

Citizen-based service delivery monitoring: *research into current practices*

Produced for the
Department of Performance Monitoring and Evaluation in the Presidency





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1 Introduction

1.1 Objectives of the research and structure of the report

This research was commissioned by the DPME, with the support of the PSPPD. It is an initial scoping exercise of citizen involvement in service delivery monitoring. The intention is to investigate existing practices and explore if there are aspects of existing practices which should be considered for wider application. This study is not intended to be a comprehensive review of existing practices. Aspects of this research was tabled at a government-civil society workshop on the 29th August.

The Department of Performance Monitoring and Evaluation (DPME) has the following key mandates:

- Coordinate the outcomes approach and monitor and evaluate Government programmes
- Provide leadership on government wide monitoring and evaluation.
- Develop and implement performance monitoring mechanisms of individual national and provincial government departments and municipalities
- Carry out monitoring of frontline service delivery.

As a relatively young department, the focus initially was on setting up the outcomes approach and starting the process of monitoring performance against the outcomes. This focus is continuing, but recently augmented with a more hands-on approach to monitoring of frontline service delivery. In the Strategic Plan for the DPME, Minister Chabane explains it thus: *"In addition to the outcomes*

approach and departmental performance monitoring, we will also monitor frontline service delivery. This will involve hands-on monitoring of service delivery institutions which interact directly with the public, including municipalities, clinics, schools, etc. We seek to involve the public and other interested organisations in this monitoring, the purpose of which will be to gather information on the quality of front-line service delivery, again with the aim of informing improvements."

DPME has a mandate to provide leadership on government wide M&E (GWM&E) – and citizen involvement in a GWM&E system is critical to ensure accountability and transparency.

There is therefore a commitment from the DPME to not only collect information itself directly from a sample of key sites of services delivery, but also to provide leadership in government on more systematic involvement of citizens in the monitoring of government services.

Now, the DPME would like to explore how government as a whole can develop and maintain accountability relationships, through monitoring and evaluation, with civil society for purposes of improvement the quality of service delivery.

This report consists of four sections. Following the introduction, section two considers several international examples of community based monitoring of government services while section three outlines those mechanisms that have been uncovered in the research on the

monitoring of service delivery by civil society in South Africa. In section four, proposals for approaches for community-based monitoring in South Africa are put forward. This report is produced for discussion and for purposes of guiding the DPME in its endeavours to build stronger monitoring relationships between citizens and government.

1.2 The research process followed

The first stage of the research involved a review of relevant documentation provided by the DPME and a meeting with key officials. A set of civil society organisations in South Africa known to be involved in monitoring front-line service delivery was then drawn up. Internet searches were conducted to ascertain what other organisations might be involved in such monitoring, both locally and internationally. A generic set of interview/survey questions was developed which addressed issues such as what kind of tool the organisation uses to monitor front-line service delivery, how this works, where it is used, how it is funded and managed, how the results are used, what impacts it has had on service delivery, and what have been the successes of this approach and what problems have arisen. Suggestions for improvements on this, and on the feasibility of developing a tool across the board to improve front-line service delivery monitoring by citizens and civil society in South Africa were elicited. A key aspect of this was the request for other organisations who may be involved in front-line service delivery monitoring.

All organisations known to be monitoring service delivery were then contacted and either telephonic, e-mail, or face-to-face interviews conducted. The process of receiving new contacts of organisations involved in monitoring of front-line service delivery through references is a snowballing one, and therefore ongoing.

1.3 Conceptual issues

Several terms arise in research of this nature which are clarified in this section.

Monitoring is regarded as the process of assessment and measurement of progress in implementing development interventions (European Commission, 2007). Thus, information collected in the monitoring process should inform decisions around planning and changing practices to improve performance. Monitoring is different from evaluation, which focuses on measuring outcomes, results, effects and impacts (European Commission, 2007).

Citizens' monitoring in South Africa is largely conducted on a voluntary basis and can therefore be relatively low cost (Munnik and Molose, 2011). "It forms part of emerging thinking around alternative service provision models, an approach to an active citizenry which strengthens developmental government in a participatory democracy and community works in the public interest" (Munnik and Molose, 2011).

Accountability "describes the rights and responsibilities that exist between people and the institutions that affect their lives, including governments, civil society and market actors. In practice, accountability can take a number of different forms, depending on the institution in question" (Newell

and Wheeler, 2006). Accountability encompasses answerability which is the right to get a response and the obligation to provide one, and enforceability, which is the capacity to ensure that an action is taken and access to mechanisms for redress when accountability fails (ibid). Accountability is key to ensuring people are able to realise their rights through responsive institutions and governments with the capacity to fulfil their commitments.

Accountability should not be seen as an end in itself but as an ongoing process of engagement between citizens and institutions which ensures that legal rights and standards are enforced. Accountability should facilitate social and political change, greater justice and equity, rather than be technocratic and target-driven (ibid). Thus establishing mechanisms for civil society and communities to monitor frontline service delivery, in a process that is supported by, but independent of, government, should deepen accountability and promote greater community participation in planning, implementation and monitoring of service delivery. "Strategic public engagement in providing an oversight role in the delivery of public services is an essential dimension of building public accountability in local government" (Smith, 2011).

Smith notes that "since 1994, South Africa has made greater strides in delivering basic services than it has in strengthening constructive public engagement about delivery where the public has access to recourse for the state's poor performance.

*Recourse*¹, in the service delivery context, is about the public having access to levers, either in the state (higher spheres of government) or

outside the state (triggering public pressure through strategic alliances) that forces punitive measures on local government if it fails to perform in meeting legislated standards of service delivery" (Smith, 2011).

Accountability should be both vertical (across spheres of government) and horizontal (within civil society). "Horizontal accountability is where the general public, through civil society organizations or business associations apply pressure on local authorities for problem resolution" (Smith, 2011). Horizontal accountability is "critical to strengthen local governance and to make it more responsive to public concerns" (Smith, 2011).

The UN situates the concept of citizen engagement within an overall governance framework. *Citizen engagement* is "the desired outcome or logical end of participatory governance" a strategy of development governance which "pertains to planning, budgeting, monitoring and accountability of socio-economic development policies and programmes" (UN, 2007). Examples of civic engagement in public accountability include citizen groups participating in budgeting and fiscal policy processes in South Africa.

Civil society applies to all voluntary associations with significant autonomy from the state. This is not only large non-governmental organisations (NGOs), but also small, locally based and more informal organisations (Manor, 2003).

The following section of the report outlines several international examples of community-based monitoring of front-line service delivery.

1 Italics added

2 International examples

Across the world there are examples of community participation in planning and budgeting. There seem to be fewer examples of community-based monitoring of service delivery, although this is clearly an important aspect of meaningful community participation and holding politicians and officials accountable.

A literature search has revealed several examples of which involve civil society organizations in public accountability processes. These include India's "Citizen's Report Card System" in which the government of Delhi "established an innovative citizen-government approach to governance. Through the Bhagidari Cell, networks of local groups have grown from 20 citizen groups in 2000 to more than 1,600 citizen groups representing about 3 million people today. These networks discuss problems hampering effective delivery of services with government representatives and then produce joint workable solutions in areas such as water supply, sanitation, schools, power supply and urban transport" (UN, 2006).

2.1 Citizen report card

The Citizen Report Card (CRC)² is a large-scale citizen feedback project that allows people to rate their local authority and service delivery. It involves participatory surveys aimed at enhancing accountability through media coverage and civil society advocacy (Social Accountability sourcebook). It includes feedback on public service performance from users of services regarding the availability of services, access

to services, quality and reliability, problems encountered by users, responsiveness of service providers, transparency and costs (Asian Development Bank, 2007) (including hidden costs such as corruption). Thus, as an accountability tool the CRC reveals areas where institutions responsible for service provision have not fulfilled their obligations³.

