives

By the end of this session, participants should be able to:

- Define citizen participation;
- Define concepts related to citizen participation such as: community or social participation; political participation; and participation in democratic decentralisation;
- List the roles of citizens in citizen participation;
- List the levels of citizen participation;
- List the various forms of citizen participation.

2.2. Introduction to citizen participation

Discussion

In your own words, answer in the group the following questions:

- What is participation?
- How does citizen participation contribute towards effectiveness, legitimacy and social justice?
- Using your own experience, identify the various forms of citizen participation in the process of governance?
- What are the categories of public participation?

Participation of citizens in government is the cornerstone of democracy. Citizen participation is the process by which the masses join in determining how national and local government goals and policies are set, development programmes are

operated, information is shared, tax resources are allocated, and benefits like contracts and patronage are parcelled out. In short, citizen participation is the means by which citizens can influence significant social reform which enables them to share in the benefits of the society[1]. Social reform occurs as a response to continued injustices and inequality in society. People become more aware of their rights and tend to engage decision makers, who are the duty bearers in addressing the problems at hand. It is, therefore, an attempt that seeks to correct any injustices in society. It is people who are involved in social reforms with the aim of improving lives. A social reform, therefore, aims at making gradual change or change in certain aspects of society.

The process of citizen participation should be empowering and fulfilling, resulting in real change in the society. The process should allow for redistribution of power, resources, opportunities and benefits at all levels of society. When this has happened, social justice has prevailed.

It is, however, important to examine citizen participation, especially in the context of delivery of social services by both central and local government at community level. In this regard, citizen participation as a process should be considered in totality as taking into account one or all of the following related concepts:

- Community or social participation, usually in the civil society sphere or in which citizens are 'beneficiaries' of government programmes;
- Political participation, through which citizens are engaged in traditional forms of political involvement e.g. voting, political parties, lobby and advocacy. In this way those who are governing the society are doing so 'legitimately' as they have the right to exercise power because they have been selected to do so by the majority;
- Participation in democratic decentralisation for service delivery.

2.3. Types of citizen participation[2]

A typology of eight levels of participation may help in analysing citizen participation. For illustrative purposes the eight types are arranged in a ladder pattern with each rung corresponding to the extent of citizens' power in determining the end product.

[1] Arnstien, 1969
[2]Adapted from Arnstien, 1969

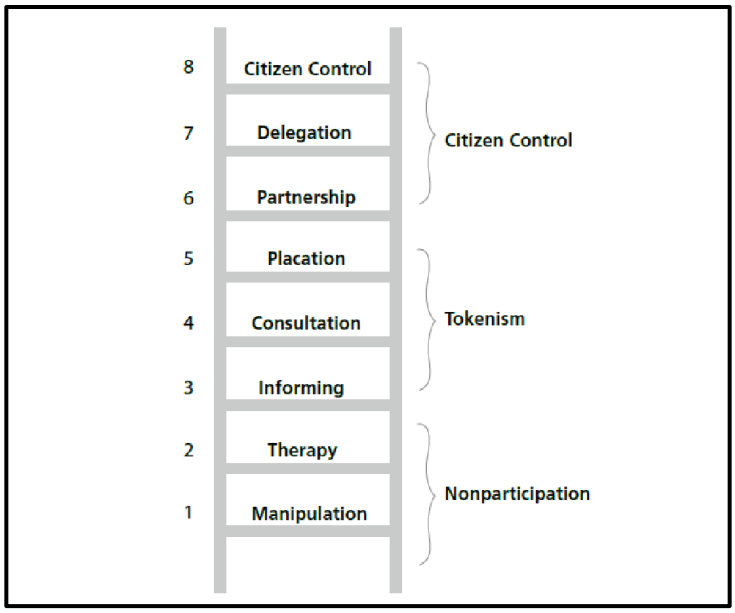


Figure 2: Types and degrees of citizen participation

Manipulation and therapy

The bottom rungs of the participation ladder are (1) manipulation and (2) therapy. These two rungs describe "non-participation" because the real objective is not to enable people to participate in planning or conducting programmes, but to enable power holders to "educate" or "cure" the participants.

Informing, consultation and placation

Rungs 3 and 4 progress to levels of "tokenism" that allow the citizens to hear and to have a voice: (3) informing and (4) consultation. When they are engaged by power holders to make an input into development programmes and decision making processes, that is considered as the total extent of participation. This provides an opportunity for citizens to indeed hear and be heard on issues that affect their wellbeing as individuals and as communities. But under this kind of arrangement, where power holders submit decisions to the citizens for acceptance, they lack the power to ensure that their views will be heeded. When participation is restricted to these levels, there is no follow through, no "muscle," hence no assurance of changing the status quo. Rung (5) Placation is simply a higher level tokenism because the ground rules allow the citizens to advise, but return decision making to power holders who assume continued right to decide.

Partnership, delegation and citizen control

Further up the ladder of participation are levels of citizen power with increasing degrees of decision-making power. Citizens can enter into a (6) partnership that enables them to negotiate and engage in trade-offs within power at local and national

levels of authority. At the topmost rungs, (7) delegated power and (8) citizen control ordinary citizens obtain the majority of decision-making seats, or full managerial power.

2.4. Forms of citizen participation

Citizen participation takes various forms which include:

- Attending public meetings or rallies to learn, discuss or support an issue of concern to the community;
- Campaigning for a political candidate, policy or issue(s) that will be voted for by the public;
- Demonstrating on a position or an issue, cause or government policy through marches, boycotts, sit-ins, or other forms of peaceful protest;
- Vying for an elective office;
- Volunteering in the community or holding state office;
- Serving the country through military or other service to the country;
- Participating in civic discussions such as the local governance meetings with civic leaders;
- Persuading a lawmaker to vote in a certain way;
- Signing petitions for appealing to the government to formulate, implement and monitor either projects or policies;
- Communicating to elected representatives through the various media platforms; and
- Participating in sector working and interest groups or advisory committees to influence policy and national plans.

Discussion

Degrees of citizen participation in Senama Community

You are a resident of Senama community for the past six (6) years. As residents you realise that social service delivery has not been up to date. Housing, water, sanitation, garbage collection, health services and poor road network are some of the challenges faced by the entire Senama population. Further, the community has also not been building standard housing structures befitting a modern human settlement. This situation has now moved you to actively participate as a citizen in the governance of Senama community.

- Discuss how you would ensure that you take advantage of the various forms of citizen participation to achieve citizens' control and push for better service delivery?
- Which of the rungs on the ladder of citizen participation is common in your community?

The discussion above aims at putting into practice the levels and forms of citizen participation. It provides an avenue for citizens to identify what form would be ideal for a particular issue being faced by their community such as housing, water and sanitation. Afterwards, based on their experience, participants should be able to determine which level of participation is mostly applicable in their community depending on the level of citizen power. The level of resident participation in the Senama case, can be said to be at tokenism.

From the fact that there has been poor service delivery in Senama for many years, it means that residents are not the final decision makers and that the service providers are the power holders and decision makers. There is poor accountability by the power holders to the residents of Senama. In this case, the resident of Senama have been moved by their miserable situation and realised that they need to take action. Given that service providers are power holders and decision makers, the starting point in Senama is at (3) Informing and (4) Consultation. Residents can engage power holders to make an input into development programmes and decision making processes that will change their situation. Through resident committees; attending public meetings or rallies to learn, discuss or support an issue of concern to the community; and participating in civic discussions and meetings with civic leaders, Senama residents have an opportunity to hear and be heard on issues that affect their wellbeing.

2.5. Conclusion

This session has defined concepts such as: citizen participation and its related concepts. It has highlighted the roles of citizens in citizen participation, with regards to degree of decision making power, including the lowest levels of participation where citizens do not participate or are restricted to hear and to have a voice in a matter that concerns them, without making a decision. At a higher level of participation,

citizens are engaged by power holders to make an input into development programmes and decision making processes by giving advice, but lack decision making power like duty bearers who assume continued right to decide. The highest and most desired level of citizen participation is described as delegated or citizen control in which have-not citizens obtain the majority of decision-making seats, or full managerial power.

The session also highlights the various forms of citizen participationsuch as personal political pursuits or supporting political activities, demonstrating on a position or an issue, volunteering in community or national activities, serving the country through military or other service participating in civic discussions, persuading a lawmaker to vote in a certain way and signing petitions for appealing to the government It has demonstrated how these concepts can be put to practical use with the aid of a discussion.

Session 3: Principles, application and benefits of citizen participation

3.1. Learning objectives

By the end of this session, participants should be able to:

- Mention principles of citizen participation;
- Explain the application of citizen participation at community level;
- List the benefits of citizen participation;
- Identify avenues that citizen participation can be achieved at community level.
- List the barriers to citizen participation in local governance;
- Examine the evidence related to the barriers of citizen participation in local governance.

3.2. Principles of citizen participation

Discussion

In your group discuss the following:

- What are the principles of citizen participation?
- Mention the principles of citizen participation that you aware of;
- Using your own experiences, share situations where you have observed the values and principles of citizen participation in your community;
- List barriers that can prevent citizens from participation in community, district or national issues affecting their lives.

A principle is defined as a fundamental truth or proposition that serves as the foundation for a system of belief or behaviour for a chain of reasoning. Principles of citizen participation include:

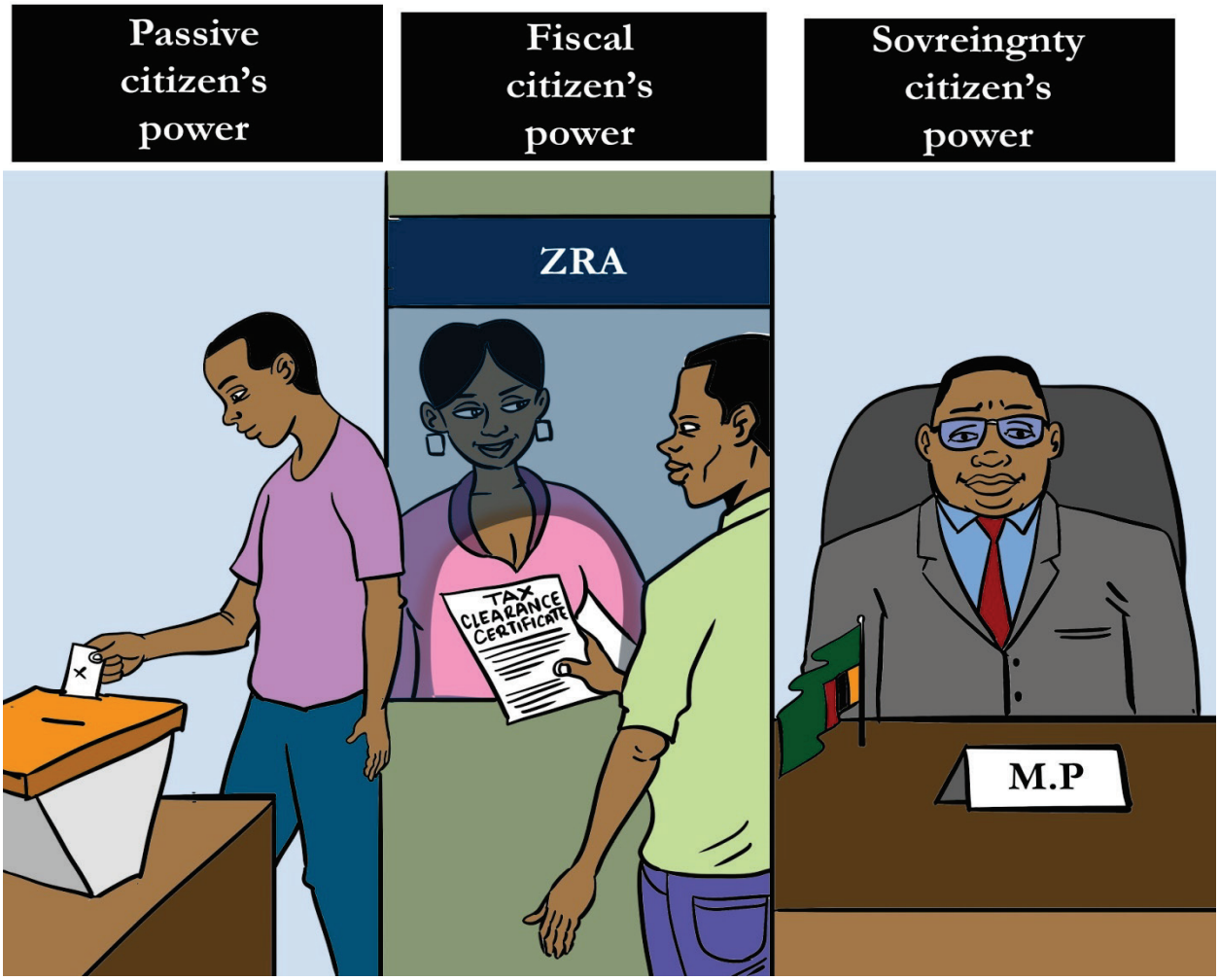
- People have the right to participate in the decisions that affect their lives either through programmes being implemented or policies that guide national development;
- Since citizens are the beneficiaries of public policy, they can play a role in the development and implementation of the policy (and similarly in voluntary and private sector policy and practice);
- The benefits of participation must be shared equitably;
- Participation should build trust through cooperative strategies of problem solving and discussion;
- The scope of activities in any event or project in the community should be determined by the citizens;
- The chain of authority should be clearly determined;

- The persons responsible for the various activities should be identified in good time with the involvement of community members during the process;
- The process should be inclusive with special support given to the marginalised groups;
- Participating groups and communities should be representative and/or inclusive, with traditionally excluded groups given special support and encouragement for their involvement;
- Outreach must be genuine and open;
- There should be transparency and accountability;
- Records of the process and outcomes should be kept for reference; and
- Processes should support a climate of learning and growth among all those involved, including, ongoing civic engagement for effective participation by citizens, civil society, civic leaders and government officials.

