Social Accountability
Mechanisms

Community Score Card
and Social Audit

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Foreword

Devolution presents citizens with increased opportunities to participate in governance processes at both the county and national levels of government. Among the objects of devolution highlighted in Article 174 of the Constitution include: to give powers of self-governance to the people and enhance the participation of the people in the exercise of the powers of the state and in making decisions affecting them; to recognise the right of communities to manage their own affairs and to further their development; and to promote social and economic development and the provision of proximate, easily accessible services throughout Kenya.

The Constitution of Kenya also defines sources of revenue for both the national and county levels of government while schedule four of the same constitution highlights the functions of both levels of government. Service delivery in key sectors such as water, agriculture and health has been handed to county governments.

This booklet has been developed in recognition of growing appreciation that locally based associations and individuals have a significant role to play with regard to enhancing accountability of public officials in the delivery of public services.

Through this booklet, the IEA-Kenya hopes to introduce these citizens to the community score card and the social audit processes.

These are important means through which citizens and Civil Society Organizations can hold their leadership accountable in the delivery of public services. The IEA-Kenya hopes that this booklet will be a valuable resource for individuals and institutions intent on learning about and ensuring accountability in the delivery of public services.

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Acknowledgement

1 Accountability and Social Accountability

1.1 What is accountability?

Accountability or answerability is the duty of those entrusted with leadership and decision making to provide explanations for or take responsibility for their plans, actions, behaviour and results.

1.2 What is social accountability?

This is an approach where the general public participates directly or indirectly, through elected representatives such as Members of Parliament and Members of the County Assembly in demanding accountability from public officers. Social accountability allows for the assessment of the effectiveness of public officials or public bodies.

1.3 Who should assess public service providers?

This is best done by the service users since they share from observation and experience and are best placed to give actual information about their own satisfaction with the services delivered.

1.4 Why should we assess public officials or bodies?

- To ensure that they are performing their best
- To ensure that they are providing value for money in the provision of public services
- To ensure that they are responsive to the needs of citizens and the communities they are meant to serve.

1.5 What are some of the available social accountability tools and methods?

Participatory policy formulation
Direct participation by citizens or civil society organizations in the formulation of public policy.

Participatory planning
Direct participation by the public in planning and design of development plans.

Participatory budgeting
Direct participation by the general public in making decisions on the budget and making follow up on how the budget is being implemented.

Citizen Report Card
Survey that aims to obtain feedback from users of public services. It involves rating by citizens of public service providers.

Community Score Card
Combination of participatory quantitative surveys and focus group discussions at the community bringing together users of public services and service providers to jointly analyse and resolve service delivery problems.

Social Audit
Assessing a government programme with the active participa-

tion of the intended beneficiaries including citizens. It involves open and participatory review of official reports, expenditure and works.

Participatory Policy Analysis
Assessing and building public awareness about government policies in key areas such as poverty reduction.

Participatory Public Expenditure or Input Tracking
Tracking actual government spending with the aim of identifying leakages and/or bottlenecks in the flow of financial resources or inputs from the centre to the frontline service providers.

Budget Analysis
Examining the budgets in order to assess whether money allocated match the government's social commitments. It may also involve analysing the impact and implication of budget allocations.

Public Revenue Monitoring
Tracking and analysis of the type and amount of income received by the government.

Citizen Charter
Public notice displayed by the government institutions, which provide information to the users of service. It may mention among other things, service fee and duration for providing the service.

1.6 What are the benefits of social accountability?

- Social accountability tools and methods have the possibility of increasing the cost-effectiveness of investments by government in public service delivery
- Involving the public in governance processes contributes to better planning and better prioritization through projects that better target citizen needs
- Citizen monitoring of the use of public funds and the delivery of public services can ensure good use of public resources
- Social accountability assessments can provide vital feedback to public service providers on the challenges or shortfall in public service delivery
- Has the potential to empower social groups that are under-represented such as the poor
- Creates means for participatory monitoring and citizen-government dialogue
- Can result in the formulation of more informed policies and improved service delivery by government
- Can contribute to community empowerment by providing important information on rights and claims and introducing means that enhance the voice of citizens
- By understanding the budget of a county government, citizens may begin appreciating the financial challenges facing the government therefore appreciating the importance of paying up on taxes, fees, charges and levies.