“The CRC can be used to assist municipalities to improve services, and citizens to demand improvements and change”

The CRC provides a simple but powerful way to measure the level of satisfaction of citizens regarding the quality of services provided by their municipalities. Ideally, a CRC should be conducted on a regular basis in order to highlight areas of improvement or identify services that need to be improved.

Examples of the use of the CRC approach include performance based budget allocations to pro-poor services in the Philippines (World Bank 2001), cross-state comparisons of public services in India, the People's Voice Project in the Ukraine, which assessed local government quality of service delivery (World Bank, 2001).

A detailed example of the development and management

of the CRC approach in Calcutta has been provided by Manor (undated). An NGO, the Public Affairs Centre worked with local partners to undertake a 'report card' on service delivery in the city of Calcutta. Focus group discussions were held to identify local residents' perceptions of problems. These informed the development of a survey which was then conducted among 3,309 non-poor households and 537 poor households in six carefully selected sections of the city. Non-poor households were asked about eight different public services (telephones, electricity, government hospitals, water supply, corporation tax, ration depots, the post office and the police). Poor households were asked about 13 public services, which included all except taxation listed above plus street lighting, the Metro railway, transport more generally, public sector banks, and sewage services. Results showed a great variation among both sets of respondents. Manor notes that the CRC also "extracted insights into levels of satisfaction with three dimensions of various services: the behaviour of government employees, the speed with which matters were processed, and the information provided by government employees. Further evidence was gathered on the details of individuals' interactions with various agencies, including demands for bribes".

The CRC can be used to assist municipalities to improve services, and citizens to demand improvements and change (Manor, undated).

2 See www.citizenreportcard.com

3 See <http://www.pafglobal.org>

Citizen report cards need local technical capacity to develop questionnaires, conduct surveys, and analyse results.

2.2 Community Score Card

Community score cards are a hybrid of social audit and citizen report cards (Social Accountability Sourcebook). They form a tool to exact social and public accountability and responsiveness from service providers. They use an Input Tracking Scorecard, a Community Generated Performance Scorecard and a Self-Evaluation Scorecard. Community score cards are usually focused on the local or facility level, and are particularly useful in rural setting. Examples of the use of Community Score Cards include the promotion of civic participation in monitoring and improving water service provision in Wobulenzi, Uganda (World Bank Institute), monitoring poverty reduction strategies in Gambia (World Bank, 2001) and in Ghana, Malawi, Tanzania, Zimbabwe, and Sri Lanka.

2.3 Community-based Monitoring Systems (CBMS)

A community-based monitoring system provides regular, reliable and relevant local data in easily understood form (Budlender et al, 2006). Monitoring takes the form of providing information on the impact of government services on people at local level, with the focus on poverty. A 'standard' CBMS has a set of simple indicators.

The CBMS has been used in 14 countries over the last 10 years with IDRC support. Examples of countries include the Philippines, where a household profile questionnaire and community profile questionnaire were used. The focus appears to be more on collecting information on

basic needs core indicators than on measuring front-line service delivery directly.

2.4 Social Audit (also Social Accounting)

A social audit collects information on the resources of an organisation. This information is shared publicly. A central concern is how resources are used for social objectives. Most social audits are focused on public works, with some being used to investigate police, customs, schools etc (Social accountability sourcebook).

In some countries government has initiated self audits along these lines, whereas in many developing countries, civil society organisations have initiated this. Methodologies vary considerably. A range of methods can be used for data collection, and the process can be expensive, time consuming and complex.

2.5 Citizens' Juries

Citizens' juries involve selected members of the community making recommendations to decision makers, mainly to clarify issues prior to implementation (Social Accountability Sourcebook). An example is the Citizens Jury on food and farming future for Andhra Pradesh which revolved around discussion of rural development plan. This tool seems more appropriate prior to implementation than to assess front-line service delivery.

2.6 Public Hearings

Public hearings, which are formal meetings at community level, often around budgets and strategic planning, can be seen as a tool for citizen accountability. They often form one element of a social audit (Social accountability sourcebook).

2.7 Community Radio

Community radio is a radio station that is owned and managed by a community, deals with local issues, is based on audience access and participation, and helps the poor and illiterate (Social accountability sourcebook). According to the Social Accountability Sourcebook it is relatively low cost and can serve as a tool of monitoring government performance.

2.8 Transparency Portals

Websites that publish public financial information can increase transparency by conveying large amount of information to those with internet access (Social accountability sourcebook).

These can be linked to the financial management information system so users can track how budgets are being executed and how tax revenues are evolving (ibid).

2.9 Citizens' Charter

A Citizens' Charter informs citizens about their rights to, and standards of, services, remedies for non-adherence, costs etc (Social accountability sourcebook). It is a process, not a one-off document. By publishing standards it aims to improve service delivery, ensuring that citizens know their rights and how to voice grievances.

The Citizens' Charter is used in many countries such as UK, Canada, Australia, Malaysia, India (e.g. Praja Foundation, Mumbai). One of the key objectives of the process seems to be education, and it is not clear that it is used directly in measuring front-line service delivery.

2.10 Ombudsman

The Social Accountability Sourcebook also indicates having an ombudsman, independent from the executive and judiciary and funded by the legislative body as being a form of citizen-based accountability. However, it focuses on protecting citizens' rights and not necessarily on front-line monitoring of service delivery.

2.11 Mystery client/guest surveys⁴

Mystery client or guest surveys have been used in many countries to monitor public services, particularly front-line service delivery, as is common in the private sector. It can be argued that this is a reliable way to measure service levels, using real customers in order to obtain a true reflection of the day to day experiences as perceived by them. This offers an accurate, reliable, and cost-effective method of quality control, which provides a means of identifying both good customer service and areas which needs to be improved.

In a developing context like South Africa, however, visible monitoring and ongoing education can be beneficial.

2.12 Public Expenditure Tracking Surveys

Public expenditure tracking surveys are meant to track expenditures from Treasury down to spending units. For example, a South African example is the recent collaboration of UNICEF SA with the Department of Social Development (DSD) for PETS in Early Childhood Development.

2.13 Quantitative Service Delivery Surveys

Quantitative service delivery surveys examine the efficacy of spending, as well as incentives oversight, and the relationship between those who contract for a service and those who deliver it (for example, the relationship between parents and school administrators). In QSDS the facility or service provider is typically the main unit of observation. QSDS can be applied to government and private (for-profit and not-for-profit) service providers. In each case, data are collected through interviews with managers and staff and from the service provider's records. In some cases, beneficiaries are also surveyed. Triangulating the data collection allows cross-validation of information. However, this is time-consuming.

“Using mobile phone technology to monitor service delivery is being practised in various parts of the world. For example, in Southern Sudan phone surveys were conducted in 1000 households.”

2.14 Phone Surveys

Using mobile phone technology to monitor service delivery is being practised in various parts of the world. For example, in Southern Sudan phone surveys were conducted in 1000 households. Interviewers have called to collect information on economic situation, security, outlook etc.

Mobenzi (based in South Africa) has also used mobile phone technology in other countries. Mobenzi is a software tool that empowers people to be rewarded on their cell phone. It collates large amounts of data, which is sent by sms to agents to analyse. Three tools are offered: Mobenzi Research, Mobenzi Outreach, and Mobenzi Intelligence. Two case studies in Nigeria and Zimbabwe are the assessment of beneficiary registration and attendance monitoring in Kano, Nigeria and emergency relief and rehabilitation in Zimbabwe (www.mobenzi.com).