3.3. Application of principles of citizen participation

The application of principles of citizen participation at national and local government level involves:

- Taking part in decision making concerning programme and policy development, and implementation;
- Contesting for elections;
- Registering to vote and voting;
- Becoming informed on issues and policies;
- Appraising candidates and political parties;
- Maintaining peace during and after elections;
- Debating on national and local issues using relevant platforms;
- Attending community or civic meetings for sensitisation;
- Participating as members of private, public and voluntary organisations;
- Paying taxes;
- Getting involved in peaceful protests;
- Petitioning the government on issues that affect citizens relating to development programmes and policies; and
- Recalling elected Members of Parliament and Councillors.



3.4. Barriers to citizen participation in local governance

There are a wide range of barriers that can prevent citizens from participation in community, district or national issues affecting their lives. The barriers can include the prohibitive culture of governance; choice of inappropriate meeting times and location; lack of awareness; personal circumstances, attributes and skill; and faith-related ideological conflicts.

Prohibitive culture of governance

The list of issues of citizen participation found under this barrier include:

- Complicated and inaccessible structures;
- Excessive and restrictive bureaucracy;
- Impersonal management and leadership; and
- Obstructive red tape and confusing jargon.

Meeting times, location and awareness

The barriers under this category include the following:

- Poor timing of meetings and choice of an inappropriate venue. Organisers of community events must be sensitive to poor timing and venues that do not support child care requirements for mothers, as well as not meeting personal health requirements;
- Lack of engagement attributed to the existence of a communication and information gap;
- Lack of awareness about the opportunities to engage;
- Lack of information about the issues to be discussed and late notification of forthcoming events that contribute to poorly attended meetings and failure by citizens to engage in the governance of their communities.

3.4.3 Personal circumstances, attributes and skill

Most of the issues highlighted above are external barriers to citizen participation. Internally, personal circumstances, personal attributes, skills and competences also determine the extent to which citizens are able to participate. These issues are broken down as follows:

- Fitting governance into one's lifestyle, i.e. in the midst of family and work responsibilities.
- Confidence, i.e. this is an attribute needed for public speaking, dealing with conflict, presenting an argument and interacting with a range of people from diverse backgrounds;
- Communication skills, i.e. effective written and oral communication are needed if one is going to work in structures that are jargonistic. These have barriers to entry in terms of understanding contexts and content;
- Local knowledge, i.e., some knowledge of local issues, local politics and local community dynamics. Being in possession of local knowledge and data, statistics and information to back up the issues raised not only increases credibility but also commands greater attention from those present. Lack of such knowledge often prevents individuals from attending governance meetings or making submissions at such meetings.

Ideological barriers and faith

There is some uncertainty among faith-based groups about their involvement in matters of governance, with conflicts arising between religious beliefs and practices and engagement in governance. Underlying ideological conflicts can limit the extent to which faith-based groups can engage in formal governance. Some of these issues include:

- Values, principles and religious practices, i.e. Christians might not pursue active governance because of 'fear to be associated with political parties, which they don't regard as a proper area for ministerial involvement'.
- Separation of faith and community agendas, i.e. conflicts exist between perceptions about the motives and drivers of faith-based groups and the expectations of public bodies and other community stakeholders. Others would feel that faith-based groups should more clearly distinguish between the faith agenda and community needs, and put aside their personal religious beliefs when engaging within a community context.

Exercise

Bring the above applications of citizen participation to your local situation and examine how you and other residents participate in each of them, one by one.

Identify some of the barriers you face in participating in a community grouping or in a local governance structure.

3.5. Benefits of citizen participation

Discussion

In your group the discuss and share following:

- How do you participate in affairs that affect you and other residents of your area in local and national programmes and policies?
- What are the benefits of participating in local and national programmes and policies?

When done in a meaningful way, citizen participation will result in the following significant benefits:

- Increased trust between the public officials and the community;
- The public have a sense of belonging and trust in their community leaders;
- Decisions made are legitimate and are less subject to challenge;
- Diverse views from a greater citizenry contributing to the public debate on issues and decision-making;
- Citizens are better informed on projects and government proposals;
- Community concerns are more focused and prioritised for public officials to address;

- Peoples' diverse and unique skills are revealed to government officials and the community;
- The public is more aware of community concerns;
- The public can effectively judge government responses to their concerns; and
- Public officials get a better understanding of community needs and are able to respond effectively

Discussion

Role of Citizens in management of Constituency Development Fund

As members of the Village/Area/Ward Development Committee you learn that the Constituency Development Fund (CDF) for your community had been disbursed. Your committee sees CDF as an opportunity for citizens to participate in deciding which major projects the funds should be utilised on. Further, your committee has done its work in sensitising community members of their civic responsibilities and is knowledgeable of the values, principles, applications and benefits of citizen participation and believes that if adhered to would greatly bring efficiency in the way CDF is managed in your community.

Reflect on the principles, applications and benefits of citizen participation and discuss how they can be applied to achieve efficiency in the administration of CDF.

3.6. Conclusion

This session brought out an understanding of the principles hinging on citizens' right to participate, representation, transparency and accountability. It highlights application of principles of citizen participation with such examples as taking part in decision making concerning programmes and policy, contesting for elections, registering to vote and voting, paying taxes, peaceful protests and petitioning the government and benefits of citizen participation. The session lists benefits of citizen participation; avenues of citizen participation at community level as exemplified in the CDF discussion. Citizens can also be prevented from participation by certain barriers; and this session outlines some of the barriers to citizen participation.

Session 4: Citizen Participation in practice - Visioning and design

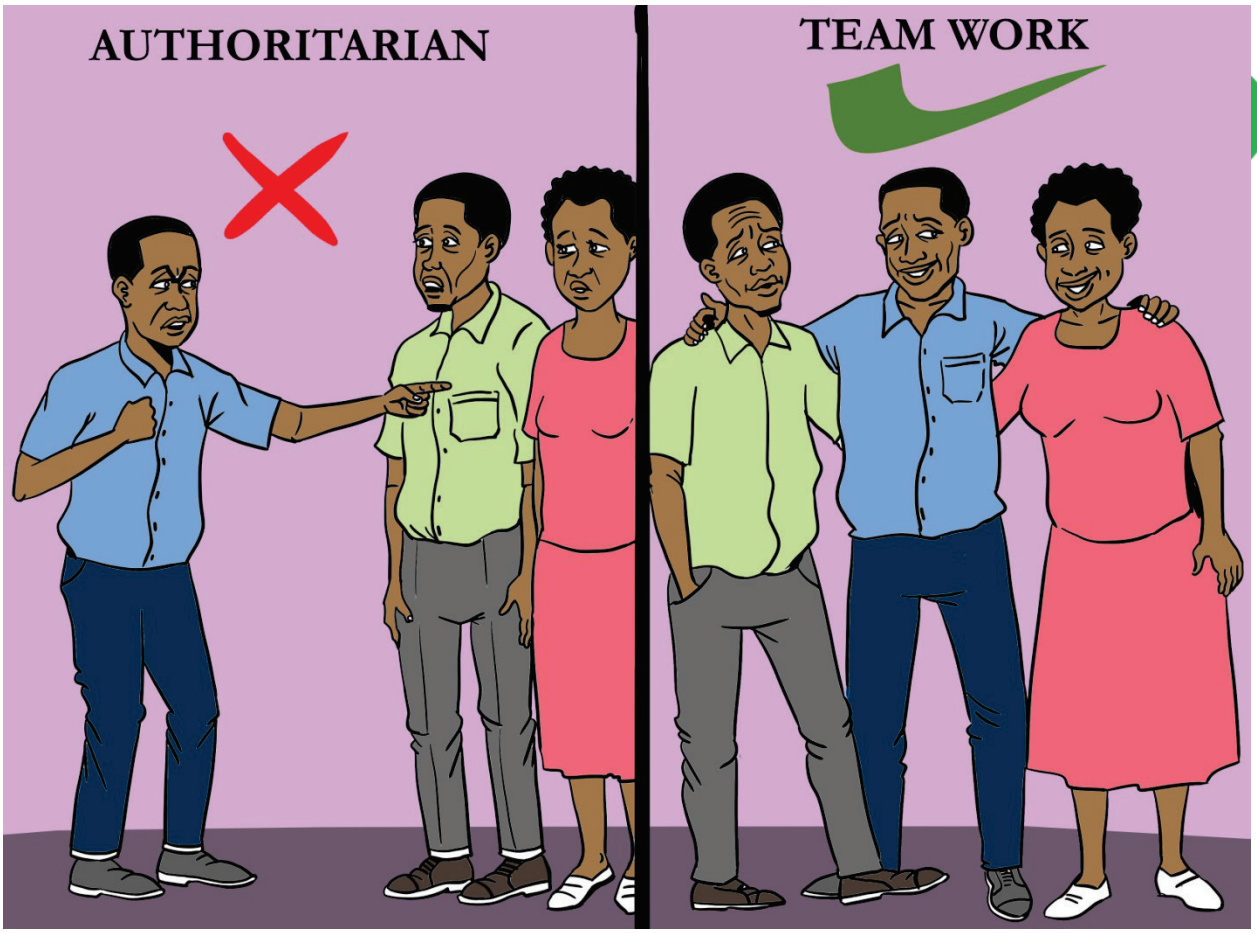
4.1. Learning objective

By the end of this session, participants should be able to:

- Mention the various tools that are available for citizen participation;
- Explain the meaning of visioning and designing;
- Outline the step in visioning and designing;
- Explain how citizens can be involved in urban and rural human settlement planning, using the process of visioning and designing.

4.2. Introduction to participative leadership

The challenge to develop citizen participation can be an opportunity or a threat by different types of leaders. Directive, authoritarian leaders see the threat side, while more participative leaders see the task as a creative challenge, and a key opportunity to build a healthy society. To reconcile the needs of the leaders and the needs of the citizens through participative leaders, the following questions have to be addressed.



Discussion

In the group have a sharing on the following questions:

- How can citizens be engaged and motivated to participate?
- How can the flow of ideas that support successful communication be expanded?
- How can diverse citizen groups be reached out to make the governance process more inclusive?
- How can public organisations be made in such a way that they achieve high performance, and have the ability to endure, and contribute to high quality of life?

These questions can be answered by the challenge of creating a participative, productive culture in communities, public organisations and institutions. The efforts to enhance a culture of citizen participation must constantly stimulate and result in participative progressing communities, public organisations and institutions. But some practical tools, purpose and workings for citizen participation must be identified.

The questions regarding tools for citizen participation are: (i) What tools are available for citizen participation; and (ii) How do they work to ensure effective citizen participation?

While there are many citizen participation tools for public leaders, civic leaders and community members to choose from, here we will focus on the following:

- Visioning and design;
- Public petitions;
- Lobbying;
- Advocacy; and
- Social accountability.

4.3. Steps in visioning and design

Case study: Unplanned human settlement – A quest for reinvention

Habeenzu Mailo has watched his small village grow into a town and then a small municipality. New companies have brought jobs and some degree of economic prosperity. But with all the new citizens coming from the countryside, a housing shortage has developed along with strained transportation systems, short water supply and overburdened health care. As Mayor, Habeenzu Mailo would like to organise a vision of his municipal council's future, one with planned growth and development.

Habeenzu Mailo could choose to involve citizens in a search for a desired future. In many public service areas, we are now in the "reinvention" stage seeking both to improve the performance of our current system and to establish the structure for a future. It is clear to public administrators, and political leaders, that services in many communities and districts are inadequate. To improve the services, the service users, who are the citizens andrights holders, should be engaged. These could be represented by various community action groups which includes study circles. These groups shall be able to engage their civic leaders and make an input into the developmental programmes that the Mayor desires to implement. Citizens who are the rights holders shall design mechanisms to monitor programmes from both the local and national level.

Habeenzu Mailo enquires about the existence of community action groups to help with input for the redesign of the community. He wonders if this is the best approach that intimately involves citizens. What role should the citizens play in the visioning and design of the public services process?

The following are the steps in visioning and design of public services:

Definition and purpose

Citizens can be involved in a search for a new future - of their municipality as they are the service users. Some public leaders feel they can produce a vision independently. In a democracy visioning is a collective and collaborative endeavour incorporating diverse citizen values, viewpoints and ideas. Habeenzu Mailo considered engaging citizens in a "joint search" for their desired future including the citizens as full partners in the process as this assures sustainability of development. This visioning or futures design is sometimes called reinvention.

Visioning and futures designs have been carried out with citizen input in many municipalities. The main element of visioning or futures design is citizens' participation. They participate in the design, implementation, monitoring and learning of project goals and objectives, thus ensuring sustainability of gains acquired during the project cycle.

Structure and functioning

How does the process of ensuring citizen participation work? Habeenzu Mailo decided to invite citizens to be a part of his "community futures group". He created a series of citizen groups to address various aspects of the community's future – housing, water and sanitation, community security, transportation and health care. His "futures process" most likely includes these steps, a composite of redesign processes from many different models.

Table 1: Format for visioning and design

i.	Define and describe the present ● internal strengths and weaknesses ● external threats, opportunities, trends, issues ● competitor analysis
ii.	Define and describe desired future ● Vision, mission, scenario
iii.	Critical gap analysis
iv.	Define grand and leading strategies
v.	Identify resource requirements
vi.	Establish operational start-up ● Actions, ● Responsibilities, and ● Evaluation

Citizens should be included as advisors to the whole process, or citizens should serve on a task force focusing on one part of the process, for example examining social and economic trends affecting the Municipality as part of an "external" analysis.