1.9 Accountability cycle
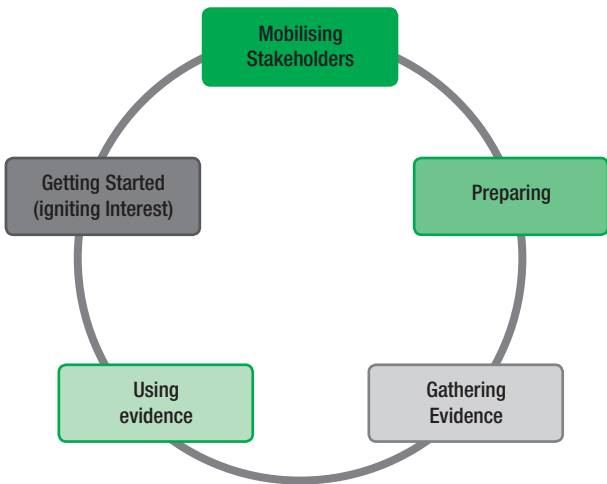
2   Community Score Card

2.1 What is a Community Score Card?

A community score card is a tool that enables users of a public facility and or public services to assess the facility and or the service provider and to rate the services and performance of the service provider using a grading system in the form of scores.

The Community Score Card brings together the service user and the service provider of a particular service or program to jointly scrutinize issues underlying service delivery problems and find a common and shared way of addressing those issues.

The scorecard approach seeks user perceptions on the quality of service, satisfaction levels, transparency and the general performance of the service provider. Some of the things that the score card aim at improving in service delivery include quality, efficiency, accessibility, relevance and accountability.

The community score card is conducted at the local level with community members. Information is gathered through focus group discussions and enables maximum participation of the local community. The score card provides immediate feedback and response to service providers, and joint decision making. It allows

for mutual dialogue between service users and providers and joint monitoring.

Important. The community score card is not about finger pointing or settling personal scores and is not supposed to create conflict.

2.2 What is the importance of a community score card?
- Evaluating the providers of public services enables the providers access their own services
- It assists in the identification of failures and lapses in service delivery
- The score card process allows for monitoring of quality of services, tracking of inputs and or expenditures, generation of direct feedback mechanism between service providers and users
- It strengthens the voice of citizens in public service delivery
- Scores generated are used to generate conversation between the service provider and the service consumers in order to seek improvement in service delivery where required
- Service perceptions and the feedback of a community regarding services or facility contribute to improved service delivery.

2.3 What are some of the benefits of community score cards?
- Hidden concerns by citizens come out when communities are given an opportunity in a scorecard process
- Service providers benefit from the scorecard process, as they are able to evaluate their efforts in service delivery based on the feedback of service users

- Contributes to better service delivery by promoting accountability, transparency and responsibility of service providers
- Contributes to better service delivery through access and quality of services
- Provides institutions and individuals providing services with perspectives, suggestions and complaints from citizens about the quality of these services on a regular basis
- Leads to common understanding of existing problems and solutions in relation to service delivery
- Improves relations between service providers and service users resulting in community ownership and culture of constructive dialogue
- Help service providers monitor service quality together with the community
- Facilitates good governance through informed decision-making
- Feedback helps the service providers make informed decisions and consider policy choices that aim at improving services and responding to citizens needs
- Presents an opportunity for the service provider to review the strategy in planning for other projects.

2.4 Steps in Developing a Community Score Card

STAGE ONE: Planning, community mobilization and sensitization

The first step in the community scorecard process is to hold a community meeting to explain your purpose and the community scorecard methodology of demanding accountability.