In Nigeria, the Kano Conditional Cash Transfer (CCT) programme aims to increase school attendance of young girls in grades 4 to 6 in selected rural communities. A Conditional Cash Transfer programme encourages positive behaviour by making payments to prospective beneficiaries in exchange for them undertaking agreed upon activities, such as attending school. Mobenzi Researcher was used by fieldworkers to collect biographical information on over 13,000 potential beneficiaries across 300 schools. Fieldworkers made random visits to schools to capture attendance records of selected beneficiaries. Using the Mobenzi Researcher API, a simple mobile-based system was developed which allows fieldworkers to request a class register from their mobile phone. From the initial baseline data collected, the system responds by delivering the requested class list to their handset in the form of a simple mobile survey pre-populated with all the registered students for the requested grade. Fieldworkers are able to indicate whether a student is present or

4 Information provided by UNICEF

5 Information provided by UNICEF

6 Information provided by UNICEF

absent as the survey iterates through each girl for the relevant grade. Once the survey is complete and the submission uploads, a full attendance register is automatically emailed in Excel format to operational personnel who can make use of this information for determining disbursements. Fieldworkers are able to request several class lists before venturing into areas with poor or no network reception. Upon returning to an area with reception, any pending data is uploaded (www.mobenzi.com).

In Zimbabwe, Africa AHEAD makes use of the Community Health Club approach which places health promotion at the focal point for sustaining community well-being and development. A Community Health Club consists of between 50 - 150 members who work together to upgrade their knowledge on health-related issues and hygiene practices with a view to improving their own family's health. A household survey of approximately 65 questions was conducted with all registered health club members (approximately 1000 households). The survey

captured household inventories, demographic data and household health and hygiene behaviour. The indicators were gathered by means of observation and direct questions posed by community-based facilitators (www.mobenzi.com).

2.15 Community based monitoring and evaluation systems (CBMES)

The Uganda Debt Network is a coalition of advocacy and lobbying organisations and individuals which established a community-based monitoring and evaluation system (CBMES) to monitor government expenditure in eight districts and approximately 47 sub-counties. The CBMES involves holding preliminary meetings at the district level to build support for CBMES among district authorities and mobilise key organisations and individuals, meeting with local communities to introduce the CBMES concept, elicit community responses, and mobilise participants, and selecting and training about 80 – 100 monitors from local communities.

Community indicators and an information management and action system are then developed and proposals formulated on the use of monitoring to demand action at different governmental levels. Community-level projects and activities are then monitored and the findings compiled at the sub-county level. Debriefings with local authorities identify issues to be brought to higher level authorities, and representatives to the district-level committee are appointed. A district feedback workshop facilitated by UDN and attended by senior district officials discusses the outcomes of the monitoring effort, current challenges, and follow-up activities. The CBMES has been successful in monitoring several government programmes at the local level and using this information to conduct advocacy at the national level. A good example of this is that of the School Facilities Grant (SFG), introduced to fund improvements in education infrastructure (classrooms, toilets, teacher housing, etc.) in poor communities (SACN/TTTRI, 2011).

3 South African examples

3.1 Community Monitoring and Advocacy Programme

Black Sash, with Social Change Assistance Trust (SCAT), conducts monitoring of grant payouts by the South African Social Security Agency (SASSA) under the auspices of the Community Monitoring and Advocacy Programme (CMAP). The programme is funded by the European Union (80%) and the Open Society Foundation (20%). It was piloted in 2009 in 4 provinces. EU funding started in August 2010 for a period of 2 years, allowing the programme to be extended to all provinces.

The actual monitoring is done by 30 community-based organisations (CBOs) in all provinces. From each CBO two monitors are selected by Black Sash and SCAT. Questionnaires are developed based on the type of service to be monitored and the needs identified by the CBOs. As far as possible, the questionnaires are linked to the minimum and norms and standards of government, with performance measured against these. There is a standard questionnaire across all 9 provinces for each type of service, e.g. SASSA has two questionnaires, one for pay points, the other for service points. Monitors are volunteers therefore they need to be able to use the data for their work.

Data is captured at Black Sash, and reports are made to both the CBOs and government departments, providing government with the opportunity to respond. At provincial level, field workers are working with provincial government departments.

Black Sash loads the reports and government's response on their web site.

An advantage of CMAP is that it is both flexible and standardised. According to Elroy and Samuels, it has worked positively with SASSA, and is now being extended into health and local government. SASSA is using the data and findings to advocate internally for change. There has therefore been a positive impact on service delivery. In the absence of relevant minimum norms and standards for monitoring SASSA, the Western Cape department has developed a set of principles they have submitted to the national department that they would like to be signed off. Submissions have been made by Black Sash to the ad hoc committee of parliament and in some legislatures. At the local level, on site, queues have decreased in Western Cape at service delivery points, SASSA has started working locally e.g. to get chairs to make a difference for people on pay days.

The actual monitoring is done by 30 community-based organisations (CBOs) in all provinces.

A success in monitoring health service delivery is that having health consultations with district doctors and sharing reports with them has improved relationships and support from various people.

CMAP helps create public acknowledgement of challenges,

maintain Paulus and Samuels, providing a platform to talk about issues around delivery, rather than being embarrassed about them. Problems that have emerged include the lack of cooperation from some government departments, who do not want civil society to play a watch dog or policeman role. A challenge has been logistics such as transporting monitors to the sites. Black Sash is also trying a partnership with HIV 911 as users can use their cell phone to answer several questions, and send information to an on-line reporting site, which means it is not necessary to monitor on site. However, one of the key advantages of CMAP is having a monitor on site to observe.

With regard to the feasibility of developing this tool to use across the board, Paulus and Samuels indicated that as services are so different and unique, it is difficult to have one tool; different standards need to be adhered to for each type of service. There are also different places where monitoring takes place e.g. local government, and not in one particular location.

Work like this can be done in every one of the 36 votes of government, said Paulus. It depends on capacity, sustainability, and politically who the monitor is. Black Sash is interested in a critique of services, acknowledging having space to work with government.

A key aspect of CMAP is educating communities around issues such as rights and norms and standards. In this regard, CMAP can be seen as active research to effect

change. Understanding of what information means is very important. Mainstreaming this monitoring into Black Sash's work is a priority. This work feeds into the work of Black Sash's advocacy unit and the work of their managers.

3.2 Citizens' Voice

Munnik and Molose indicate that, in terms of water service delivery, "citizens' monitoring is understood to include the roles of observing, assessing, evaluating and communicating about aspects of the water cycle including water services and water quality, in which citizens play a prominent role on the basis of their local knowledge" (Munnik and Molose, 2011). They further state that "international examples show that citizens are able to effectively monitor a number of water quality variables. They add to monitoring through local knowledge of water systems and pollution sources, and their ability to immediately notice local changes in water quality, as well as spills and accidents. Citizens' effectiveness increase when citizens are supported by academic institutions through regular training, and their results are quality controlled and accepted by responsible state institutions" (Munnik and Molose, 2011).

The "Raising Citizen's Voice in the Regulation of Water Services" project (Citizen's Voice) aims to develop the capacity of CSOs to engage in policy level debate and to empower them with information based on solid community research. This is one of several monitoring and education tools used by Mvula Trust.

The Citizens' Voice process has been applied in several municipalities, starting in 2006 with a pilot of 4 townships in Cape Town and then extended for a period of three

years using Masambambane funds, followed by eThekweni, uMshini, and Ekurhuleni, driven by the national Water Services Regulation Unit of the Department of Water Affairs.

The 'Citizens Voice' approach aimed to build "the capacity of the public to play an oversight role using a rights-based approach to water and sanitation services. Central to the approach is that rights involve corresponding responsibilities, a necessary precursor to building mutual accountability with the state" (Smith, 2011). Citizens' Voice therefore focuses on public education and citizen participation, providing a "bottom-up approach to water services regulation by actively involving citizens in the local monitoring of water and sanitation services" (SACN/TTRI 2011).

Citizens' Voice providing a "bottom-up approach to water services regulation by actively involving citizens in the local monitoring of water and sanitation services"

Citizens Voice user platforms involve the education of citizens on their rights and responsibilities in a 10 module course which covers the whole water cycle (Munnik and Molose, 2011). Key to the success of Citizens' Voice is capacity building to ensure that communities understand the respective roles, rights and responsibilities of all parties including municipalities. Support is provided to communities to establish user platforms where service-related issues are identified and brought to the attention of local government.