4.4. Impact of citizen participation in visioning and design

Involving citizens in the vision and design process ensures that "futures" are co-designed and collaborative. Consensus can develop during the dialogue. And most importantly, commitment to the new design is strong as citizens view the new vision as "our" vision. Making this process participative does create its own bottlenecks such as reducing efficiency and increasing management challenges owing to the time spent in meetings and consultations (public debate in early stages; consultations and conflict resolution), but ultimately the process is more effective.

4.5. Lessons from citizen participation in visioning and design

Experience with participative visioning and futures projects brings along several lessons. Public leaders should:

- Ensure that there is diversity of citizen representation;
- Be open about both the process and the findings and reports, using various media platforms;
- Understand they must lead and support the efforts of citizens;
- Encourage novel solutions but expect a difficult challenge;
- Balance the rational / deliberate with an intuitive/emergent attitude - some ideas are planned, others just flow; and
- Be prepared to follow up, regularly evaluating progress.

Visioning is at once simple and complex. The parts of the process can be learned and understood fairly easily. Habeenzu Mailo will find that developing truly creative solutions and new visions is hard, complex work. For citizens to be involved is both an honour and a duty. It is, after all, their future.

4.6. Conclusion

This session has shown that it is possible for leaders to engage citizens to participate to build a healthy and sustainable society. It is not just possible, but it is the duty of leaders to create a participative, productive culture in communities, public organisations and institutions for citizens to participate in visioning and designing of their desire community future. This session identifies the various tools that citizens can use to engage with the community leaders, with special focus on visioning and designing. There the steps that may be followed in good governance, and these include definition and purpose; and structure and functioning of in visioning and design of public services. Involving citizens in the vision and design process ensures that "futures" are co-designed, collaborative, owned and sustained. While visioning and designing requires representation of a diversity of citizens, leadership must be open about both the process and the findings, encourage novel solutions and regularly evaluating progress. Furthermore, a case study on how leaders can incorporate citizens in settlement planning is given in this session.

Session 5: Citizen Participation in practice - Public petitions and lobbying

5.1. Learning objective

By the end of this session, participants should be able to:

- Define the term petition;
- Write a petition;
- Identify issues for inclusion in a petition;
- Explain what lobbying is;
- List some key principles of lobbying;
- Mention some important tips for successful lobbying; and
- Apply lobbying as a tool for citizen participation.

5.2. Public petitions

Discussion

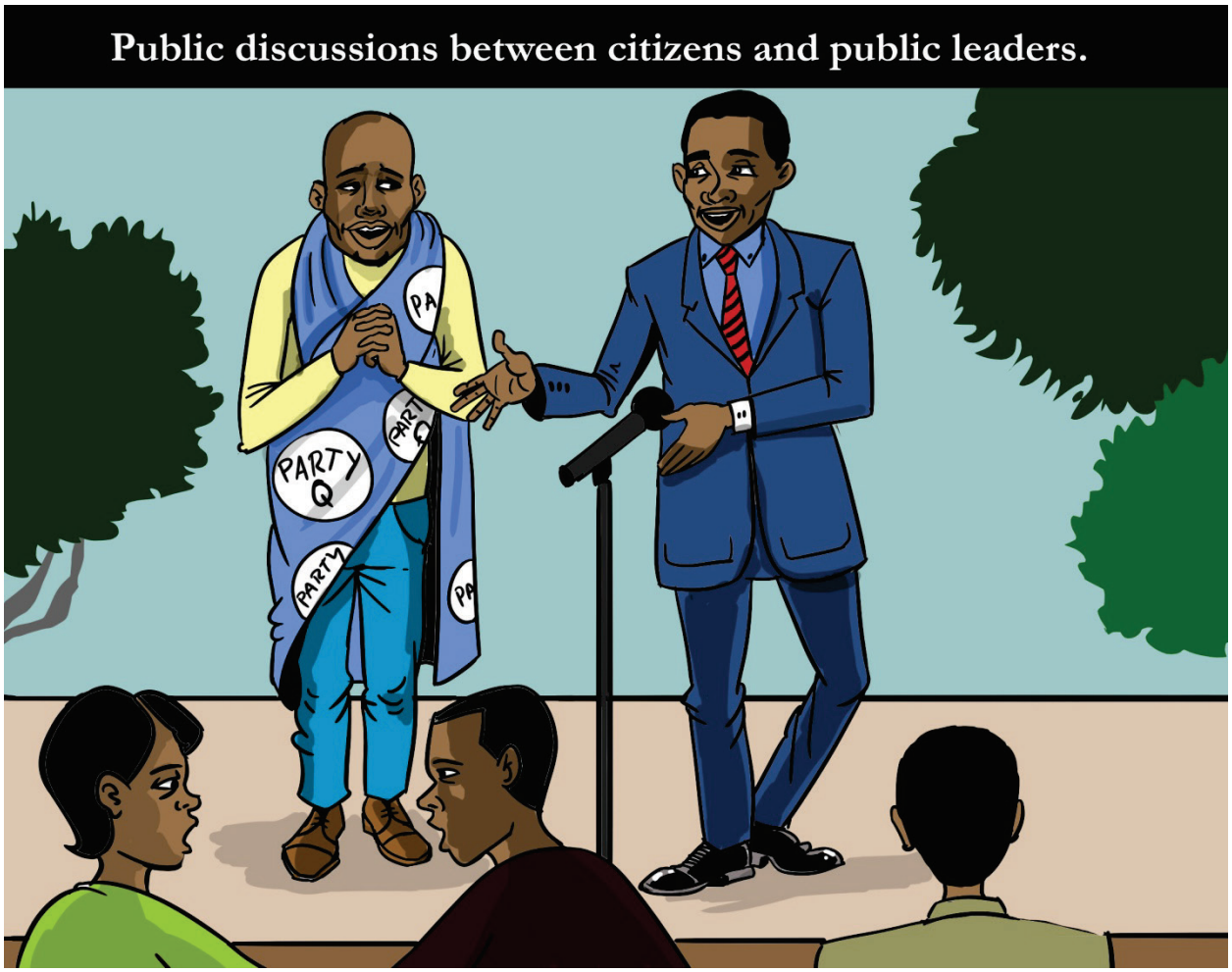
Have a group discussion on the following questions:?

- What do you understand by the term petition?
- How can citizens draw up a public petition?
- What steps can citizens follow to draw up a public petition?

What is a public petition?

A petition is a formal written request, typically signed by many people, appealing to authority in respect of a particular cause.

Public petitions are important avenues for those who wish to influence the government in a preferred position. The right to petition allows citizens to focus government attention on unresolved ills; provide information to elected leaders about unpopular policies; expose misconduct, waste, corruption, and incompetence; and vent popular frustrations without endangering the public order.



There are two types of petitions, namely, online and physical (paper) petitions. A successful petition will complement a strategy that includes direct lobbying, letter writing and media exposure.

5.3. Steps in petitioning

The following are steps followed in writing a petition:

Identifying the target

The first task in writing an effective petition is to identify the target audience. Some of the possible targets include: National and local governments, Members of Parliament, the National Assembly and Parliament, and Politicians, Political Parties, the President, Ministers, Ambassadors, Permanent Secretaries, District Commissioners, traditional leaders, media organisations, public institutions, Neighbourhood authorities; and Business Associations.

Content of the petition

The content of a petition begins with a request, followed by well researched reasons for making the request. In writing a petition, it is important to bring out arguments

in a logical and coherent manner. The content should provide a description of relevant circumstances and links to documentation or facts that support the petition. The description should contain information suggesting that the petition is feasible. The content should not include information or requests that have no clear connection to the main message which the petition attempts to address. The following is a template of a public petition.

Table 2: Example of a paper petition

Petition to [Action Petitioned For]

Petition summary and background	**[Enter the background of and reasons for this petition]**
Action petitioned for	We, the undersigned, are concerned citizens who urge our leaders to act now to **[Enter action item(s) for which you are petitioning]**

Printed Name	Signature	Address	Comment	Date

Promote a petition

There are various ways and means of promoting a petition. To promote a petition, send the message to friends, family, networks through the media and other forms of communication. Raise issues in a forum and discussion groups and share the issue with as many people and concerned parties as possible. The public petition can also be promoted through lobbying.

5.4. Lobbying

Lobbying is a specialised form of advocacy. It is a strategic, planned and informal way of influencing decision-makers. Characteristics are; open (two-way) communication, influencing by linking the interests of different stakeholders, creating win-win situations and investing in long-term relationships with decision-makers. It is therefore important to note that lobbying should be people-driven, supported with evidence.

Discussion

- What do you understand by the term "lobbying"?
- How can lobbying help a community achieve increased social services delivery?

Lobbying involves activities that are in direct support of or opposition to a specific piece of introduced legislation, system, and practice or service delivery. In this regard, members of an action group, such as a study group can decide on whether or not they are in support of a particular piece of legislation. In lobbying an action group engages the government and other stakeholders to advocate for change. It also involves requesting for information or holding officials accountable to their commitments on human rights or service delivery.

Key principles of lobbying

To succeed in lobbying, certain principles are important and include the following:

- Have a specific goal and state it clearly;
- Demonstrate to decision-makers how relevant the issue is to their policy formulation or programme design and implementation;
- Be brief and to the point when using verbal or written communication;
- Recognise opposing views and be ready with arguments for and against the position you have taken;
- Be precise, accurate and honest when answering questions;
- Consider the target's perspective and ensure the position over a raised issue is aligned with their values and interests;
- Recognise and appreciate any effort made towards supporting the cause; and
- Follow up by sending a thank you note or making a phone call.

Tips for successful lobbying

Important meetings and negotiations need preparation. Members of the citizen action group, such as a study group, should prepare for key meetings and have negotiation skills. Practical considerations such as where the meeting will be held should be given prominence. People usually feel more comfortable meeting an official in their own home territory. There is need to have a group session beforehand to prepare aims and approaches so as to build confidence and strategy. The key questions to cover in the preparatory group session include:

- What is the purpose of the meeting?
- Who among the group members will attend the meeting?
- What kind of issues will be discussed?
- What questions will be asked, and who will ask them? (Allocating critical strategic questions among attendees is an effective tactic)
- What possible solutions have you already identified?
- When do you propose the issue to be resolved?
- How do you propose the issue will be resolved?
- Who has been assigned which duty?
- Who else supports the initiative?
- What is the way forward?
- Identify key decision-makers who have the greatest influence on the decision making process. It is important to locate and get contact information for key stakeholders during the initial research;
- Develop a target list of names of community leaders, elected politicians, government officials, and other civil society groups;
- Stay in touch informally with these contacts to develop a relationship of trust before approaching them; and
- Identify influential individuals who support or are interested in the issue under consideration. Even if the supporters do not have decision-making power directly linked to the issue of interest, they may help in exerting influence on the key decision-makers. Note that it is not the elected representatives only who hold influence. Maintain contacts and relationships with staff who work for the elected officials.

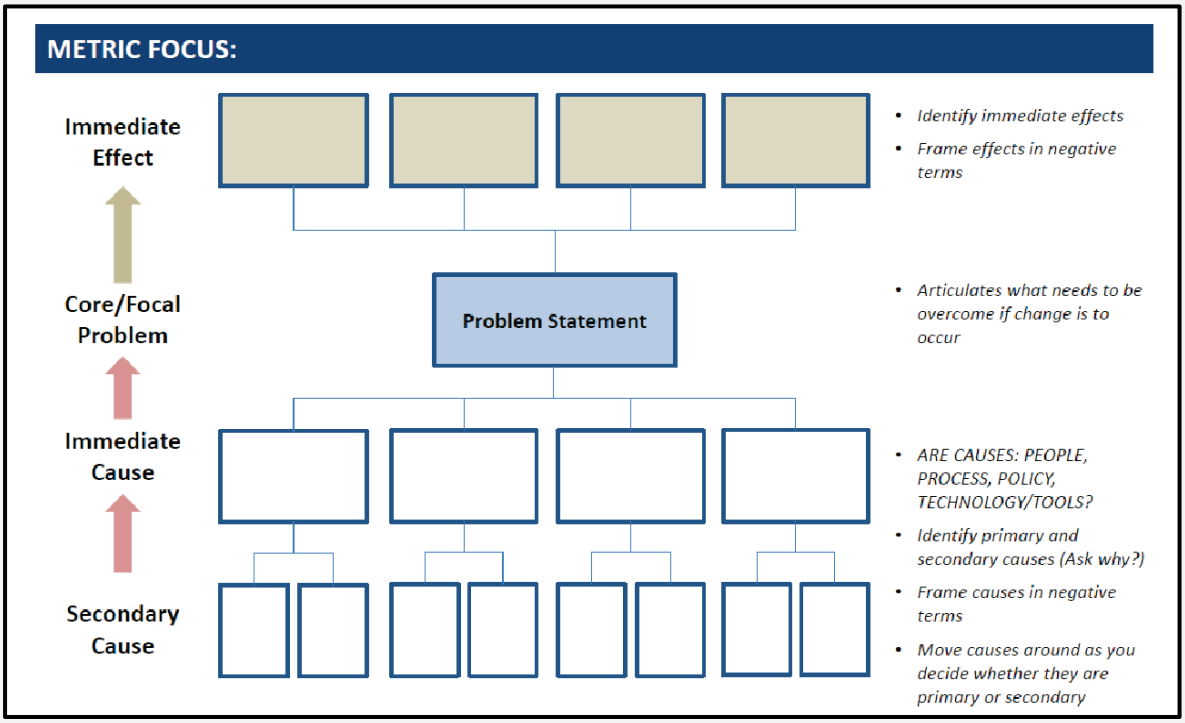
Discuss

Discussion

Identifying a community core problem as a basis for a public petition and lobbying

Often citizens write public petitions as a result of a situation in their community that requires solutions. The situation could be a problem that a community needs to clearly define in a logical and concise manner. A study group meeting can be called and the Problem Tree Analysis Approach can be used to clearly and logically define the community problem in a participatory manner. The approach is based on identifying causes that lead to a core problem and then identifying the effect that the core problem produces. The whole process is participatory and is done with the aid of a diagram such as below.