What should be done at this stage?
1. Identify the sector and intended geographic area of the assessment
2. Define the sample of village group to be used for the exercise
3. Identifying the service input entitlements for the chosen sector
4. Identify and train the lead facilitators
5. Make introductory visits to local leaders to inform them of the plans
6. Divide the community into interest groups for participatory focus group discussions.

Summary steps in the development of a community scorecard

Step 1	Step 2	Step 3	Step 4	Step 5
Generate issues	Prioritize issues	Develop indicators	Develop input tracking/ scoring matrix	Create the score card with the community
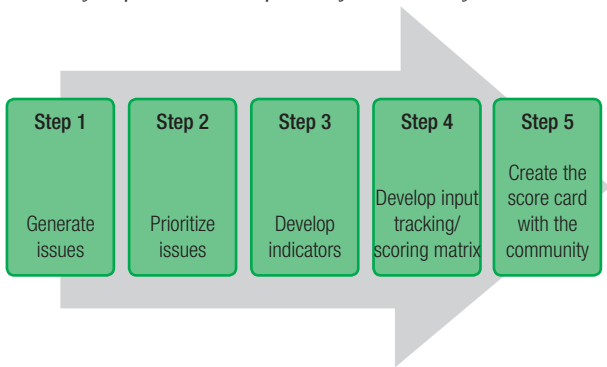
What needs to be done under each step of generating a community performance score card?

Step 1: Generating issues
    1. After inputs have been identified and tracked, groups need

to share ideas about service related issues to be reviewed. The kind of questions asked here include: What service or program works well? What does not work well?

2. The group should begin by sharing some general issues about certain aspects of their program or service. This may include: The types of services offered, how the services are offered, the main challenges, the role of the community in service delivery.

Step 2: Prioritizing issues

1. Group members should agree on the most important and urgent issues that should be dealt with first among the issues identified. The groups should give reasons for their choice

2. General issues generated by all the groups are then used to develop indicators for the high priority issues

3. A follow-up visit is done during which the issues will be scored.

Step 3: Developing indicators

1. Facilitators in a sitting share the various issues generated by their respective groups with the objective of coming up with common issues representing the area

2. Facilitators identify the major issues, develop indicators and list the issues related to each indicator.

Step 4: Developing the Input-Tracking Matrix

Inputs are the resources allocated to a service delivery point in order to ensure the efficient delivery of a particular service. These in the case of a health center may include the number of staff who should be employed at the center.

- Obtain supply side data that will enable tracking inputs, budgets or entitlements
- Share information with the community and the service provider
- Divide participants into focus groups based on their involvement in the service
- Finalize measurable input indicators to be tracked using the supply-side information and the discussions in the sub-groups
- Ask for and record the data on actuals for each input from all of the groups. Put this in an input tracking matrix as shown in table below.

Sample of input tracking matrix

Input Indicator	Entitlement	Actual	Remarks
Number of service providers staff present	Four (4) providers with certification or qualification for this level of care	Two (2) qualified service providers available	Employ two additional qualified service providers

Step 5: Creating the scorecard with the community

Creating the community scorecard involves going back to the community with the developed indicators and matrices to start the proceedings again with a community meeting, prior to doing the scoring.

1. Inform the community on the transformation of the issues generated by the different groups into common indicators for all the groups and that the indicators need to be scored to identify the extent of the prioritized issues
2. Present the indicators developed to the community in the focus groups
3. Participants after being explained to how the scoring works are required to give it a score
4. Participants should suggest on how to improve on low scores, how to maintain high scores and how to maintain those aspects of the project or services
5. Develop a matrix to record scores from all the focus groups in order to have a combined score for each indicator
6. Representatives of each group should share his/her group's scores
7. Insert the scores in the matrix
8. Facilitator guides the discussions by asking questions to come up with representative scores
9. Consolidated score for the indicator agreed upon by the wider group is then filled into the matrix. The groups should write the reasons for their scores down on the matrix.

STAGE TWO: Generation of self-evaluation scorecard by service provider

What needs to be done under each step of generating a self-evaluation scorecard by service provider?