These increase accountability for services and have the potential to decrease services protests as people understand water service delivery.

The pilot project in Cape Town had a number of successes including reduced water losses, increased payment levels, and a more effective citizen oversight role in water services provision. Successes also included increased interaction between municipalities and communities, and greater intergovernmental cooperation, and more effective performance and involvement of community development workers (CDWs). Increasingly requests to implement the Citizens' Voice process are coming from ward councillors. The Citizens Voice process was implemented in 26 townships in Cape Town and was very community-driven, but political problems led to it being discontinued, according to Laila Smith, who was employed to pilot and scale up the process across the City. The process involves setting up user forums, with the volunteer EXCO being nominated. They set the agenda, and forums are attended by the political councillor and officials. In Cape Town the programme was run through the city therefore the city provided the administrative support to assist committees. The training module is context specific. Ten CDWs were used to conduct training and set up user platforms. This was a great success in terms of the CDWP.

The success of the overall process was extensive oversight and hands-on management. Over time the user forums moved to raising collective community issues, not individual problems which were better dealt with by complaints desks etc. The process forced intergovernmental and interdepartmental cooperation e.g. housing and water in the case of

informal houses. A GIS system was developed within the City of Cape Town where one person reported to EXCO and was responsible for resolving issues. Thus senior management received regular feedback. A problem was that there was no concomitant feedback to the community with regard to progress. The success of the programme was related to municipal buy-in and support, and took place over 3 years. Smith noted that “people within the City were guerrillas in the bureaucracy fighting to make it work”. Unfortunately the programme was closed as the City moved to use CDWs to propagate Water Demand Management devices. One of the problems with the way in which the programme was implemented in Cape Town was that it used Masambambane funds; once the funds stopped the programme stopped, pointed out Smith.

In comparison, Smith described the process as it unfolded in eThekweni municipality (Smith interview, 2011). Here the process was demand-driven. The municipality recognised the need to obtain the buy-in and increase the education of councillors, community service organizations, non-governmental organizations and officials, so initially focused on them for training (Smith, 2011). CSOs wanted to sit down and guide future planning and there was high level engagement between civil society and bureaucracy. In the face of very high expectations, councillors were trained, user platforms established, weekend training was held and monthly user platforms held. There were some criticisms that externally CSOs were not invited. Interaction took place to strengthen ward committees.

In her recent article, Smith notes that eThekweni Water Services (EWS) has recognised that distributive equity

needs to be balanced with procedural equity for sustainable infrastructure investments. They therefore realized the importance of investing in social measures such as education and improved public participation in order to ensure successful and sustainable investments in infrastructure. She notes, “effort to build trust with key stakeholders, to provide public education and to institutionalize forms of public engagement with council have begun to build the layers of public accountability that can best protect the hardware investments of council” (Smith, 2011).

“Village Water Committees aim to improve the sustainability of water supply, particularly in remote rural areas.”

Smith maintains that Citizens’ Voice is a very useful method of monitoring by increasing levels of public awareness of how services work. It is a grass roots process which provides a means of holding local government to account, but at the same time encouraging local government. “Once they are able to demonstrate an ability to be service user-driven, user platforms hold enormous promise to become a vehicle for strengthening public pressure because the outcomes of these meetings have legitimacy within the council’s decision-making structures” (Smith, 2011). However, she cautions that there is no quick bullet, and that public education is needed, therefore Citizens’ Voice is a useful entry point. It does have limitations such as the absence of research and resources in South Africa’s service delivery landscape.

Several lessons learned have been identified by Mvula Trust following the implementation of Citizens’

Voice processes. These include the following:

- Need to ensure political support from stakeholders through consultation
- Expect and avoid conflict (e.g. between CDWs and councillors), through ongoing capacity building and relationship building
- Avoid leadership dominance and ensure wider participation
- Set up user platforms soon after training to keep the momentum going
- Ensure citizen ownership of user platforms, and do not allow them to become public relations platforms

3.3 Village Water Committees

In addition to the Citizen Voice process, Mvula has assisted in creating thousands of Village Water Committees (Munnik and Molose, 2011). Monitoring forms an integral part of the process of planning, implementation and management. Village Water Committees aim to improve the sustainability of water supply, particularly in remote rural areas. To be successful, they need to be recognised and supported by local government and need to form part of the forum and ward committee system at local level.

3.4 Civil Society Organisations (CSO) Regulation Reference Group (CSO RRG)

A further mechanism whereby civil society is involved in monitoring water service delivery is the Civil Society Organisations (CSO) Regulation Reference Group (CSO RRG) (Munnik and Molose, 2011). Mvula has acted as a co-secretariat for the CSO Regulation Reference Group in the last two years. This is a voluntarily structure made up of members from civil society organisations (CSOs) working in

water services regulation. “Issues are aggregated, discussed in preparation for meetings with high ranking officials in DWA, or with the parliamentary portfolio committee for water and environmental affairs. This shows the potential of civil society to monitor issues on a national level, establish and analyse patterns, and feed these into the national political debate” (Munnik and Molose, 2011). Key factors relating to the success of this approach is the extent to which CSOs are aware of what is happening in their areas, funds to meet the costs of communicating and meeting on a national scale, and the level of commitment and receptiveness of DWA and the portfolio committee.

3.5 Community sanitation infrastructure quality control

Mvula Trust is also involved in community sanitation infrastructure projects (building toilets), where community members form part of building teams (Munnik and Molose, 2011). Mvula Trust employs and trains Community Development Facilitators, selected from the community, to mentor the project steering committee, provide feedback from community meetings monitor the quality of the work on infrastructure building and report on health issues. Mvula has developed a quality control system which is used by Community Development Facilitators to inspect the quality of the infrastructure. Munnik maintains that this approach could be extended to provide community quality control on a range of construction projects in communities.

3.6 Citizens’ Report Card

The Citizens’ Report Card (CRC) has been used in several cases

in South Africa. A pilot project to introduce the Citizen Report Card at the Community Level (CRCCL) survey was conducted by the Human Sciences Research Council (HSRC) in conjunction with the World Bank⁷. The CRCCL involves survey research at the local level, the development of information dissemination strategies, empowerment training programs for clients/citizens, and efforts to strengthen two-way municipal-client interactions. The HSRC website indicates that this would foster the open comparison of cost, quality, and performance of municipalities by citizens; establish mechanisms to strengthen two way communication between clients and municipalities; empower citizens with quantitative information on municipal performance that they can use to monitor municipalities’ delivery of core services; and evaluate the impact of the CRCCL on municipal performance in South Africa. Further information on the progress of this project has not been obtained.

The main user of the Citizen Report Card methodology in South Africa appears to be Idasa. Funded by CIDA, and implemented by IDASA, the CRC process is a 5 year project in 50 local municipalities across SA (2009 – 2014), and aims to capture opinions on a wide range of municipal services. Idasa’s website indicates that this tool was chosen as it provides feedback on the quality and adequacy of services by the users which can be used by government, and by civil society to monitor performance and play a watchdog function.

The CRC is a perception survey, requesting people to rate services against standards, where these are available. Although perceptions are subjective, Idasa points out that they

do influence people’s behaviour and therefore need to be taken into account by authorities. Experience of implementing the CRC showed that perceptions are influenced by the quality of governance as well as of service delivery. Questions relating to the quality of governance were therefore added to the CRC.

Information from the CRC has been used to promote dialogue between stakeholders on how to improve governance and service delivery.

The key success of this process is that it provides solid results based on good quantitative research⁸. In addition, it has received critique from government which means that it is taken seriously. Areas of improvement include survey design, particularly the need to brainstorm the formulation and type of questions more carefully in future. Ms Wengold believes that it would be feasible to use this tool for front-line service delivery monitoring, and that it could be implemented by IDASA in conjunction with SALGA.