Problem Tree Analysis



Source: www.evaluationtoolbox.net.au

Use the diagram to define the core problem your community wants to petition on and lobby.

Figure 3: Problem tree analysis tool

5.5. Conclusion

This session has brought out an understanding of citizen participation in practice through a petition and lobbying. It has stated what a petition is; and how to identify

issues to be included in a petition, including identifying the target audience and the content of a petition. It is important when presenting a petition to bring out arguments in a logical and coherent manner. This session has further applied how lobbying is used as a tool for citizen participation, outlining principles and tips for successful lobbying. Problem identification using a problem tree can be useful in identifying the root cause of the problem for more targeted interventions.

Session 6: Citizen participation in practice - Advocacy

6.1. Learning objectives

By the end of this session, participants should be able to:

- Define advocacy;
- Explain what advocacy is all about;
- Describe the types and levels of advocacy;
- Write an advocacy strategy;
- Use the advocacy strategy to develop solutions to solve a community problem; and
- Explain how the advocacy strategy influences change.

6.2. Definition of advocacy

Discussion

Discuss the following questions and share the responses in your group:

- What is advocacy?
- What is the difference between lobby and advocacy?
- What are the different levels at which advocacy can be done?
- What can you achieve with advocacy?

Right holders who feel aggrieved about a policy or unsatisfied with services provided by their governments, can influence decision making processes through lobby and advocacy.

Advocacy is the process of stakeholders (or citizens) making their voices heard on issues that affect their lives and the lives of others at the local, district, provincial, national and international level. It also means helping policymakers find specific solutions to persistent problems.

Advocacy is a core process for addressing inequity and disparities. Advocacy addresses inequity by bringing the issue of disparities to the forefront of the agenda for decision makers, by building awareness, visibility and public momentum behind

the issue, and by improving access, cost and quality of programmes and services for disadvantaged in society[3]

6.3. Different ways of doing advocacy

Advocacy can take many different forms. For example, it can be written, spoken, sung or acted. A community action group, like the study circle can also do advocacy work on its own or with others. In this material, the focus is on three main common ways of advocacy. These are self-advocacy, individual advocacy, and systems advocacy.

a. **Self-Advocacy** – This refers to an individual's ability to effectively engage duty bearers and negotiate for his/her own needs and rights (VanReusen et al.,1994). This approach entails that an individual understands their capability to demand for their rights and have identified their personal goals and can speak up on their own.
b. **Individual Advocacy –** Under this type of advocacy, individuals or a group of people concentrate their efforts particularly on one or two individuals who have been deprived of the entitlements. This type of advocacy takes the form of the informal and formal advocacy. When parents, friends, family members or agencies speak out and advocate for vulnerable members of their family, this is informal. The formal advocacy involves organisations that pay their staff who frequently engage duty bearers to advocate for the marginalised groups or individuals of a given society.
c. **Systems Advocacy**- This is about changing policies, laws or rules that impact how members of the society live their lives. Efforts under this type of advocacy target local authorities such as the local councillors, Area Members of Parliament, and National Governments. Interventions include advocacy activities for implementation of written policies, or development of new policies that would facilitate equitable development. Efforts on policy advocacy are determined by the type of identified challenges and who has authority over the challenges or problems identified (Brian Injury Resource Centre, 1998).

6.4. Permission from citizens affected by the advocacy issue

Some of the advocacy methods are led by the people (not directly) affected by the problem or issue.

It is very important for the study circle, as a community advocacy and action group to get the permission of the people affected by the problem. This permission allows community action groups to legitimately advocate on behalf of the affected people in

[3] Unicef, 2020

the community which makes the representation of their issues by action groups legitimate. This is only possible if action groups such as the study circle groups have a very close relationship with people affected by the problem or issue.

6.5. Proactive or reactive advocacy

Sometimes advocacy work is forced on us by emerging challenges in communities. These include deprivation of access to services, violation of land rights where communities are displaced without their consent or there is no compensation. In such instances, community members decide to seek interventions of lobby and advocacy organisations such as CFHHZ or they mobilise themselves to demand for their entitlements from duty bearers. **This is reactive advocacy**.

There are also instances where communities and organisations set up an agenda and plan for their future clearly setting out their goals and employ their advocacy efforts to create a positive environment or prevent a problem before it happens. **This is proactive advocacy**.

6.6. Levels of advocacy

Advocacy work can target people with influence at all levels – from a local business owner to the United Nations. Although there are multiple levels of advocacy work, for the sake of simplicity we can identify three key 'levels':

- Local (village, district, city, province, etc.)
- National (the whole country)
- International (more than one country)

For example, if our advocacy issue is access to decent, affordable housing and related services for all, the problem or issue may have a combination of local, national and international causes. So the level of our advocacy work will depend on:

- The scale of the problem or issue (it may have a purely local cause);
- Where we can have the greatest impact on the problem or issue (in the informal settlements or planned areas?) It may be more realistic to persuade the local authority first and then work with the Area Member of Parliament to advocate at the national level afterwards;
- The resources of our organisation (i.e., different levels of advocacy take different amounts of staff time, skills and funds);
- Our organisation's networks and relationships (for example, one of our trustees may know the Councillor or Area Member of Parliament;

- The mission of our organisation (for example, our activities may be purely within one district).

Working together in coalitions can be a strength at every level, but becomes particularly important as you move from local to national and international levels and face greater bureaucracy and power.

6.7. Conclusion

The role of this session is to put citizen participation in practice through advocacy. It has brought in the concept of advocacy and how it can be used as a means of participation by citizens via community action groups such as study circles. It has also been emphasised that an advocacy strategy used depends on the context and the audience of which a particular issue is being addressed. Advocacy work can have different levels and generally categorised local national and international, hence a combination of several approaches can be adopted for different levels.

Session 7: Developing an advocacy strategy

7.1. Learning objectives

By the end of this session, participants should be able to:

- Define an advocacy strategy;
- Draw an outline of a standard advocacy strategy format;
- Explain the components of standard advocacy strategy;
- Fill the advocacy strategy format with essential content.
-

7.2. Advocacy strategy

Discussion

Answer the following questions in your group:

- What are the essential components of an advocacy strategy?
- What is the relevance of each component of an advocacy strategy?

An advocacy strategy is a combination of approaches, techniques and messages by which a community action group employs to achieve advocacy goals and objectives. The purpose of developing an advocacy strategy is to ensure that advocacy plans are well thought through, commonly understood and adequately resourced before beginning advocacy work on a specific issue.

Developing an advocacy strategy involves addressing the following basic questions:

- What is the problem?
- What is the solution?
- What changes are necessary to get us from where we are?
- What are the most effective ways of making that change happen?

Given the length of time the strategy covers, and the status of the document, the strategy should not be too long. Additional information should be attached as annex.

Standard advocacy strategy format

Below is a proposed standard format for an advocacy strategy which the study circle groups can use to develop their own advocacy strategy.

Table 3: Components of a standard advocacy strategy

Title:

Date:

Duration of strategy:

Status:

1. Problem
2. Overall aim
3. Specific objectives
4. Rationale for engagement
5. Targets
6. Power analysis
7. Allies/collaborators
8. Messages
9. Tools/actions
   - Research
   - Policy development
   - Lobbying
   - Media
   - Popular mobilisation
   - Funding of others
10. Opportunities and events
11. Human and financial resources
12. Risks
13. Monitoring, evaluation, planning and learning

7.3. Components of standard advocacy strategy format explained

1. What is the problem?

Give a brief (two paragraphs) description of the problem we want to solve, always explaining how it affects men and women differently, and also considering other relevant factors, why there is a problem, and what is currently preventing change.

2. Overall aim

Describing the solution to the problem will set out our overall aim. One to two sentences only.

3. Specific objectives

Set out the specific changes we need to achieve as a contribution to realising the overall aim. You should have no more than four of these objectives. Try to keep objectives SMART (Specific, Measurable, Achievable, Realistic, Time bound).

4. Rationale for engagement

State briefly the reasons for engagement with this issue, and our added value.

5. Targets – who makes the key decisions?

Who are the actors who have the power to solve the problem or achieve our objectives, and whom we therefore want to influence? These may be local government, traditional leaders, government departments, international institutions or private companies. List the key people within these institutions.

6. Power analysis – what/who will influence the decision-makers?

Undertaking a power analysis helps you to target the right actions, to the right people, at the right time, in order to secure change. Summarise power analysis in three paragraphs or so, but provide a more detailed power analysis as an annex, as this is a critical part of the strategy - it determines basic viability of strategy and informs detailed action-planning.

7. Allies/collaborators

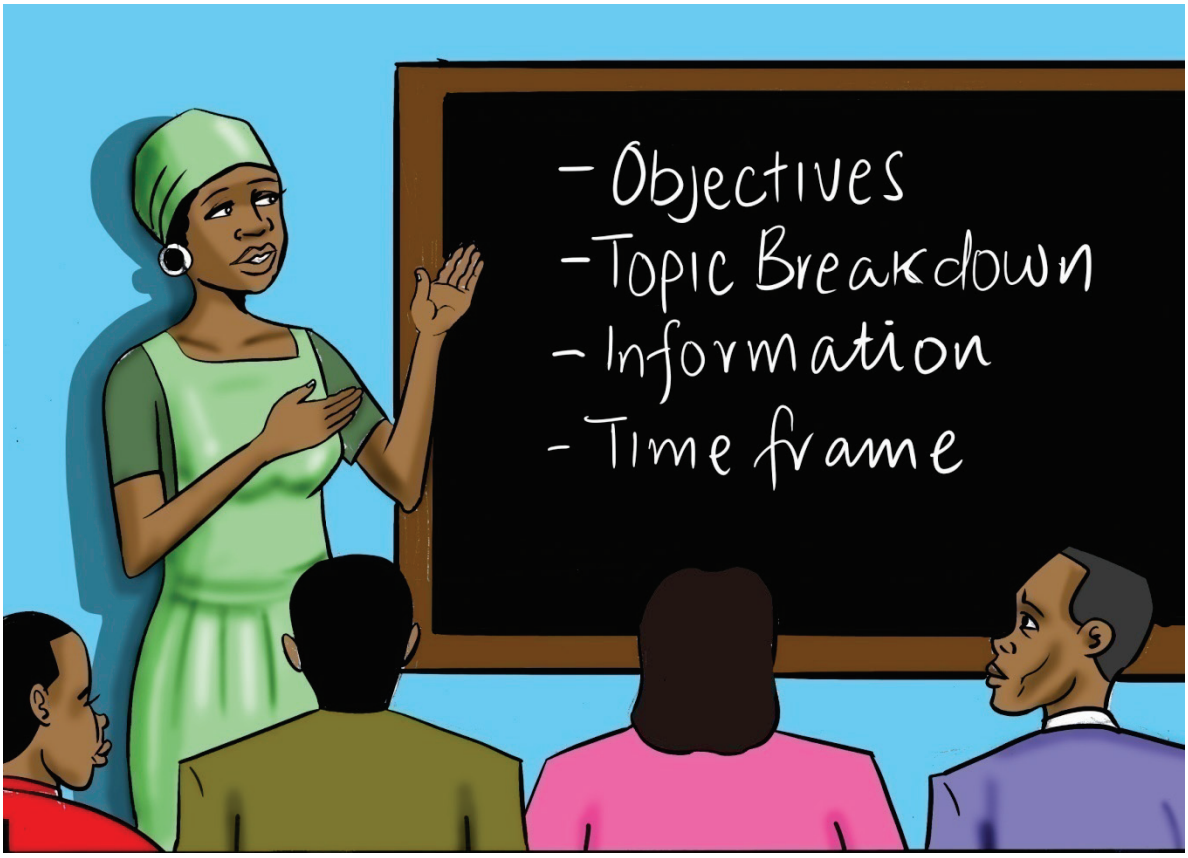
The power analysis will identify some broad 'allies', e.g. stakeholders that support our aim. In this section, we should detail other potential allies including those we are already in formal coalition with, those we can collaborate with on an ad hoc basis, or those we can stimulate into action. These may include other civil society organisations such as development, environment and human rights NGOs;faith-based organisations; community-based organisations; journalists; academics; think-tanks or trade unions; and chiefs and their council.

8. Key messages

Define the three (at most, four) critical messages we wish to convey to our targets. These should be repeated in all of our communications, written and oral, though there may be some messages that we only want to convey to decision-makers in private. One way to draft your key messages is to imagine you have a minute or so, on the radio and want to get three points across. At least one should be a call to act. Look for win-win solutions, where the decision-maker also stands to gain from your proposals.

9. Tools/actions

There are many different actions we can take to influence our target. We need to decide on which would be the best tactic or combination of tactics to employ at any one time to achieve maximum influence.



This section is the heart of the strategy, and needs to be fully developed in our plans. Some areas may require specific strategies e.g. media – for which there is also a standard format. These should be an integral part of the broader strategy.

Bear in mind links to programmes, which is our source of information and legitimacy. List our actions under these headings:

- ***Research***(from human interest material and case studies to major reports);
- ***Policy development***(agreeing where we stand, in general and detail, and rationale);
- ***Lobbying*** (plan for face-to-face contact with a range of targets);
- ***Media***(targets, angles, products, paper launches, use of celebrities, etc.);
- ***Popular mobilisation*** (email/postcard actions, stunts, etc.);
- ***Funding of others*** (grants from third parties in support of aims e.g. human rights groups and donors).