Step 1: Generating issues

1. After inputs have been identified and tracked, groups need to share ideas about service related issues to be reviewed.
2. Group begins by sharing some general issues about certain aspects of their program or service. This may include: the types of services offered, how the services are offered, the main challenges. Issues raised could be positive or negative.
3. Service providers to remind themselves about the possible issues they think might be good to review or discuss as raised during the planning for the scorecard process.

Step 2: Prioritizing issues

1. Group members to agree on the most important and urgent issues that should be dealt with first. They should also give reasons for their choice.
2. Facilitator should, after informing the groups, explain that he/she would use the general issues generated by all the groups to develop indicators for the high priority issues.
3. A follow-up visit is done during which the issues (to be presented as indicators) will be scored.

Step 3: Developing indicators

1. Facilitators share the various issues generated by their respective groups
2. Mix issues from the different groups in order to come up with common issues representing that location or area
3. Identify major issues, develop indicators and list the issues related to each indicator under it
4. Facilitators develop the indicators that are to be scored by the service provider
5. Insert score in the matrix once the group has agreed on it. Remember to include reasons for the scores.

Note: Similar issues might generate related indicators which can be clustered under one "theme" e.g. indicators concerning delivery of the service, staff attitudes toward clients, availability of equipment to deliver the service, etc.

Summary of steps in the generation of self-evaluation scorecard by service provider

		4	• Service provider/facility staff to reflect on why they gave the scores they did, and to also come up with a set of suggestions for improving the state of service delivery
	3		• Service provider/facility staffs fill their relative scores for each of the indicators developed. Average this to obtain the self-evaluation score card
2			• Brainstorming by service provider to come up with performance indicators
1			• Identify facilities that will undertake self-evaluation

STAGE THREE: Interface between community and service providers

An interface meeting between the service providers, service users and other interested or relevant parties allows for the sharing and discussions on the matrices, the scores and the reasons for the scores as developed by both sides.

It is important to invite key decision makers in the locality as this will ensure immediate feedback on the issues and responsibility to take issues and the plan of action forward.

Summary of steps in the interface meeting

	3	• Facilitate dialogue between the users of service and the service providers in order to come up with a list of changes that can be implemented immediately
	2	• Ensure adequate participation by the service provider and user of services by mobilizing at the community level • Involve other stakeholders e.g. local political leaders, and senior government officials to act as mediators
1		• Prepare the service users and service providers for the interface meeting

Development of the joint service improvement plan

After the discussions let the members jointly decide the order in which the issues should be dealt with, and list them in order of priority with their suggestions for improvement. Group similar priorities together with both sides agreeing on an overall theme or name for the group. Each priority theme is discussed and recorded in the planning matrix as shown below.

Priority theme (List of issues)	Action (activities needed to address the issue)	Who/Responsible (name and institution)	With whom (name and institution)	When (Deadline)	Resources (what is needed to do the action)
Cleanliness of the health center	Provide additional cleaning staff	Health official	Health center clinician	January 2016	Finances
	Provide waste bins	Health center Committee	Health center grounds cleaner	January 2016	Finances

STAGE FOUR: Follow-up and institutionalization

Service providers and service users can put in place measures that will ensure this is institutionalized.

Government
Governments can make the results of the scorecards the basis for allocation of resources or performance based incentives across sectors, and or facilities.

Non State Actors
Non state actors can train their staff on how to conduct a community score card process. They can create links with existing com-

munity interest groups so that they get involved in facilitating and implementing community scorecard processes and also disseminate the findings of community scorecards to the public through grassroots media such as local community radio.

3   Social Audit

3.1 What is Social Audit?

This is a process through which all details of a public project are scrutinized at a public meeting. The approach seeks to evaluate how well public resources are being used and how to improve performance. It also aims to ensure maximum community participation

A public project is any project that utilizes public funds. This includes money spent by government on health, roads, education and so on through its ministries, and it also includes decentralized funds such as the National Government Constituency Development Fund, the Local Authority Transfer Fund, the SSEB, the Roads Maintenance Levy Fund, the AIDS Fund, Free Primary Education, and the Youth Fund.