3.7 Good governance survey (GGS)

The Good governance survey (GGS) was developed by Afesis-Corplan with financial support from Ford Foundation and GTZ, and is endorsed by the Good Governance Learning Network (GGLN). The GGS helps local municipalities take note of areas where they are doing well and areas that need improvement. It also helps district municipalities assess areas where supportive interventions may be required in order to pre-empt unnecessary conflicts with communities, and informs municipalities about residents’ perceptions of service delivery performance in key service areas⁹.

7 http://www.hsrc.ac.za/Research_Project-864.phtml

8 These comments are based on an e-mail response from M Wengold, Idasa, July 2011

The GGS helps municipalities comply with legislation and local government policy requirements regarding governance and periodic reviews of 'customer satisfaction'. It equally gives the public an opportunity to participate directly in relaying their views to the municipalities. Municipalities that have participated in this process to date include the Cacadu District Municipality (all 9 local municipalities), Nkangala District Municipality in Mpumalanga (all 6 local municipalities) and Ehlanzeni District Municipalities, Mpumalanga (all 5 local municipalities).

3.8 Ward Key Performance Indicators (WKPI)

The Ward Key Performance Indicators (WKPI) Matrix is a performance-monitoring instrument designed for use by ward committees or similar civil society organs to hold their councils accountable for performance affecting their neighbourhood or ward. It is also aimed at providing municipalities with a reliable and structured form of feedback on municipal performance, which is essential for performance review and management. The instrument contains twenty indicators and nine key performance areas that draw upon all the elements of good governance such as accountability, transparency and interface with the public. Indicators in the matrix also relate to implementation of integrated development plans and delivery of services such as water, electricity, refuse removal and proper sanitation. Previous pilots of the instruments have revealed a need for greater support and cooperation from municipalities to ward committees utilising the WKPI Matrix¹⁰.

Planact uses this model in their local governance programme looking at service delivery at municipal level¹¹. This is done with CBOs in Orlando East and Noordgesig, Soweto. In this process, they have tried to organise the community in a different way, expanding the public participation process, creating Community Development Committees (CDCs). Ward councillors invited them to do this as they were concerned public participation was so low, and that public meetings became party political meetings. Mr Makwela believes that the process has been very successful. The CDC is responsible for deepening public participation and engaging with the City around the IDP, urban development framework etc.

“It is also aimed at providing municipalities with a reliable and structured form of feedback on municipal performance, which is essential for performance review and management.”

A co-ordinating committee has been set up at area level, across 3 wards. A declaration has been signed by people concerned, including councillors. This relates to the Urban Development Framework (UDF), and has been done with JDA and the City of Johannesburg to address the framework of the area, which has been submitted to the municipality. An indication is now given by the municipality that in 5 years' time they will commit the budget necessary for specific items, therefore the

community knows how to measure progress and performance based on the framework developed. They know what the budget should be and what needs to be accomplished, which is measured by the CDC. Two City of Johannesburg officials sit as ex officio members of CDC.

Structurally, information extends from the CDC to the block level. The process includes political organisations. Meetings are held once a month. These are short business meetings to report on progress and identify problems. A standing item is community events, where information is shared on what is happening in the area, e.g. from electricity cut offs, to increased knowledge of events such as mayoral imbizo. Planact plays a secretarial role, and the chair of meeting rotates, which defuses political tensions. The two junior City of Johannesburg officials play a very important role.

According to Mike Makwela, the process is working well and facilitates more effective participation in the IDP processes. The CDC is taken through the IDP, and inputs are prepared, officials are quite supportive and councillors play an ex officio role. In Noordgesig the civic structure is weak and more work is needed. They have started again with a new civic and new councillor to organise at local level and establish block committees.

A similar structure is to be launched in Cosmo City on 20th August. Protea South is also interested. In Cosmo City the IEC will assist with elections. There is a range of political parties who will share the posts among them. The IEC is interested in participating to learn.

9 E-mail response from Gugu Nuba Mgwebi, and Ronald Eglin Afesis-Corplan, June 2011

10 E-mail response from Gugu Nuba Mgwebi, and Ronald Eglin Afesis-Corplan, June 2011

11 Interview with Mike Makwela, Planact, July 2011

The process is currently donor-funded, by the Ford Foundation. However, they would like the City to fund the process as it is very expensive.

3.9 Community Action Planning (CAP)

The Project Preparation Trust (PPT) is engaged in participative community action planning in various informal settlement communities. This creates a platform for a mode of engagement which is different, and is usually low budget (e.g. in eThekweni, community action plans in several communities are being facilitated by PPT at a cost of about R35 000 each¹²). The plans often dovetail with interim services delivery or full upgrading but also focus on a range of additional livelihoods and serviced issues (e.g. home based care, informal enterprise, fire control measures etc). The plans are practical in nature and also serve to educate / capacitate community members and enable them to monitor developmental progress.

According to Mark Misselhorn of PPT, participative community action planning is a particular response which provides information about what is important and what opportunities there are in an area. In order to restructure the city, it is necessary to have both community action plans and spatial plans. The urban fabric would be divided into precincts that are cohesive, functional planning units. These should have a masterplan with a prioritised road hierarchy and also identifying other key elements such as activity nodes. At community level, planning therefore should include both community action plans and the more technical spatial plans, all of

which need to refer to the relevant planning processes such as the IDP. In the context of planning housing and infrastructure delivery, PPT has found the use of GANTT charts useful in educating community leaders around the phases of planning and construction and the actual timeframes (e.g. for infrastructure and housing delivery which are typically drastically under-estimated). According to Misselhorn this is usually the first time community leaders have been given this information. In one case, community leadership indicated that progress against GANTT milestones (e.g. completed feasibility, submission of housing subsidy application, EIA ROD etc) was an important community deliverable (even though it was not the actual delivery of housing and services). Leadership indicated its intention to display a GANTT chart within the community to show progress, ticking off each phase and ensuring deliverables are met.

Participative community action planning is therefore also a process of capacitating civil society. Participative planning where communities play an active role in decision making and problem solving is also the 'normal' way community participation occurs in developing countries world-wide (Misselhorn interview, August, 2011). Community action planning in conjunction with the technical, spatial plans is "scalable, and works" (Misselhorn interview, August, 2011).

Several issues need to be considered for successful community action planning:

- Skilled, professional facilitators are essential. In order for such an approach to be implemented

across the country, increased facilitator capacity is needed in civil society, private sector, and possibly government.

- Community action planning should not be conducted by ward development committees nor chaired by ward councillors.
- Smaller groups increase inclusion. Meaningful participation, particularly of minority interests cannot occur in large, mass meetings, and large groups must be broken down into smaller groups (usually focussing on specific themes or issues).
- In areas of 'political heat' NGOs are best placed to manage the process, as they can demonstrate a history of a pro-poor approach and establish trust with all parties quicker than other groups such as consultants. However, Misselhorn believes that it would be possible for consultants to manage such a process in many situations, and that this is likely to be necessary given capacity constraints and the shortage of appropriately skilled facilitators.
- Lack of political capacity is a often major constraint to participation (e.g. councillors unaware of actual timeframes for housing delivery and lacking adequate facilitative skills).
- It is essential to have buy-in of all parties involved (e.g. community leadership, ward councillor, key City officials in relevant departments).
- Like Makwela from Planact, Misselhorn does not see government funding of such an initiative as a problem, and believes that, if government did fund such a process it would be more likely to take it more seriously than if it is donor funded.
- There is an urgent need for better

12 It is emphasised that this does not include the broader and more intensive professional planning and design work required for infrastructural services, or housing.

co-ordination of different funding government funding streams and a new, more flexible grant which would address a basket of more livelihood oriented initiatives at community level.

- A problem in implementing such an approach in some areas of eThekweni has been a lack of meaningful follow up by the City on action plans. Effective municipal capacity, co-ordination and feedback mechanisms need to be in place.

Key issues around CAP are, therefore, that it provides a relatively low budget, scalable mechanism for community planning and monitoring. However, this requires increased capacity of all parties involved, state commitment and capacity to respond and engage with plans, and both funding and coordination of funding.