10. Opportunities and events

Identify the main political processes, key meetings, decision-making moments, or events that can affect, or be used to promote our objectives. It may be useful to do a calendar for such events as opening of parliament, DDCC meetings, full council meetings, visitation of the MP to the parliamentary office, shows and exhibitions, days of commemoration (water, environment, housing, women, HIV/AIDS, youth, sanitation/toilet, food, energy, forest, etc.). The big opportunities could be those we create ourselves as there may not be adequate high profile external events.

11. Human and financial resources

The commonest failing of advocacy strategies is willing the end without willing the means. Name the stakeholder members who are needed to deliver the strategy and all the individuals involved (including the proportion of their time required). This is not just the study circle members working on this issue, it should include other stakeholders and support organisations and media people. A specific person in the study circle must be identified, and given responsibility for ensuring the delivery of the whole strategy, ensuring that those responsible for tasks carry them out by the agreed time. Where possible and the group has financial resources, provide a budget for supporting advocacy activities, such as research, production of materials, extra posts, costs of facilitating field staff and partners to attend national and international lobbying meetings. Specify what funds should be available to fund third parties such as other NGOs, even where the group does not have the money.

12. Risks

Think about what might stop us from achieving our objectives, particularly in politically sensitive work, and what can be done to reduce these risks. Consider whether our advocacy might bring any risks to study circle members, the community, allies or partners. Observe the checks and balances in place to minimise risk, such as the public order procedures and government transparency and accountability procedures.

13. Monitoring, evaluation, planning and learning

A strategy is dynamic and the most effective strategies are those for which we plan-and-act on an ongoing basis. We need to monitor actions, evaluate their success, and learn from evaluations (this should not be a laborious exercise), and continue to plan-and-act. The study circle member responsible for the strategy should lead this process in regular meetings by asking questions about progress made. You might want to plan a mid-term review or reconsider your situation, following the role out of the strategy, and a final review.

7.4. Civic Forum on Housing and Habitat Zambia advocacy support to citizen participation

In helping communities achieve their advocacy needs through study circle groups and other CBOs, CFHHZ developed a step by step roadmap to guide the process. This road map acts as the means to achieve the set priorities in the advocacy strategy of communities where they outline their set goals towards improving their well-being. The first step in this process is to identify problems in the organisations' focus areas (land; economic empowerment; and housing)by the community, where CFHHZ works.The second step is to communicate the identified issues (voiced by the communities) to the relevant authorities using a range of communication tools (see Figure). The third stage is the advocacy process which involves facilitating for the coming together of community members and the duty bearers, this is the stage where agreements are made on how the situation can be improved and how policies can be changed or developed. The desired overall end result is policy change and actions by relevant authorities such as the Executive and Parliament.

7.5. Civic Forum on Housing and Habitat Zambia advocacy flow chat

Figure 4outlines the process that CFHHZ applies in its advocacy work, targeting the different audiences that influence policy formulation and decision making that impacts on the housing sector. This outline offers a guide on the inter relations that exist among the three working groups, mainly the housing, economic empowerment,

and land group. These groups facilitate the generation of advocacy issues from the communities through the use of different channels including study circles. Study circle groups working with CFHHZ secretariat identify key priority areas to be addressed in their community each quarter of the year.

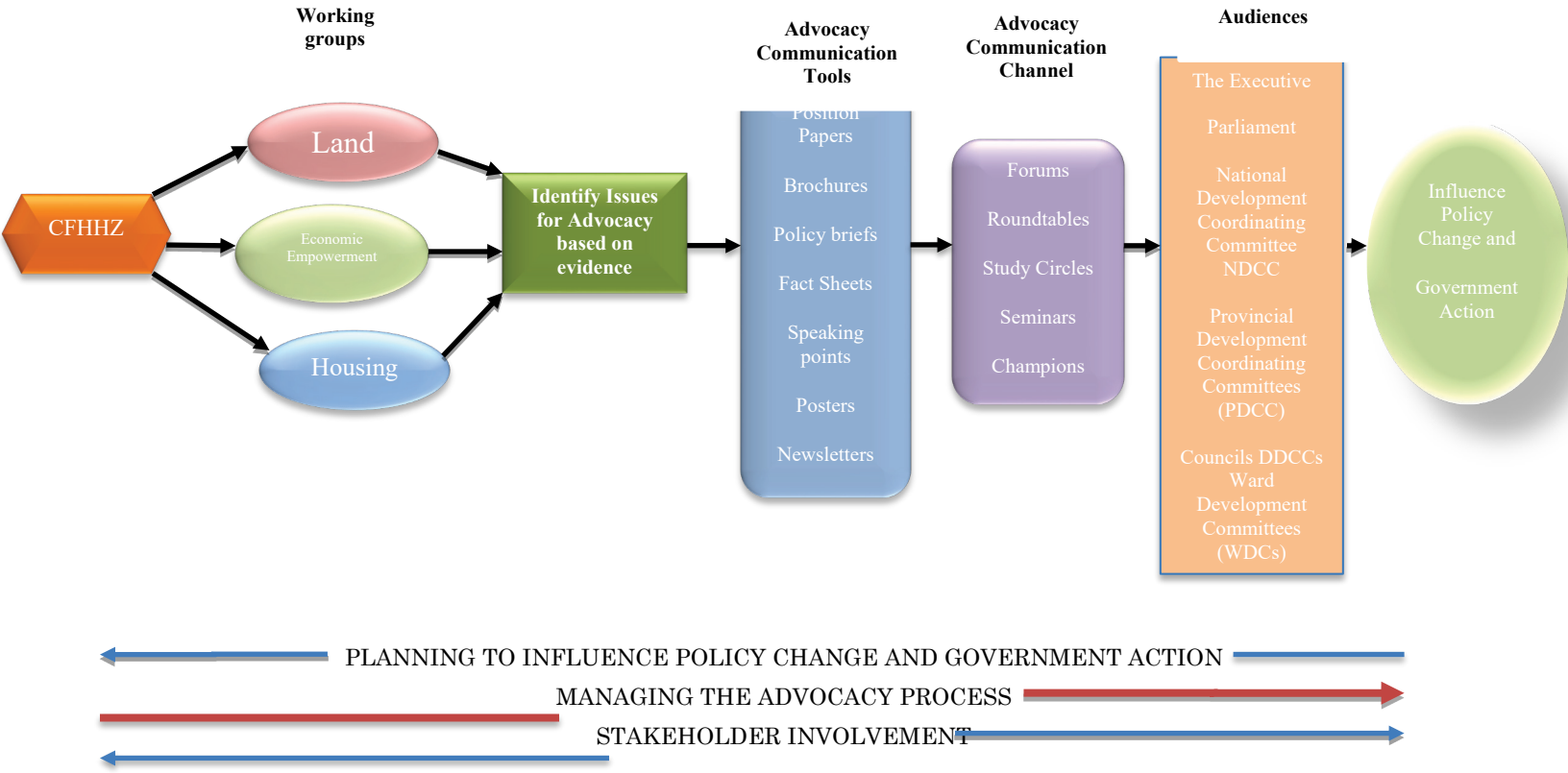


Figure 4: CFHHZ advocacy process

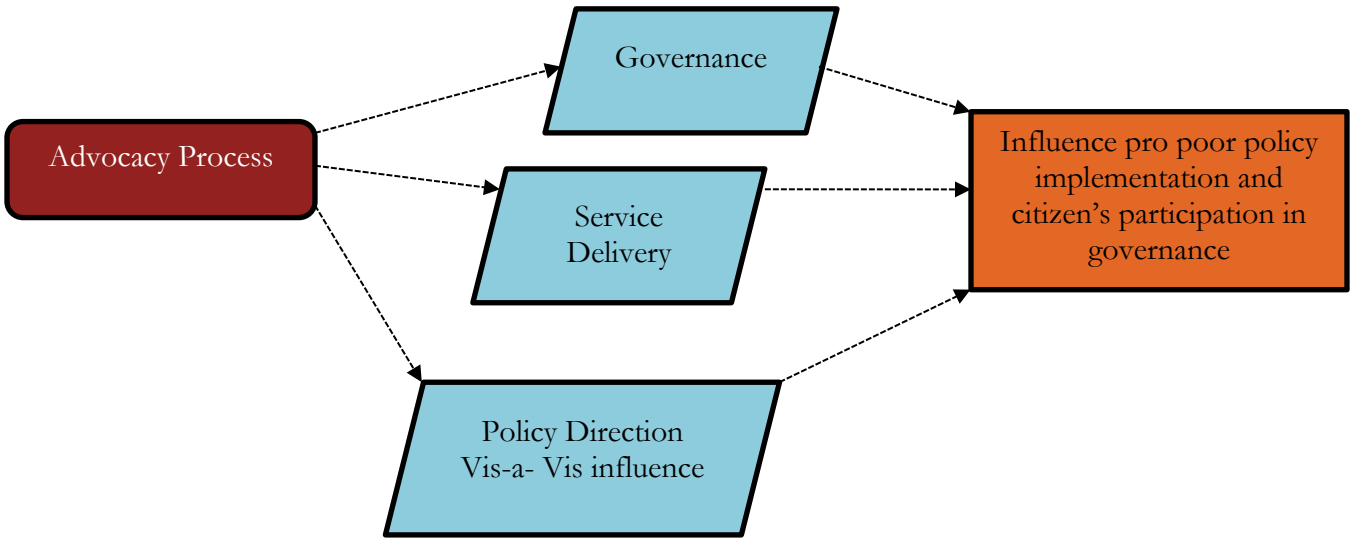


Figure 5: Summary of CFHHZ advocacy process

7.6. Conclusion

This session is about how a study circle group can develop an advocacy strategy. The process is guided by a standard format which has sections for all the relevant information. The session also goes to provide information about how the strategy at group level links to the strategy at CFHHZ level and feed into a common strategy. Therefore, advocacy at CFHHZ level is not done without input from the citizens in the community. The session demonstrates this by outlining the process CFHHZ follows to collect advocacy issues and how it engages with relevant duty bearers responsible for the desired change. By the end of this session, study circle participants should be able to develop a group-based advocacy strategy, feed into the CFHHZ advocacy strategy, effectively engage with duty bearers and influence change. Participants should be able to monitor their advocacy actions, evaluate their success, and learn from evaluations and continue to plan and adjust the group based advocacy strategy.

Session 8: Citizen Participation in practice - Social accountability

8.1. Learning objectives

By the end of this session, participants should be able to:

- Explain the meaning of social accountability and social accountability mechanisms;
- Give examples of social accountability mechanisms;
- List the benefits of social accountability;
- Identify the various spaces for citizen participation through social accountability;
- Explain how social accountability enhances quality service delivery;
- Make duty bearers accountable to the quality of service provision to citizens.

8.2. Quality of services in poor communities

Discussion

Discuss and share the following:

- Why is affordable access to social services low, especially for poor people?
- Why are social services to poor people often of low quality?
- Why are social services often dysfunctional?
- Why is technical quality of services often poor?
- What makes social service providers not responsive to clients, especially in the peri urban and the rural areas?

Poor communities are characterised by failure in the quality and inadequacy of public service delivery which is demonstrated by high rates of absenteeism among government and council workers; leakages of public funds intended for schools, health clinics, or social assistance benefits; shortages and stock-outs of drugs and medicines; spillage of sewer; water pipe leakages, electricity black outs; lack of textbooks in schools and tertiary education facilities; and poor infrastructure. This is coupled with unimproved monitoring and evaluation systems, particularly in contexts of weak accountability both to higher authorities and citizens.

8.3. Social accountability

Social accountability refers to the broad range of actions and mechanisms beyond voting that citizens can use to hold the state to accountable and make it responsive to their needs, as well as actions on the part of government, civil society, media and

other societal actors that promote or facilitate these efforts. It is a process of constructive engagement between citizens and government to check the conduct and performance of public officials, politicians, and service providers as they use public resources to deliver services, improve community welfare, and protect people's rights[4].

8.4. Rationale for social accountability

The issue of social accountability is of crucial importance to provision of social services in human settlements for people in the peri urban and rural areas. Social services are often delivered at a decentralised level, where capacities may be weak, mind sets are poor and resources limited, and central or local governments may delegate service provision to other providers. It is therefore, important to check the conduct and performance of delegated delivery of public service at such levels.

Thus social accountability increases transparency and quality of government policy development and implementation processes, and becomes the principal method for solving governance issues that hinder improvement of quality life of citizens. In doing so, the government receives the propositions from their citizens and defines critical issues, explores their root causes and implements possible solutions[5].

Social accountability mechanisms aim to enable civil society actors and the community to engage with processes such as policy making, service delivery, budget preparation and analysis, expenditure tracking, and performance monitoring of service provision, in a way that allows citizens to demand for accountability from government and service providers to improve quality of service.

8.5. Initiation of social accountability

Social accountability mechanisms can be initiated and supported by the state, citizens or both, but very often are demand-driven and operated using 'the bottom up' approach(the community engaging service providers and policy makers). At the same time, they demand for improved quality and efficient service delivery from service providers. In some cases, citizens may find themselves unable to hold the service providers to account for non-provision of services. Civil society actors may support the community to engage with processes of social accountability or may engage service providers on behalf of the community.

8.6. Spaces for citizen participation through social accountability

[4] ANSA-EAP
[5] World Bank, 2015

Discussion

Share in your group, your understanding and experience of the following:

- What are the available spaces for citizen participation at your local level, district and national level in Zambia through social accountability?
- What are the benefits of social accountability at district and national level in Zambia?
- List the benefits of social accountability you have experienced.