3.2 Who conducts the Social Audit?

A social audit is conducted by a social auditor. The social auditor is best drawn from the community, and should be a community member committed to uplifting its welfare. Social Audit is best carried out by groups of community volunteers (social audit teams) as the work involved is quite demanding.

3.3 What questions does a social audit seek to answer?

- Did money allocated to specific projects actually get to those projects?
- What are the specifications of the project? Have they been met?
- Is the quality and quantity of materials used as per the specifications?
- Did all workers receive their payments as indicated?
- Was the project completed within the specified time?
- Who are the managers of the project?
- Was the cash allocated for the project used for the purposes for which it was intended?
- Has the community been sufficiently involved in the project?
- Have project managers kept good records?
- Have project managers given the public the necessary information to help the public monitor the project?
- Has there been any abuse of funds in the project?

3.4 What is the purpose of Social Audit?

- Produce information that is perceived to be evidence-based, accurate and impartial
- Create awareness among beneficiaries and providers of local services
- Improve citizens' access to information concerning government documents
- Valuable tool for exposing corruption and mismanagement

- Permit stakeholders to influence the behavior of the government, and
- Monitor progress and help to prevent fraud by deterrence.

3.5 Steps of Social Audit Process

Step 1: Definition of Purpose

This is a process of identifying the goal of the social audit. It includes clear delineation of the objectives of the exercise, identifying the relevant agencies or projects that will be subjected to audit, the time frame for the audit, the factors or indicators that will be audited and the stakeholders..

Stakeholders are those whose interests are affected by the service or project or those whose activities strongly affect the issue. Stakeholders should be a mix of government actors from different levels, service providers and contractors, representatives of civil society, beneficiaries, and workers of the service providers or contractors. The stakeholder may possess information, resources and expertise needed for strategy formulation and implementation; may have control over implementation.

Step 2: Data collection

This would include interviews, surveys, compilation of statistics, score cards, case studies, participant observation, field visits, eval-

uation panels, gathering relevant official records and extracting relevant information from existing data of various sources.

Step 3: Data Analysis

The information gathered through different methods and from different sources should be summarized into simple forms that could be easily understood by the public.

Step 4: Raising Awareness and Notification of Public Meeting

The information gathered is provided to the stakeholders for obtaining their feedback where beneficiaries of various programmes can testify if they have got all the benefits as given in the records.

Step 5: The Public Meeting

Findings of the social audit are made public, which can include evidence of corruption, inefficiencies in utilization of funds or poor planning, public officials are given adequate opportunity to justify their performance in projects.

Step 6: The Follow up

The final social audit report will be written which will include recommendations to the government regarding actions to ad-

dress specific instances of corruption and mismanagement of the project. Copies of the report should be widely disseminated to government officials, the media, participants involved in the process and other stakeholders. Key findings and recommendations should be disseminated in print and audio formats.

3.6 Benefits of Social Auditing for Government Departments

1. The information generated from a social audit can provide crucial knowledge about the departments' or institutions' ethical performance and how stakeholders perceive the services offered by the government
2. Social auditing helps the leaders in identifying challenges and provides an opportunity to take a proactive position and create solutions
3. Social auditing is a tool that helps managers understand and anticipate stakeholder concerns by providing essential information about the interests, perspectives and expectations of stakeholders facilitating the interdependency that exists between the government and the community
4. Social auditing identifies specific organisational improvement goals and highlights progress on their implementation and completeness
5. By integrating social audit into existing management systems, employees responsible for day-to-day decision making can more effectively consider stakeholders' issues and concerns

6. Due to the strong emphasis on openness and accountability for government departments, the information disclosed needs to be fair and accurate. An externally verified audit can add credibility to the department's efforts

7. Social Auditing could be a useful tool to help departments re-shape their priorities in tune with people's expectations

8. Social Audit can enable departments or institutions to act with greater confidence in social areas that have been neglected in the past or have been given a lower priority.

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