3.10 Civil Society Action Group (CSAG)

Civil Society Action Groups (CSAG) aim to mobilize stakeholders from among the local communities to form action groups that will help them engage with their councils from an informed position and follow-up on cases of impropriety in order to ensure proper financial management and stave-off corrupt practices¹³. The tool is the legislative framework guiding local citizens to monitor municipal finances. The first phase was rolled out in Ndlambe and Kouga municipalities. Afesis-corplan rolled out the second pilot in Makana and Lukhanji municipalities, and is currently operating in Amahlathi, Great Kei, Buffalo City and Nkonkobe municipalities. These tools are all about improving the accountability of government to communities. In this way municipalities are more responsive to needs of communities.

3.11 Development Action Group

The Development Action Group does not present a model or specific approach, believing that each community or process requires its own unique approach. It is therefore important to recognize that different outcomes require different processes of engaging the different stakeholders in supporting delivery. DAG conducts reviews of departmental reports, particularly the Department of Human Settlements at provincial level, national level and city level¹⁴. They review what departments have identified as their goals for the year and the outcome of the year, by participating on government platforms, engaging with community partners and a range of stakeholders to determine how they have benefitted or have felt the impact of government programs. Written submission is then made by DAG to the departments, and other departments are encouraged to comment. DAG also comments on policy reviews and encourages community organisations to make submissions or comment. This information is used to make media comments to inform DAG's research articles and organization programme. In addition, DAG hosts seminars and Horizontal Learning Platforms (HLP) where different stakeholders sit together to identify what the gaps, shortcomings and successes are of developments that government initiates. This brings together different community leaders in workshops. The results are disseminated through the website, presentations, annual reports letters, newspaper articles and discussions. According to DAG, this monitoring has resulted in an improvement especially around the quantity of houses for the community members and also access to basic service

delivery. In most cases community leaders are aware where to access certain services through their convenience in the platforms created for communities. In other cases, DAG's input has resulted in the re-evaluation of some policies and implementation guidelines, such as PHP.

One of the successes has been the development of the citizenry through focused attention on government policy and implementation projects. Research and case studies are developed in a participatory way with the community. Active citizenship means communities and community leaders together with DAG are able to analyze and reflect on the successes and weaknesses of implementation programs and projects, resulting in a clear understanding of the development, cost of development, development time frames, the technical capacity that is needed to implement programs, and the social management elements of programs. Communities are then better able to comment critically on the success or failures of the program. Another success is the way DAG conveys the lesson and the challenges to government and communities, which enables debate, discussion and understanding and not an adversarial relationship with different stakeholders. Lessons and findings are based on informed research and substantive information.

Difficulties include maintaining a consistent focus on the issues in the face of differing expectations from stakeholders, difficulties getting key decision makers (those with power in government and communities) to use the lessons to improve practice and implementation. Efforts have been made to overcome these

13 E-mail response from Gugu Nuba Mgwebi, and Ronald Eglin Afesis-Corplan

14 E-mail response from DAG

through training although funding for this is a problem. It has also been difficult to develop solidarity among communities. Ward councillors need to be much more engaged at local level in a participatory way.

In order to ensure the success of such an approach, there needs to be greater attention given to the facilitation process and delivery processes. Government also needs to put more effort into planning workshops and ensure government funding is transparent.

3.12 Community-based Management (CBM)

Khanya-aicdd uses Community-based management (CBM) to monitor services in six municipalities, by obtaining the views of citizens (e.g. Tshwane). This seems to have been used mainly in the planning and design stages.

3.13 Meraka Institute/CSIR

The Meraka Institute of the CSIR has developed several technology-based tools which are either used for service delivery monitoring or could be adapted to do this. For example, the inTouch system has extensive service delivery monitoring (data capturing, reporting and analysis capabilities) and has been used as such by the RED Door Network in the Western Cape (for 7 years), the Business Place Network (4 years) and the National Development Agency (3 years) to monitor specifically SMME Development but it has been designed to do broad-based service delivery monitoring as well¹⁵. The Lwazi project is currently being used by the Department of Basic Education to monitor the school nutrition programme¹⁶. These are both outlined below.

Information extracted from the website indicates that “inTouch Africa is a software system that enables the decentralized creation, maintenance, distribution and presentation of trading (detail on individuals and institutions) as well as catalogue type (promotional) information that enhances the supplier/customer interaction in a supply chain. Unlike Web-based systems, inTouch Africa stores information at the point of use. The implied benefit for users is that the cost associated with retrieving information is dramatically reduced. In addition, the use of multimedia is no longer restricted by bandwidth limitations. In an African context, the benefits of such a system speak for itself. Web-based users are not, however, excluded from the information, since the system presents information on the Web as well. Information is created and maintained as close as possible to the source. The system replicates information automatically, updating information at the various access points. Its ability to update changes only, instead of transferring bulky sets of complete data, further contributes to its cost-effectiveness. In short, all the benefits of access to information and the ability to exchange information are exploited without the restriction imposed by lack of bandwidth”



The inTouch ‘toolbox’ focuses on enhancing the various components of service delivery in “walk-in” support facilities

and satellite centres supporting entrepreneurs and citizens in the so-called ‘second economy’. Two broad categories of services are being delivered to the target

audience, Business Support services and Technical Support services. The delivery of these services, from a strategic level, is made more effective by the deployment of Resource and Coordination Facilities (“Pump Station” Centres) that are deployed at provincial or district level. The “walk-in support” centres also facilitate the interaction between citizens (“prospective participants” in the economy), CBOs, SMMEs and the marketplace through the rendering of (a) Promotional Support services and (b) Transactional (including logistical) Support services. The inTouch supported functions in the ‘call-out boxes’ above are Case management, Contact management, Content (enabling and promotional) management, Knowledge management, Voucher management and e-commerce and logistics.

“The Lwazi project is currently being used by the Department of Basic Education to monitor the school nutrition programme.”

inTouch has been used in several projects. These include the RED Door Centres (Real Enterprise Development), an initiative of the Provincial Government of the Western Cape in South Africa. A network of 14 RED Door Centres has been established over a period of 3 years. These one-stop information, advice and service centres are easy-to-access one-stop-shop hubs which supports enterprises and potential enterprises. They are ‘powered’ by our inTouch Africa® System. The Botswana Technology Centre

15 E-mail correspondence from Johann Van Rensburg, Meraka Institute, July 2011

16 E-mail correspondence, Kobus Roux, Meraka Institute, July 2011

(BOTEC) is deployed in Touch Africa to provide an integrated solution for the Community User Information System (CUIS) project. This project provides three villages in Botswana namely Letlhakeng in Kweneng West, Hukuntsi in Kgalagadi and Gumare in West Ngamiland with information centers, linked to a Central Information Server (CIS) located in Gaborone, Botswana. CUIS is a pilot information communication system aimed at enabling rural and remote area communities to gain access to integrated on-line information on services provided by government ministries and departments, non-governmental organizations and the private sector. These centres were partially 'powered' by our inTouch Africa System.

The Lwazi project is a telephone-based, speech-driven information system which will allow easy access to government information and services to all South Africans and will showcase the potential of human language technologies (HLTs) in South Africa¹⁷. This was commissioned by the Department of Arts and Culture to provide South Africans with access to government information and services in any of the 11 official languages, using a landline or mobile telephone, free of charge. The Lwazi service was developed by the Human Language Technology (HLT) Research Group of the Meraka Institute of the CSIR.

The three main areas of research for the Lwazi project are:

- *Application selection and human factors*
In order for the Lwazi project to make an impact on the lives of South Africans, a service domain (e.g. Health, Education or Labour) and a specific application (e.g. an

Automated Health Hotline or Bus Schedules) had to be selected based on an extensive survey of the information needs of the target audience. Once the application had been selected, the design had to take into account important human factors, such as the language and culture of the target group.