Spaces for citizen participation for social accountability at various levels in the country can be expressed in the form of the participation ladder which can begin at the bottom through grassroots involvement to the top most of decision making power such as Parliament and the Executive. In this line of thought, participation can be considered at 3 levels: community level, local government level; and the national levels as expressed in Figure 6.CFHHZ supports participation of community members through all the three levels as detailed below.

Community level

Community meetings and selecting leaders to lead various groupings are spaces for citizen participation at community level. For example, to stand or vote for the position of a councillor, the selection process and voting should be democratic. Leaders of various community groupings are expected to be democratically elected to legitimately represent community members.

Another space for citizen participation at community level is the opportunity to form groupings with a defined purpose. For example, many women of Kanyama compound are part of banking groups known as "Chilimba" which enables them to have a form of financial empowerment through group savings. Members of these banking groups might need more financial resources to inject into a business. When this happens, they might need to approach a bank but because they lack security which might be attributed to the fact that most of their land is not titled, they are denied such resources by the bank. Upon identifying the need for their land to be titled, community members might request or demand for relevant authorities such as the Ministry of Lands to issue titles for them. When this happens, the service providers (Ministry of Local Government/Councils) are held accountable as they are required to unveil the various procedures involved in the issuance of titles.

Local government and national level

When citizens are participating in various community spaces, their proposed solutions are taken up by their selected representatives such as Councillors and

Members of Parliament. These civic leaders act on submissions made by community members through various platforms including parliamentary committees. These submissions and actions finally lead to changes in policy, practices and systems at local, provincial, and national level. At each level of participation, the citizens who are the drivers of change are engaged through their selected representatives and through efficient reporting and feedback.

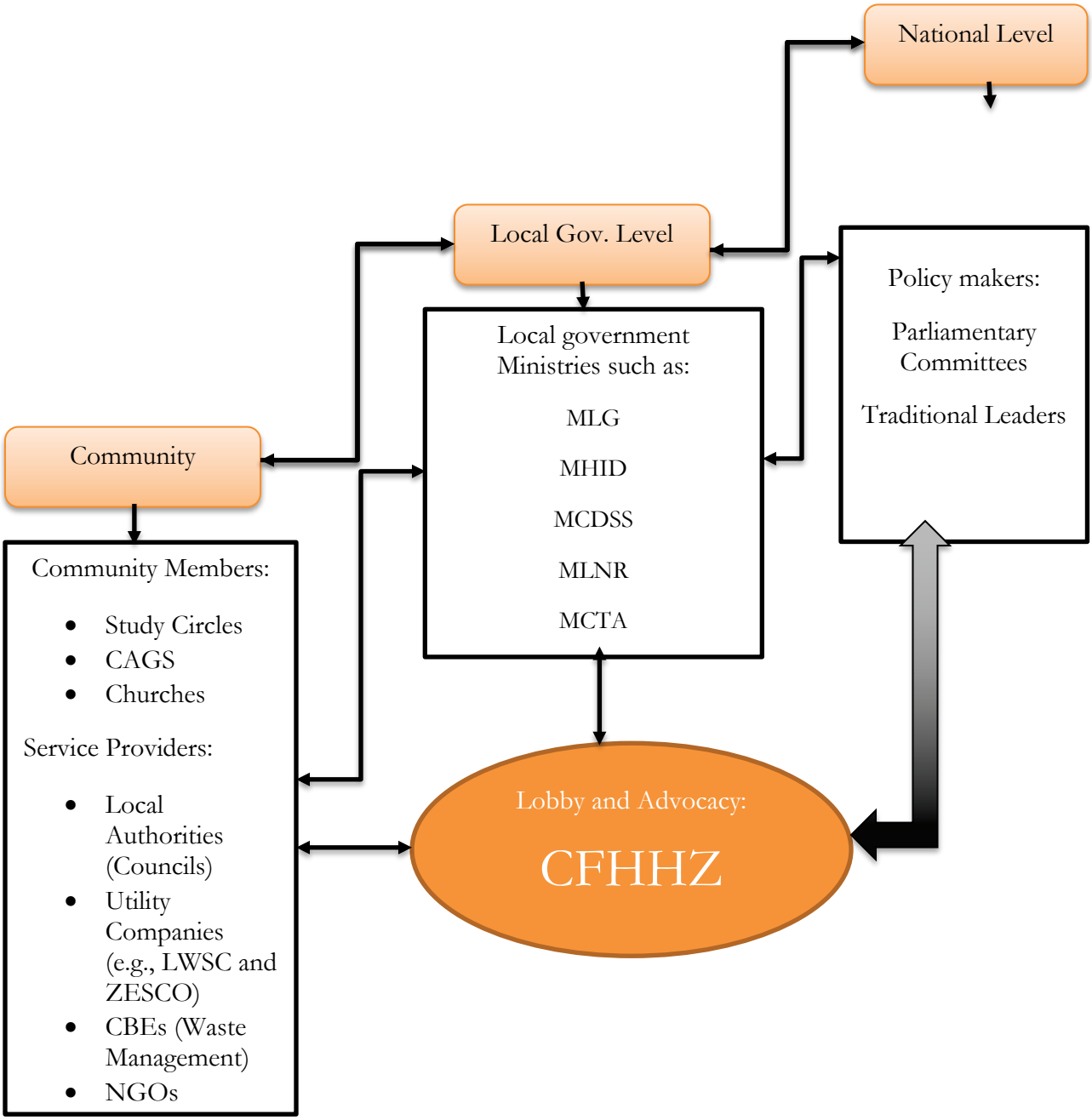


Figure 6: Spaces for participation in social accountability

8.7. CFHHZ's role in facilitating spaces for citizen participation through social accountability

CFHHZ provides backstopping support to communities for participation in public matters. CFHHZ supports citizens to identify challenges in their communities and facilitates community dialogue meetings that help communities to generate their solutions and action plans jointly with civic leaders and service providers. Through this process, citizens are able to engage and inform service providers on their levels of satisfaction.

CFHHZ facilitates dialogue meetings to ensure there is feedback and documentation of all the processes involved and actions taken. The public office holders, who are the duty bearers including councillors, MPs and public servants are held accountable by citizens based on the agreed action points and plans. This is because officials and service providers have a duty to provide justification regarding their performance and are expected to take corrective measures in instances where public resources have not been used effectively to realise housing related services and human rights.

CFHHZ's civic engagements includes initiating campaigns to inform citizens about their rights and what services they are entitled to, performing third-party monitoring through processes such as social audits which includes administering community score cards, and conducting analyses. CFHHZ also assists by undertaking analysis such as public expenditure tracking (PET) surveys to "follow the money" from central government budgets through to service providers, or absenteeism surveys to monitor attendance of providers.

8.8. Benefits of social accountability

The benefits of social accountability include improved use of resources by public office bearers, adherence to government budgets and work plans, reduced corruption and improved quality of projects. Social accountability approaches also empower citizens to exercise their democratic rights more effectively.

8.9. Social accountability mechanisms to monitor development outcomes

Discussion

- What are the available mechanisms to monitor development outcomes in your community?
- How does social accountability enhance quality service delivery?
- What is client power and how can duty bearers be made accountable for service provision?

The monitoring procedure could be initiated by civil society groups or by ordinary citizens. There are a number of mechanisms used by civic groups and citizens to monitor the performance of public agencies delivering services for government schemes, plans and programmes. A few of these are summarised below.

Deploying project monitors

Volunteers are deployed at project sites to assess whether the project is able to achieve the desired/planned results. Discrepancies could be noted in terms of:

- Quantity: is the amount delivered less than the amount initially planned?
- Quality: Is the service delivered of appropriate/promised quality?
- Cost: are costs incurred more than initially planned? and
- Time: is time taken to deliver the service more than what was stipulated?

The volunteers evaluate the projects according to these indicators, assessing performance, utility of the desired outcome and the larger developmental impact of schemes or projects implemented in their communities.

Citizens' Charter

What is a Citizens Charter?

The Citizen's Charter (CC) is a public document that provides the essential information that citizens need to know about the services provided by a public agency. It states:

- What citizens are entitled to receive; and
- What service providers have to deliver.

[6]There are broadly six key principles of a Citizen's Charter:

- Commitment to improve the quality of public services;
- Give choice to service users, wherever possible;
- Establish service standards in accordance with legal entitlements;
- Publish full, accurate information in plain language, in a timely manner;
- Ensure service providers listen to the views of service users and are made accountable if things go wrong;
- Deliver value for taxpayers' money.

The Citizen's Charter (CC) is a written, voluntary declaration by citizens about the standards, accessibility, transparency and accountability of services delivered. It is not a legal document and therefore is not justiciable, or in other words legally enforceable. The CC by itself does not create new legal rights and duties. However, it certainly helps in enforcing existing rights. It is best understood as a contract between service users and service providers, thus supports the human rights based approach in demanding for services by citizens and facilitates accountability by duty bearers to the governed. It states the quantity and quality of services users are entitled to receive in exchange for their taxes and what service providers have to deliver as public servants in exchange for their salaries and duty obligated to them by the offices they hold.

The Citizens' Charter is an accountability tool which largely involves drawing of a charter of responsibilities for the government by the citizens. The charter is subject to rounds of debates and discussions among citizens and service providers before being submitted to the public officials concerned. The community closely monitors various public service delivery schemes, projects and plans regarding compliance with the charter of standards and compels the public officials to address any discrepancy through established systems and platforms. CFHHZ conducts community surveys quarterly with its network members to establish community satisfaction on services received from service providers. This exercise involves application of survey tools including questionnaires and score cards. The questionnaires are designed in a manner that they tackle all pertinent questions that affect access to decent housing and related services, access to secure tenure and economic empowerment as housing is a capital good and people need access to some form of income to enable them build.

[6]The origins of the Citizen's Charter come from British Prime Minister John Major's administration (1990 – 1997) and rooted in a desire to "see public services through the eyes of those who use them." Doing so will help to "raise quality, increase choice, secure better value and extend accountability (UK Cabinet Office, 1992)." The reason for this shift in focus from providers to users is rooted in ideas of citizenship and customer service

CFHHZ administers score cards among its target communities that rate the service satisfaction. This process is done with the participation of civic leaders to ensure they are fully aware of the needs of the communities they are serving. A report is then generated and discussed with the service providers, civic leaders, community members and an action plan is thereafter developed. This is what culminates into the development of a Citizens charter that outlines the roles of each party after analysing the context of identified issues and proposed practical solutions.

Corruption Surveys

Corruption surveys are conducted by civil society organisations (CSOs) to gauge the level of corruption among government officials. These involve gathering information directly from the people on their experiences with malpractices, based on which corruption-prone services and agencies are identified. The corruption surveys also try to determine the number of times an individual is forced to pay bribes to avail a particular service (e.g., applying for land, title deeds, driver's license, work permit and many more). The corruption survey could be conducted at the local and/or national level for measuring the extent of corruption. CFHHZ in its quest to promote the rights of the marginalised poor, works with other like-minded organisations to address any identified corrupt tendencies in projects or development works in communities where it operates from. CFHHZ uses a people centred approach in its interventions anchored on the human rights based approach in all its community outreach programmes. The corruption surveys are thus done jointly with community members and findings are shared through various forums including the annual housing symposium that brings together an array of institutions working in the housing sector and beyond, including institutions involved in combating corruption and jointly agree on the way forward regarding mitigation of identified corrupt practices that perpetuate deprivation of access to services of community members.

Integrity pacts

The government enters into an agreement with a citizen's group wherein it is obligated to maintain and uphold utmost integrity in its transactions. This implies that the government is duty bound to ensure there is no corruption with decision-making being transparent, open and responsive to the needs and aspirations of the people. It is also committed to formulating more practical and realistic budgetary plans, particularly geared for the poor and the marginalised sections of society. Integrity pacts have been entered into by several government agencies with Civil Society Organisations to ensure there is integrity in provision of services. In January 2020, the Transparency International Zambia (TIZ) signed an integrity pact with the Zambia Police Service to ensure they mitigate the ever rising levels of corruption within the police service. CFHHZ will sign integrity pacts with local authorities (councils) where it operates from to ensure they are accountable and remain committed to serving the communities. In addition, CFHHZ will empower these

communities with capacities to be able to hold their civic leaders and service providers accountable.

Citizen report card

A citizen report card (CRC) involves participatory community surveys that register perceptions of users regarding quality, adequacy and efficiency of public services being availed tothem. The CRC serves as an instrument for holding public service providers accountable through extensive media coverage and civil society advocacy. It is designed by community members with the help of a civil society organisation. CFHHZ supports community members through established study circles to design the citizen report card with a focus on housing and related services. The score card measures the satisfaction or dissatisfaction of community members for public services provided that are driven by existing policy framework. CFHHZ facilitates the administration of these report cards.

The following Likert scale aided by smiley's, is a tool used to score service providers by the focus group participants.

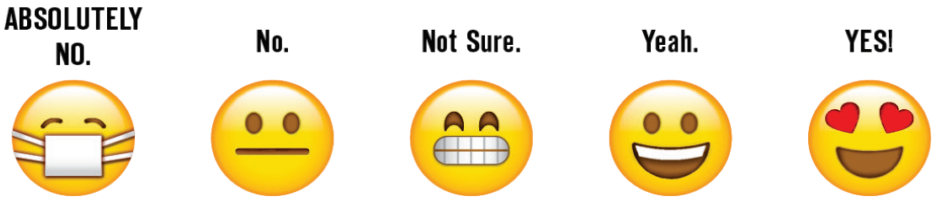


Figure 7: Expression of level of satisfaction

The score sheet is designed as reflected in the table below. The results are shared with all relevant authorities during the stakeholders meeting.

