Interrogating Social Accountability Systems in Tanzania

Experiences from the

Policy Forum / PSAM Partnership

Social Accountability Practitioners' Conference
27-29 August 2013

at Whitesands Hotel, Dar es Salaam
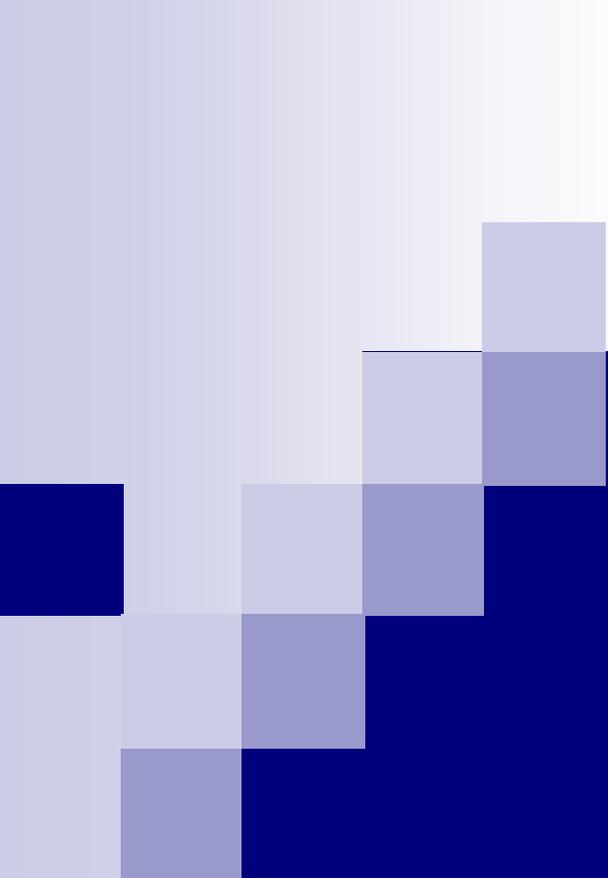
What is social accountability anyway?

What is Social Accountability?

- **In Law:** The measures that are made by an organisation **to be aware of concerns to the community** surrounding it. It is reflected in a commitment to health and safety, civil and human rights and betterment of the community
Law Dictionary: http://th: elawdictionary.org/social-accountability/#ixzz2ct5y8ypS

- **In Medicine:** the obligation to direct …education, research and service of activities (in medical schools) towards **addressing the priority health concerns of the community**, region and/or nation that they have a mandate to serve. The priority health **concerns are to be identified jointly** by governments, health care organizations, health professionals and public."
WHO: http://whqlibdoc.who.int/hq/1995/WHO_HRH_95.7.pdf.

What is Social Accountability?

World Bank:

- an approach toward building accountability that **relies on civic engagement**, i.e., in which it is ordinary citizens and/or civil society organizations that participate directly or indirectly in exacting accountability.

- a broad range of actions and mechanisms that citizens, communities, independent media and civil society organizations can use **to hold public officials and public servants accountable**.

What is Social Accountability

Affiliated Network for Social Accountability (ANSA):

- The broad range of actions and mechanisms, **beyond voting**, that citizens can take to help the government be more effective and accountable.

- It also **includes actions on the part of government**, civil society, media, and other societal actors that promote or facilitate these efforts.

- Social accountability approaches serve to **empower citizens** and contribute to the evolution of inclusive and cohesive democratic institutions.