- *Scientific and technical outputs development*

The Lwazi information system showcases outstanding scientific and technical innovations, especially the creation of robust speech recognition (ASR) and text-to-speech (TTS) systems for all 11 official languages of South Africa. The integration of these language technologies into a telephony platform allows individuals to interact with the system by voice over a standard telephone line.

- *Electronic linguistic resource collection*

The Lwazi project, and future speech-based applications in South Africa, depends on the creation of extensive electronic linguistic resources both to generate and recognize speech. For each South African language, a pronunciation dictionary, an ASR corpus, and a TTS corpus is generated. An electronic repository enables the sharing of these valuable resources with the larger HLT research and development community.

3.14 Dashboard/Southern Hemisphere

Dashboard used cell phone based technology, using a combination of automated telephonic interviewing system, e-mail, online surveys and

mobile web tools, which are surveys with live reports on web¹⁸.

Two main tools are available:

- ATI (Automatic telephonic interviewing), used to evaluate customer service delivery for Eskom since 2004. To date over 200 000 interviews in 7 languages have been conducted with this tool, which is more accurate than traditional telephonic research, and much more cost-effective.
- SMS 2 web. This is a system that captures sms data, verifies it and reports it live on a website.

ATI is used to evaluate the service that Eskom delivers to its customers. Once a customer has contacted Eskom, they are captured onto a database received weekly. From this, a proper statistical sample of customers to interview is drawn. Those selected in the sample are sent an sms and phoned, using ATI, to rate their service experience. They use their phones to answer the questions, and any comments they have are captured by recording their remarks, which are supplied to Eskom, together with a detailed monthly quantitative report. Eskom has 7 call centres nationally, and ratings are made for each call centre to ensure a proper evaluation. ATI has also been used for MTN and Sanlam. The sms tool has been deployed for NGOs who wish to track their activities.

Dashboard has recently completed a study for Cape Town City Council to evaluate the customer satisfaction regarding water and sanitation services. For this project, cell phones were used as mobile data collection units, where a sample of 1 000 people were interviewed on a face-to-face basis. This kind of system has

¹⁷ Information for this section is extracted from the website: <http://www.meraka.org.za/lwazi/>

¹⁸ This section based on e-mail interview with Peter Searll of Dashboard

the added advantages of being able to record the GPS location (which can then be mapped), and enables more in-depth data collection.

Because fieldworkers are used to collect this data, the downside is increased cost. This provided CTCC with clear direction of what aspects were of concern and what is needed to remedy the situation.

An advantage of this approach is that it provides the lowest cost to reach large samples. Because the process is automated, we ensure that the interview is the same every time. This gives reliable measurement and eliminates data capture errors. The systems enable fast turn-around as the data is available as soon as the interview is completed. People can be interviewed in any language and experience shows high response rates with this approach.

For ATI it is necessary to have a list of cell phone numbers. However, many municipalities (and other organisations) have lists from which samples can be drawn.

Ideally tools such as this should

“Three South African case studies using Mobenzi research are provided on the Mobenzi website.”

www.mobenzi.com

be platform independent, meaning that people should be able to communicate using voice, sms, USSD or mobile internet, depending on their handset and ability to use them. Optimal data collection may vary for each specific application

or type of information required.

There is not a one size fits all solution, according to Peter Searll of Dashborad. The ideal approach is to design the overall system holistically, to ensure that the desired information can be gathered, stored, analysed, reported and put to use in the way it is intended.

3.15 Mobenzi¹⁹

Three South African case studies using Mobenzi research are provided on the Mobenzi website²⁰. The first is the Medical Research Council’s Good Start III (“Saving Newborn Lives”) in KwaZulu-Natal. Mobenzi Researcher was used to collect the baseline data on 25,000 households. Community Health Workers could use their entry level handsets to complete surveys about each participant visit. The Good Start Management Console (GSMC) leverages information from a variety of sources, including data captured on mobile phones to schedule, track, monitor and coordinate the operational activities necessary to fulfil the project mandate. In the second case study, Philani Mentor Mothers Project, in the Western Cape, using Mobenzi Researcher API, a dedicated web management console was developed to assist in the storage of research data, and detailed tracking of interactions of Mentor Mothers with pregnant mothers. Each Mentor Mother is equipped with an entry-level mobile phone. At each visit, a simple survey is completed, where the amount of contact time spent with the mother and topics discussed are captured. This information is processed by the Philani console to provide real-time information on mothers requiring additional attention and to ensure

an accurate assessment of whether the intervention programme is effective can be made once research outcomes are evaluated. By allowing Mentor Mothers to capture data in the field and have activity logged, interpreted and graphically displayed, supervisors are able to assess progress at a glance. Critically, the study demonstrates that - should the intervention programme prove to be effective in its objectives - it has the ability to scale. This would not be possible without the use of mobile technology to automate the logistical planning required to facilitate widespread roll-out.

The third South African case study is Mobile-assisted Self-interviewing: A Mobile Alternative to ACASI, KZN²¹. CASI (Computer-assisted Self-interviewing) and ACASI (Audio Computer-assisted Self-interviewing) are research techniques which improve the likelihood of respondents participating openly and honestly on sensitive topics compared to using field workers to collect data. WhizzKids United used a school facilitator and Mobenzi Researcher to conduct surveys with hundreds of learners in one of the first examples of MASI - Mobile-assisted Self-interviewing. WhizzKids United needed a mobile version of ACASI to undertake a baseline survey of primary and secondary students in Edendale schools. A solution leveraging “appropriate technology” was defined whereby a facilitator moves from one school to another with a consignment of entry level Nokia handsets which are handed out to students. Each handset has Mobenzi Researcher installed which steps the students through the survey while the fieldworker reads the questions

19 www.mobenzi.com

20 For further details see www.mmobenzi.com

21 www.mobenzi.com

out and answers any questions the students may have. Students may select English or Zulu depending on their personal preference. During the study, over 850 students used Mobenzi Researcher to perform self-interviews, in their own classrooms, while under the supervision of a facilitator²².

3.16 Other organisations/tools used in South Africa

Several other organisations are involved or could be involved in community based monitoring of service delivery in South Africa and are briefly outlined here.

3.16.1 Hellopeter

Hellopeter has been used to provide feedback on local services e.g. Tshwane.

3.16.2 UNICEF

UNICEF's work in SA is at strategic level and not much on service delivery front. Where UNICEF has greater involvement in supporting service delivery, there are tools mainly to meet internal due diligence requirements, used by individual staff members in the field for monitoring or jointly with implementers for assurance purposes.

3.16.3 Health Systems Trust

According to the Health System Trust's website, the District Health Barometer (DHB) contributes to improved quality and access to primary health care through monitoring important aspects of the health system at district level. The DHB allows analysis of a carefully selected range of health indicators, from which comparisons between and among districts (across provinces) can be made, and

facilitates identification of areas of poor quality requiring appropriate corrective measures. It is linked to district, provincial and national strategic plans in that it measures similar indicators, but still functions as an independent 'watchdog' to provide input and pinpoint where there are serious gaps or performance issues.

The goals of the DHB are to improve the quality and transparency of health systems information in South Africa, to house an authoritative and accurate database of key health and health-related indicators and to produce an annual publication of health sector performance data covering several years, therefore enabling ongoing monitoring and evaluation.

The DHB provides a carefully selected set of health and socio-economic indicators to aid decision making in the health sector. Successes have been increased focus and attention on the importance of the District Health Information System and the quality of its data, which needs ongoing maintenance, quality control and validation in order for it to be useful. There is need for leadership and commitment from national level for this.

3.16.4 Treatment Action campaign/ International Budget Project Treatment Action Campaign and the Center for Economic Governance and Aids in Africa

The TAC conducts a social audit of HIV/AIDS delivery.

3.16.5 Public Service Accountability Monitor (PSAM)

The PSAM, based at Rhodes University, monitors public services in terms of planning and resource

allocation, expenditure management, performance management, public integrity, and oversight. Currently PSAM does not monitor services at community level, but is planning to do so. They examine certain aspects of local delivery (such as housing, school nutrition programmes or ARV/ TB treatment integration).