Indicator	Score/5	Justification
Access to Water	3	Limited water access points
Water Charges	3	Too costly for some people
Water Safety	4.5	Water is generally safe

Community score card

A community score card (CSC) is a tool for local level monitoring and public evaluation of various services, projects, programmes and functioning of governmental administrative units. A CSC involves a combination of techniques like social audit, community monitoring and citizen report cards.

A social audit is a process that seeks to enhance local governance, particularly for strengthening accountability and transparency, especially in local bodies. The social audit helps narrow gaps between vision, goal, and reality, between efficiency and effectiveness. Citizens will conduct a social audit to establish delivery of services and quality based on the national development plans. In conducting the social audit, the CSC which registers perceptions of public service users and satisfaction with the public service availed by them provides data of the prevailing conditions based on facts that can be acted upon. The CSC attempts to hold public officials accountable for inadequacies in public service delivery by registering perceptions of users and making the results of the survey known through the print and electronic media.

The CSC is jointly designed by the community members and the civil society organisation they are working with. This is a chart that is built on findings of priority issues that a community desires to address. It involves use of a scale representing the level of satisfaction of services provided to the community by service providers. For example, responses are scored as 'very satisfied', 'satisfied', 'neutral', 'unsatisfied' and 'very unsatisfied'. The services are scored and a stakeholders meeting is held thereafter to develop an action plan to improve the identified gaps in services being provided. Through the facilitation of a citizen participation support organisation (such as CFHHZ), the services are monitored quarterly and the findings are shared with both the citizens and stakeholders. In lobbying for changes, these findings are submitted to the policy and decision makers through the various channels such as councillors, WDCs, DDCCs, PDCCs, government agencies/departments/ministries, utility companies and parliamentary committees, to facilitate changes in systems and practices, which include formulation of responsive policies and development programmes that have the input of citizens.

Community Score Cards-Kanyama Compound, Lusaka

CFHHZ facilitated the administration of community score cards in Kanyama compound based on the issues identified by the community members themselves. The issues identified were water; sanitation; garbage collection; land tenure; and civic engagement. The purpose of this exercise was to demonstrate on how members of the community can be involved in social accountability. The exercise was done in four phases: Phase 1 was done for the purpose of identifying issues affecting the community members; Phase 2 was a focus group discussion which brought in selected members of Kanyama community from two wards (Ward 10, and 11) to score the service providers on the quality of service; Phase 3 was an interface meeting which brought together the service providers and the elected community officials to discuss on the community scores and how they can help each other attain the desired results. Finally, during Phase 4 monitoring is done on a regular basis to ensure that what was agreed upon during the interface meeting is adhered to.

8.10. How social accountability enhances quality service delivery

Accountability is a useful starting point for influencing the quality, efficiency, and responsiveness of service delivery. Accountability through citizen participation can influence quality service delivery through client power. This refers to the direct influence that citizens as users of services, can have on service providers. Citizens can exert influence through participation in service delivery, perhaps by assuming some responsibility for delivery, contracting, or involvement in the governance, for example, by joining community action groups, being members of study circle groups or parent-teacher associations.

CFHHZ promotes the human rights based approach in its programming and seeks to increase the citizens' voice in all development and decision making processes. The promotion of desiring better choices in service delivery is an important way citizens can express their client power. Client power can also be exercised through the types of social accountability mechanisms, including interventions that equip people with information about their rights and services and grievance redress mechanisms.

8.11. How duty bearers can be made accountable for service provision

Citizens, asusers of services can positively impact on social services by influencing the decisions of policy makers through voice submissions and influencing behaviour of service providers through client power. To exert this influence, citizens need access to information about services and the capacity to identify opportunities and use the available information to transform it into action. Increasing transparency and providing access to information require efforts to improve the availability of information, as well as investments in the quality, relevance and timeliness of information.

Expanding opportunities for using information also involves building the capacity of users to understand and leverage information for action and opening channels to use it. Third-party intermediaries such as CFHHZ and the media help in facilitating access to information and redress and translating individual efforts into collective efforts to hold service providers and policy makers accountable. The idea that citizens can use information to secure access to better services is also consistent with rights-based approaches to service delivery[7].

Discussion

Social accountability mechanisms

Choose any case study experience on social accountability from annex – 2. Read the case study and reflect on the following;

- What lessons have you learnt from the case study?
- Is it possible to replicate experiences depicted in the case study to your community?
- If yes, how can you go about it to achieve desired outcomes?

8.12. Conclusion

This session aimed at showing how citizen participation can be done in practice through social accountability mechanisms. The session begins with a show of how poor communities are disadvantages by failures in the quality and adequacy of public service delivery. However, through social accountability, citizens can use hold the state and service providers to accountable and make them responsive to their needs. The session describes social accountability as a process of constructive engagement

[7]GacitúaMarió, Norton, and Georgieva 2009

between citizens, on one hand and policy makers and service providers, on the other hand to check the conduct and performance of power holders and service providers to deliver services, improve community welfare, and protect people's rights.

The session has demonstrated how citizens can participate through social accountability at the community level, local government level, and at the national level of which CFHHZ can play a major facilitation role. The session has demonstrated how social accountability can enhance quality service delivery, including its benefits such as improved use of resources, adherence to budgets and work plans, reduced corruption and improved quality of projects, as well as empowering the citizens to exercise their democratic rights more effectively. The session further provides examples of social accountability mechanisms through which citizens may participate, which include deploying project monitors, the citizens' charter, corruption surveys, integrity pacts, the citizen report card and the community score card. Lastly, the session ends with how access to information can be a powerful tool to make duty bearers accountable to service provision by the rights holders.

Session 9: Citizen participation in practice - Citizen Report Card[8]

9.1. Learning objectives

By the end of this session, participants should be able to:

- Explain the concept of citizen report card;
- List the benefits of using the citizen report card;
- List the reasons for using the citizen report card;
- Outline the steps in using the citizen report card; and
- Use the citizen report cards for accountability.
-

9.2. Introduction to citizen participation using the Citizen Report Card

Discussion

- How can citizens demand for better services from the government?
- How can citizen give feedback to government officials bring about internal reforms?
- How can citizens provide feedback to policymakers to improve policies and regulations that shape service provision?

The government spends huge amounts of resources to provide services such as drinking water, education, health care and transportation. In some instances, the government gives contracts to private entities to provide services. Some services have been decentralised to local units of government at district level. Citizens depend on many such services in their daily lives. In many districts, the quality of public services remains poor, inadequate and unreliable. A tool, known as the Citizen Report Card (CRC) provides a possible starting point for citizens and governments to find answers to the following:

- Citizens' demand for better services;
- Citizens' input to government for internal reform; and
- Citizens' input to policy makers for improved policies and regulations for service delivery.

[8]Adopted from the a Participant's Handbook developed for 3-Day Quick Impact Training on "Strengthening Citizen's Voice & Public Accountability" for Civil Society Organisations by the Citizens' Voice Project.

9.3. What is the Citizen Report Card?

The Citizen Report Card (CRC) is a simple but powerful tool to provide public agencies with systematic feedback from citizens as users of public services. By collecting feedback on the quality and adequacy of public services from actual users, CRC provides a rigorous basis and a proactive agenda for communities, civil society organisations and local governments to engage in a dialogue to improve the delivery of public services.

The CRC can be used by community groupings such as study group circles to show whether or not they are content with the public services that they are receiving. The CRC is generated from the Community Score Card which facilitates the scoring of services using the Liker methodology process. The challenge that arises from the communities is that there is low level of awareness among the community members, hence the low levels of CRC utilisation. CFHHZ, therefore takes the task to raise awareness on the use and role of CRC tool among community members and study circle groups in order to raise the level of utilisation. In this way communities become part of the system of public service governance. For the public service officials on the other hand the CRC assist them in achieving the following:

- Collect citizen feedback on public services from actual users of a service (and not opinions from the general public);
- Assess the performance of individual service providers and/or compare performance across service providers; and
- Generate a database of feedback on services that is placed in the public domain.

Discussion

Discuss the following questions:

- What is the reason for using a citizen report card?
- What issues will the citizen report card address in the community?
- What are the benefits to the citizens of using the citizen report card?

9.4. Why Use a Citizen Report Card?

As a diagnostic tool

The CRC can provide citizens and governments with information about prevailing standards and gaps in service delivery. It also measures the level of public awareness about citizens' rights and responsibilities. Thus, the CRC

- Is a powerful tool when the monitoring of services is weak;
- Provides a comparative picture about the quality of services; and
- Compares feedback across locations/demographic groups to identify segments where service provision is significantly weak.

As an accountability tool

As an accountability tool, the CRC:

- Reveals areas where institutions responsible for service provision have not achieved mandated or expected service standards;
- Presents findings that can be used to identify and demand specific improvements in services;
- Can stimulate officials to work towards addressing specific issues.

As a Benchmarking Tool

As a benchmarking tool, the CRC:

- If conducted periodically, can track changes in service quality over time;
- If comparisons of findings are made across CRCs, it will reveal improvements or worsening in service delivery;
- Will measure programme or policy impact, if it is conducted before and after introducing a new programme or policy;
- Will reveal hidden costs: Citizens' feedback can expose extra costs beyond mandated fees while using public services.

The CRC, thus

- Conveys information regarding the proportion of the population who pay bribes (either demanded or freely given) and the size of these payments; and
- Estimates the amount of private resources spent to compensate for poor service provision.

CRCs can be a powerful tool when used as part of a local or regional plan to improve services. At local level, this is employed to measure efficiency and effectiveness of

development programmes as articulated in the national development plans, and at regional level it measures interventions in relation to the Sustainable Development Goals (SDGs) as well as SADC, COMESA, and AU commitments regarding development that is inclusive and participatory. Institutions undertaking programmes to improve services could use CRCs to determine whether the changes taking place are necessary and to evaluate the impact of these changes.

9.5. What issues will a Citizen Report Card address?

The CRC addresses critical themes in the delivery of public services such as access to services, quality and reliability of services, problems encountered by users of services and responsiveness of service providers in addressing these problems, transparency in service provisions like disclosure of service quality standards and norms, and costs incurred in using a service including hidden costs such as bribes. The CRC also provides a summative satisfaction score that captures the totality of critical service-related parameters.

9.6. Benefits of Citizen Report Card

The following are the benefits of using the CRC:

- Empowers citizens with a voice to demand for better services and enhances dialogue between citizens and service providers;
- Help public service agencies to facilitate open and proactive discussions on their performances;
- Empowers citizen groups to play a watch-dog role to monitor public service agencies and local governments;

- Enables government ministries and planning departments to streamline and prioritise budget allocations and monitor implementation in accordance with priority areas;
- Deepens social capital by converging communities around issues of shared experiences and concerns.

9.7. Process of conducting a CRC

The actual procedure of conducting a CRC involves a number of steps. Study circles or other groupings of the community can undertake the following steps to ensure that their needs are met. CFHHZ steps in to guide and support community groupings to ensure that the steps are followed correctly.

- Step 1: Assessment of local conditions using the citizens score card;
- Step 2: Pre-survey groundwork;
- Step 3: Conducting the survey;
- Step 4: Analysis of results of the survey;
- Step 5: Validation of survey results with key stakeholders;
- Step 6: Dissemination of findings of the survey;
- Step 7: Suggest reforms in the services.

Exercise

Choose a specific social service that you may wish to report on in your community. Follow the steps outlined above and conduct a mini CRC exercise.

9.8. Conclusion

As a way citizens can participate in ensuring social accountability, this session explains the citizen report card as a practical tool of participation. The session demonstrates how the CRC can be used by citizens as a tool for diagnosis of prevailing standards and gaps in service delivery; accountability for service provision; and benchmarking to track changes in service quality over time by public service providers. It shows the CRC addresses critical themes in the delivery of public services and how it empowers citizens with a voice and play a watch-dog role in public service delivery. It also helps public service agencies to facilitate genuine and proactive discussions on their performances, prioritise budgetary allocations and monitor implementation of priority areas. The session ends with demonstration of steps community groups such as study circles or community action groups can take in using the CRC for accountability, and the role of CFHHZ in facilitating these steps.

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Annexes

Annex – 1: Social Accountability Mechanisms: 10 short cases

Case 1: Women's Budget Initiative—South Africa

This civil society initiative analyses public expenditure patterns in terms of their likely impact on the economic and social conditions of women. The aim is to monitor central government commitments to gender equality by tracking expenditures on gender-sensitive policy measures and public services. The South African initiative replicates a state-based budget analysis initiative in Australia and has inspired similar programmes in Canada, Croatia, Jamaica, Mozambique, Russia, Tanzania, and Uganda. The focus is on ex-post budget analysis, as there is limited access to government budgets before they are published.

Case 2: Participatory Municipal Budgeting—Brazil

Participatory budgeting is a process through which newly created regional assemblies and participatory budget councils participate in allocating resources and monitoring how they are used. Each council is composed of delegates elected from municipal unions, neighbourhood associations, and local government. The councils are responsible for organising consultation meetings, representing district priorities to the municipal governments and in collaboration with government representatives formulating and monitoring local budgets. Pioneered in Porto Alegre, participatory budgeting is now established in 80 cities in Brazil. The process is currently being applied to the state level, covering about 500 municipalities.

Case 3: Civil Service Performance Improvement Programme—Ghana

Ghana's district assemblies, set up in 1989, provide two key mechanisms for improving the responsiveness and performance of government. The first enhances popular participation in local government through both direct and representative methods. The second seeks to create a more service-conscious and responsive public service through civil service reforms. The reforms involve government agencies in designing their own "performance improvement plans," which form the basis for performance agreements between staff and management. The plans are developed using self-appraisal and participatory management methods, supplemented by client satisfaction surveys to encourage staff to confront problems and design solutions.

Case 4: Citizen Report Cards—Mumbai, Bangalore, and Calcutta, India

Formal surveys of client satisfaction with public services have been conducted by nongovernmental organisations (NGOs) in low-income neighbourhoods in several Indian cities. The surveys generate "report cards" on the perceived quality and responsiveness of a range of urban services. They are used to put pressure on elected

officials by demonstrating the extent of public dissatisfaction and areas in need of improvement, with hope that this will result in greater responsiveness on the part of public servants responsible for services. The surveys are also used to educate the media, other public interest groups, and citizens.

Case 5: Citizens' Information Centres—Romania

As part of general public administration reform in Romania, the government established a national public relations unit and citizens' information centres in eight local councils with the aim of creating a more open, accessible, and "citizen-friendly" public service. The overall results have not been very encouraging on account of continued patronage appointments in government, low pay and staff demoralisation, excessive "legalism" in civil service attitudes, and high turnover in top levels of management. However, the centres have greatly improved the transparency of local government and have encouraged citizens to become involved by contacting and petitioning officials.

Case 6: Law of Popular Participation—Bolivia

The Law of Popular Participation of 1994 empowers democratically elected municipal councils in Bolivia to design and implement local development policies and programmes, with finance transferred from local government. In addition, the law empowers community organisations to participate in the development of five-year municipal plans. These groups are given jurisdiction over a specific territory and assigned rights and duties covering a range of social, infrastructural, productive, and environmental matters. In addition, so-called vigilance committees act as watchdogs on the municipal council and ensure that community priorities are reflected in municipal budgets and expenditures.

Case 7: Participatory Local Government —The Philippines

The Local Government Code of 1991 establishes a local development council (LDC) for every province, city, municipality, and *barangay* (village) in the Philippines. The primary responsibility of the LDCs is to draft comprehensive multi-sector development plans, including a land-use plan for each local government. A least one-fourth of the total membership of the LDCs should come from NGOs, people's organisations, and the private sector. LDCs have become vehicles for civil society organisations to mobilise people in the barangays to demand minimum basic services from the government and to prioritise local projects. A national network of NGOs (known as BATMAN) has worked to strengthen planning and interaction between local government and civil society.

Case 8: Community Radio—Karnataka, India

In the state of Karnataka, a community radio show initiated by citizens' aims to educate marginalised groups about how local government structures should work, especially in light of the 73rd Amendment to the Constitution calling for greater representation of women in local government. With characters and storylines relevant to people at the local level, the show weaves messages about the roles and responsibilities of local government into the plot of each episode. Radio reaches 98 percent of the population in India, including many people who cannot read. The show especially targets women, who can listen while they are at home doing chores and get information on issues such as the role of local forums, women's rights, and service delivery.

Case 9: Assembly of the Poor—Thailand

The Assembly of the Poor is a loose farmers' network that organises mass agitation campaigns and sit-ins to demand responses from government officials on issues affecting poor rural communities in Thailand. Issues of concern include dam displacement and rural people's access and rights to local resources such as land, water, and forests. Campaigns target policy makers continuously at the local level; they reached the national level during a mass mobilisation in 1997, when 20,000 farmers staged a sit-in for 99 days. Objective media coverage and leadership that bridges the urban-rural cultural divide are essential elements of this movement's success in raising awareness of rural issues.

Case 10: Participatory Poverty Assessment—Uganda

Participatory poverty assessments (PPAs) involve the use of participatory research techniques for national-level consultation on local people's perceptions of poverty and their priorities for poverty reduction. The Ugandan PPA is an extensive consultation exercise that has generated deep information about the experience, depth, and breadth of poverty. It has sought to build a national system to integrate poverty monitoring and to inform policies on poverty alleviation. It was initiated by bilateral donors (with some World Bank support) and NGOs, and is managed by Oxfam. The PPA has focused on building government ownership and is housed in the Ministry of Finance, Planning and Economic Development.

Annex – 2: Social Accountability Role Play Exercise: Health Care in Zimazambwe

In this exercise, you will discuss health care in the fictional small town of Kapeziin the fictional country of Zimazambwe. Each person in the group will play the role of a different character (if there are more group members than characters, several members can play the same character). The study circle leader will serve as a facilitator to manage the discussion.

Begin by reading the short background on Zimamzambweand Kapeziand the description of your character. Prepare to discuss the following questions from your character's point of view:

- Why does the Kapezi clinic not meet the health care needs of everyone?
- What people or groups need to cooperate to solve problems with health care in Kapezi?

To start the discussion, each person introduces his or her character and explains what that character sees as a key problem affecting Kapezi's health care system. The study circle leader should then open a group discussion of the two questions above. During the discussion, be sure to present your character's point of view, not your own. The group does not need to agree on answers to the questions. Choose one person to summarise the discussion (2–3 minutes).

Background

Zimazambwe is a developing country with a population of nearly 14 million. The country gained independence in 1960. While Zimazambwehas made advances since then, it still remains very poor. Per capita GDP is only US$1,520, and life expectancy at birth is 47 years. Infant mortality is high (90 per 1,000 live births), as is mortality for children under five (155 per 1,000).

The country has a very modest health care system based on a network of free clinics run by the Ministry of Health. In the 1970s, the health care sector received substantial investment that built the clinics and greatly benefited the health of the population. Rapid improvement in healthcare made citizens of Zimazambwethe healthiest in the region, a claim that was often heralded as evidence of the country's successful development. Unfortunately, the investment was financed almost entirely by foreign loans. As Zimazambwewent deeper into debt and the loans dwindled, it became clear that the achievements of the healthcare system were not sustainable.

The country's economy sharply declined in the 1980s, with drastic effects on health care. The health care system has rebounded to some extent since that low point, as

the economy has gradually emerged from recession and Ministry of Health officials, clinic managers, and staff have adjusted to the new situation. But in the 1990s the health care system largely stagnated. While many roads were built during the 1970s boom, they have fallen into disrepair, making it difficult to deliver supplies and medicines to clinics regularly. Most clinics do not let patients schedule visits in advance, resulting in long waits when patients arrive for care. Overall, the health of Zimazambwe citizens is better now than it was in the 1980s, but much worse than it was in the 1970s.

The Ministry of Health Headquarters in the capital city is responsible for planning, allocating, and delivering health care throughout the country through the free clinics. These clinics depend on the ministry to provide supplies and resources and to set health care policy. The parliament of Zimazambweapproved a new law on decentralisation six months ago which gives local and municipal governments, primary responsibility for delivering local services, including health care. Under the law, the Ministry of Health transfers 60 percent of its budget to local governments responsible for health care and retains 40 percent to spend on the clinics as it sees fit. The law has a long implementation period, and has only been put into practice in a few communities.

Kapezi is a rural district town 400 kilometres from the capital. It has one clinic that serves both Kapezi township and surrounding villages. The clinic sees many patients, both women and men, but service is generally poor, with long waiting times. The clinic often lacks supplies and medicines and does no have enough doctors and nurses to deal with all the patients. Doctors, nurses, and other staff are often absent from the clinic with no excuse, as low and irregular salaries sap their motivation. The new decentralisation policies have yet to be applied in Kapezi.

Character 1: Ministry of Health Official

You are an official at the Ministry of Health Headquarters in the capital city, which traditionally has been responsible for delivering health care throughout Zimazambwe. You and your colleagues have expertise and experience in health administration, and you work hard to formulate policy, plan services, and respond to the needs of the population. You feel that it is easier, faster, and more efficient for the ministry to allocate and deliver services throughout the country. You also believe that when fewer people are involved in this process, there is less chance for corruption.

You know there are inadequacies in the country's health care system, but you believe the problems to be mainly the fault of poorly trained and irresponsible providers in the field. From your perspective, poor managers in the clinics are largely responsible for the problems in clinic care. Lax management of the clinics has kept your ministry involved in the actual delivery of the health care (logistics, purchasing, etc.). This leaves you less time to set health care policy and implement public health strategies, and the failure to carry out public health campaigns has had a noticeable effect.

Furthermore, you have little control over the funding that your ministry receives. The ministry has not had a budget increase in five years, while costs have skyrocketed. You feel that you and your colleagues do the best you can with the resources you have.

Contrary to what some people think, you and your colleagues at the ministry do not view the new law on decentralisation negatively. In fact, you are excited about the prospect of focusing on health policy and monitoring instead of on the day-to-day running of clinics. You believe, however, that the local governments do not have the capacity to take on more responsibility, as they lack skilled personnel to manage the health services. Indeed, few local officials have come forward to discuss decentralisation or ask for more authority. You want to be sure that any changes under the decentralisation law respond to real needs. Finally, given the need to set priorities and balance the many demands for very limited resources, you fear that local officials and community leaders will not always make informed decisions that are in the best interests of the country as a whole.

Character 2: NGO staff member

You work for RuHeFA (Rural Health for All), a nongovernmental organisation that advocates for health care for the poor. You and your organisation have tried many times to improve service at the clinic for the poorest members of the community, but you have not been successful. The services that reach the community are not the most urgently needed ones, and they usually cater for men's health needs rather than the needs of women and children. You think that women and children should be higher priorities, based on the pattern of health care problems that you have observed in the community.

The clinic manager seems indifferent to your concerns, always saying that he has to follow the directives of the Ministry of Health Headquarters. You asked that a paediatrician and a midwife be assigned to the clinic, but the clinic manager told you that the decision is up to the ministry. You have tried to contact the ministry headquarters, but it is difficult to reach anyone by telephone. You have written many

times but never received a response, and the ministry is located far away in the capital—too far to visit in person to present your complaints. You know that local government is supposed to have more control over health care since the decentralisation law was passed, but you have not seen any change so far. You are frustrated that your organisation,RuHeFA hasno input and cannot find a way to force officials to respond to your concerns and deliver health care to those who need it most.

Character 3: Clinic Manager

You are the manager of the local health clinic in Kapezi and oversee the day-to-day running of the clinic. You spend much of your time trying to find resources and supplies to provide care to all who need it, but lack of funds makes this very difficult.

You work hard and make the clinic function as well as possible under the circumstances. Obtaining drugs and medical supplies is a constant problem. You do not receive supplies for specialised women's or children's care, just general health care supplies, so it is hard to provide adequate care to all segments of the township and village population of Kapezi. The ministry controls your entire budget and the acquisition of supplies and medicine. The ministry also sets health care policy and transmits specific policy goals that you are supposed to fulfill, even though these goals often seem unrealistic given the conditions in Kapezi. Given the time you spend trying to round up supplies, it is not always possible to supervise the staff as needed.

You are frustrated that you are constantly attacked by the public for poor service. You know the clinic does not meet everyone's needs, but it is just not possible to improve the care with the resources available. Besides, people in the community always tell you what they need, but everybody asks for different things, so it is hard to know what is most urgent. You feel helpless, caught between an angry, ungrateful public and a distant, unresponsive Ministry of Health Headquarters.

Character 4: Member of a Women's Cooperative

You are a member of Kapezi Sabuni Coop, a cooperative of women who make and sell soap. All the cooperative members have children and several are pregnant. Everyone complains about the poor service at Kapezi clinic, for themselves and for their children. While working at Kapezi Sabuni Coop, the women talk about their needs and have elected you to represent them.

The women are angry about the time it takes to visit the clinic. Since the clinic does not make appointments, patients have no choice but to show up and wait to be seen—

which may or may not happen the same day. The doctors are often not at the clinic when they are supposed to be, and no one knows when they will return. Kapezi Sabuni Coop cannot afford to pay women while they visit the clinic, so going to the clinic usually means loss of a day's wages.

Medicine is another problem. Even if a person manages to see a doctor, the clinic often does not have the medicine the doctor prescribes, which means a return trip to the clinic later on. The clinic seems to have plenty of medicine one day and none the next. For example, one woman in Kapezi Sabuni Coop took her daughter for a measles vaccination last week. Hearing the clinic had a vaccine, you and several other women from the cooperative took your children to be vaccinated the next day, but the nurses told you there was no vaccine! How could the supply vary that much from day to day? The women think the staff members are lying to them and may be saving the vaccines for their friends or relatives or for people who can afford to pay them—which your co-workers cannot. The co-operative women always feel that they are getting cheated.

You think women and children's health care is the biggest problem in the community, and you want the clinic to provide better service to women. Men and women visit the clinic at the same rate, but women have more health needs than men—they need prenatal and postnatal care and care for their children. Your biggest complaint is that no one seems to take responsibility for the clinic. Whoever you talk to about a problem, that person says it is not their fault.

Character 5: Municipal Government Official

You are an official of the local government, the Kapezi District Council. Your office acts as an intermediary between the Ministry of Health and the local clinic, but you have no practical influence on the day-to-day running of the clinic; your office is only a link in the chain. You receive directives and communications from the ministry and pass them on to the clinic manager. You also receive money from the ministry and transmit it to the clinic to pay staff salaries. As a member of local government you are supposed to respond to the community's needs, so you are frustrated that you are only a liaison and can do little to improve the delivery of healthcare.

In your opinion, the Ministry of Health is too far away from Kapezi to be responsible for providing good health care. Officials in the ministry do not understand local conditions or respond to local needs. The clinic never has the medicines it needs. If your office were responsible for the clinic, you believe, you could improve service and direct resources to the areas of greatest need.

You and your colleagues in Kapezi District Council hope that the new decentralisation law will give you that opportunity. Although you are excited about the prospects, you are not sure how to proceed. The decentralisation law has not been implemented in Kapezi, and there is no blueprint for doing so. You do not know which health care needs are most important to the community or how the clinic could be run to meet those needs. These factors make it hard for your office to insert itself into the health care process and take advantage of decentralisation. You are frustrated by your position between the clinic and the ministry and your inability to help the community. You are also frustrated that decentralisation has not moved ahead, but you do not know how to speed up the process.