3.16.6 City of Tshwane

The Consultative Citizen Report Card (CCRC) was used in Tshwane to provide feedback on the performance of public services. It consisted of two components, i) citizen feedback on qualitative and quantitative dimensions of public service, and ii) independent assessment of facilities/ services by survey personnel.

3.16.7 Alfred Nzo district municipality

In Alfred Nzo district municipality Village water schemes have been implemented. Service Support Agents used CBOs to fulfil operations and maintenance tasks including some reporting, compiled into monthly reported submitted to municipality. Summary sheets identify when service is not acceptable. This is funded by municipality therefore may not be regarded as not truly managed by civil society or the community.

3.16.8 Mobile instant messaging automated reporting

Mobile instant messaging uses automated reporting use Mobi4D platform's mobile instant messaging component and MXIt. It is a voice-based automated reporting service. This seems to be more of a complaints system, to complain about service delivery rather than to monitor performance and aggregate results for change.

3.16.9 Surplus People's Project (SPP)

SPP does not have an actual monitoring tool, and is more focused on advocacy, but would like some mechanism to become sharper and more focused, in terms of more critical monitoring.

3.16.10 Association for Rural Advancement (AFRA)

AFRA is a land rights organisation therefore interested in land related matters.

There is currently no quantitative tool for monitoring across the land sector. Discussion therefore focused on the possibility of developing a tool across the land sector as staff interviewed felt that there is a degree of monitoring needed in their sector. In the past, evictions monitoring was done but this is no longer the case. Now, when people lodge a land claim, there is a process that should be followed and could be monitored. For example, in Greytown, a court decision was not implemented which has an impact which can be measured, and would be useful to civil society.

AFRA's current monitoring is monitoring to act, e.g. in instances with labour or a tenant where the department has not acted, they take them to court. Human rights abuse and evictions is their focus. Problems with the land restitution process are taken to the land claims court. If it is successful the owner is compensated, which involves a range of agreements. It would be

possible and useful to measure the number of claims lodged and the number resolved. Afra has specific communities where they work. The total number of cases is not huge but there are a lot of people involved in each.

Related organisations include the Surplus People's Project SPP (W Cape). The National Land Committee (NLC) used to consist of about 9 organisations, but is now only six. Tshintsha Amakhaya is funded by NLC and the Legal Resources Centre and consists of 10 NGOs, most of which were in the NLC. Each organisation has selected one target geographic area. According to AFRA staff, monitoring is not currently on their agenda but could probably be added to it.

Resolution of cases can take 10 – 12 years. Transport costs to get to Land Affairs are high, and people are then moved from pillar to post. According to AFRA staff interviewed, even letters sent by AFRA are not acknowledged after months. In some cases, members of action committees in communities fear for their lives as they have to go back to the community and report no progress, and people do not believe them. Developing a mechanism to monitor and report on this might promote more effective service delivery, according to AFRA staff. As one pointed out, monitoring the land sector involves less variables than straight forward service delivery.

3.16.11 Social networking platforms

For South Africa technology holds the promise for front-line service delivery monitoring²³. A mobile-based system could be developed that is useable by people who have low technical literacy and low-end mobile phones. What could be created is a mobi-site (website that is modified for easy use on a cellphone) which has a menu of various Government services, and a survey for each of them, which allows users to input information on details such as province/municipality. It would have perhaps 13/14 questions in total per "service area" but it would also have a space where people can submit longer feedback and a space where Government provides regular updates and feedback on improving service delivery. The cost of designing this may be high but once set up is simple as the data from each survey is automatically collected and can generate a spreadsheet. This could be attached to a specific social networking platform. It should be accessible at little cost to anyone and less mobile-savvy people who find social networks intimidating. However social networks like Facebook and Twitter and traditional media could be used to support this feedback platform. A mobi-site survey is also fairly anonymous because people wouldn't have to fill in personal details and it would be very hard to trace who they are.

4 Proposals for community involvement in a GWM&E approach

Experience of community-based monitoring thus far has shown several key factors that need to be considered. Key to open and proactive accountability are political will, partnerships between civil society and government, a combination of tools and approaches, and hard work, perseverance and commitment by all parties.

These factors have been identified by Munnik and Molose (2011), and by SACN/TTRI (2011), and have been consolidated and outlined here in order to frame the discussion around developing community-based monitoring tools for service delivery in South Africa.

• *Political will and recognition*

Both government leaders and community leaders need to have the will and commitment to the process. "Once political support has been gained, social accountability initiatives gain the necessary legitimacy and support from other government institutions to ensure they are implemented and achieve successes" (SACN/TTRI, 2011). The right or mandate of citizens to monitor must be acknowledged and recognised by local government (Munnik and Molose, 2011).

When issues are beyond the capacity at local level, the system surrounding the citizens' monitoring needs to be able to respond (Munnik and Molose, 2011).

• *Capacity building*

SACN/TTRI highlights the need for leadership capacity (at community and government level) in social accountability initiatives which has also been mentioned as a key issue in most cases investigated for this project. CSOs need to be educated on an ongoing basis on how to participate meaningfully in monitoring. Government officials and politicians also need to see such accountability processes as playing an integral role in promoting good governance and accountability (SACN/TTRI, 2011).

Ongoing capacity building is needed. This should combine local knowledge and surveillance with an understanding of the system into which the monitoring fits (Munnik and Molose, 2011).

• *Support to civil society organisations*

A system of reward and support needs to be considered in order to ensure civil society is able to participate effectively (e.g. in terms of transport, communications etc) (Munnik and Molose, 2011).

"Support for citizens' monitoring requires a broader commitment and policy and financial support to civil society, as it is the active citizens in civil society who contribute their time, resources and commitment to working in the public interest when they contribute to monitoring" (Munnik and Molose, 2011).

• *Relationship-related issues are important*

- *Inclusive approach:*
An inclusive and representative approach must be encouraged, ensuring that previously disadvantaged citizens are enabled to play a strong role (Munnik and Molose, 2011).
- *Partnerships are important:*
Partnerships between CSOs, with government and donors prove important. If social accountability initiatives are conducted alone, they achieve little in terms of sustained improvement to service delivery and performance (SACN/TTRI, 2011).
- *Build bridges between the government and civil society actors*
Social accountability is usually political and involves "changing mindsets and building relationships" (SACN/TTRI, 2011).
- *Promote greater access to information through mutual trust*
In some cases, the development of mutual trust through building partnerships has led to a sharing of information at local level and in the public domain (SACN/TTRI, 2011).

• *Visible use of results*

The results of citizen-based monitoring must be used by government and shown to make a difference, otherwise the motivation for doing this will disappear (Munnik and Molose, 2011).

- *Using a variety of social accountability methods is recommended*

Successful social accountability initiatives reported by SACN/TTRI used a variety of approaches. The “best social accountability initiatives seem to combine soft and tough instruments” (SACN/TTRI, 2011). It was also found that a combination of incentives and sanctions proved effective in improving performance.

The Workshop discussions of the 29th August 2011 are intended to form the basis for an exploration of the feasibility of an appropriate approach for independent community-based monitoring and accountability in South Africa.

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Eglin, Ronald Acting Programme Manager, Afesis-Corplan, E-mail correspondence

Heustice, Debbie, University of Kwa-Zulu Natal, Durban, E-mail correspondence

Hulbert, Stephen AFRA (with Thabo Manyati, and Musa Zakwe), Personal interview

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Makwela, Mike, Planact, Personal interview, 29th July, 2011

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Milford, Herschelle, Director, Surplus People's Project, E-mail correspondence

Misselhorn, Mark Chief Executive Officer, Project Preparation Trust of KZN, Personal interview, 5th August, 2011

Paulus, Elroy, Advocacy Programme Manager, Black Sash, (with Gouwah Samuels) E-mail correspondence and telephonic interview

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