ANSA-EAP, 'The Evolving Meaning of Social Accountability in Cambodia' (2010)
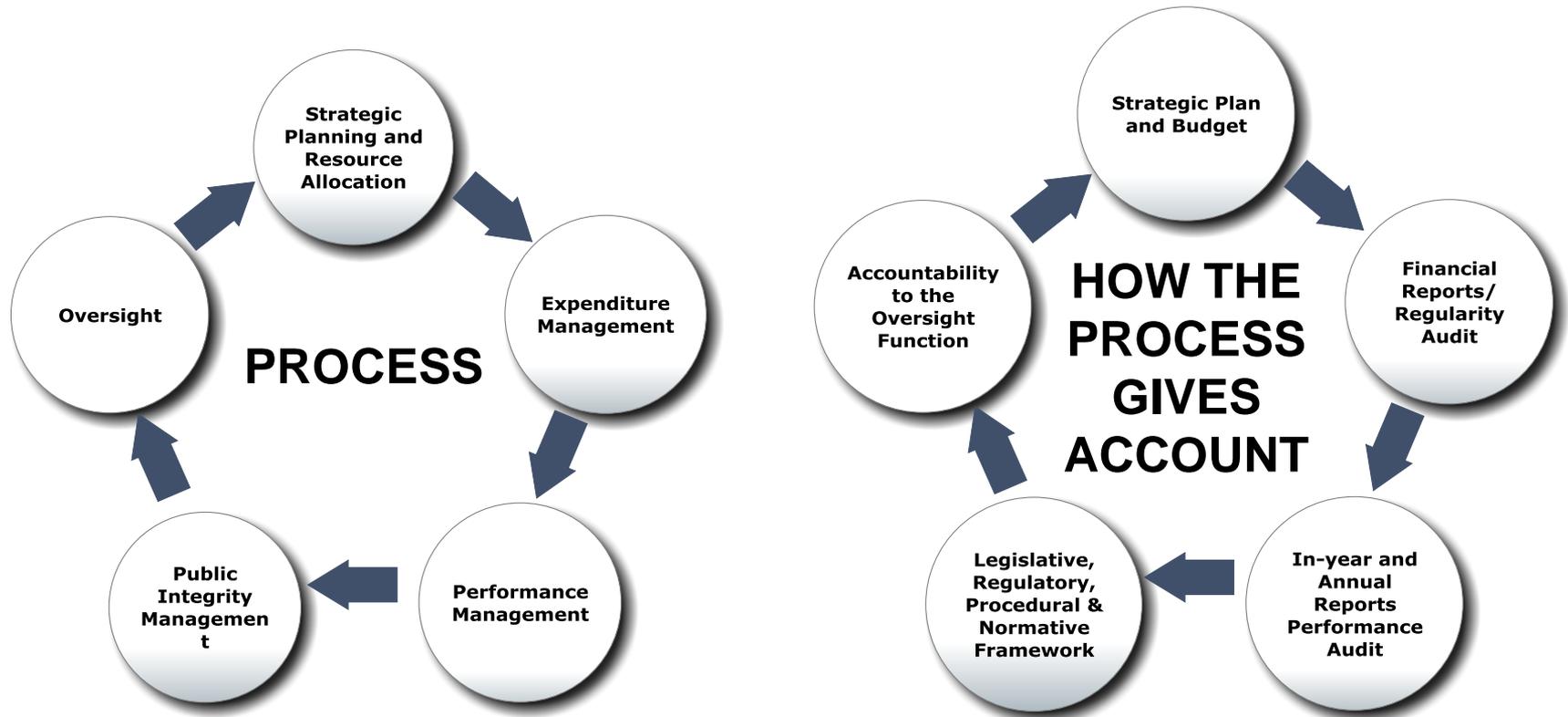
What is Social Accountability?

- **Accounting:** Social Accountability can be defined as 'the duty to provide an account or reckoning of those actions for which one is held responsible. Thus, accountability involves two responsibilities or duties: **the responsibility to undertake certain actions** (or forbear from taking action) and the **responsibility to provide an account of those actions**' (Rob Gray, 1996, Accounting & Accountability).

PSAM approach – what the state must deliver.

- Citizens are not passive users of public services; they are active holders of fundamental rights

- BUT, A right is something that we deserve rather than something we actually have.
    - Having a right is not the same as having access to that right.
    - Eg. The right to health versus access to health care.

- In order to be realised, a 'right' – or *what citizens deserve* must become a 'capability' – *what they are actually able to be or do (Sen 2005).*

- For socioeconomic rights, this is done through the delivery of services that address a set of basic human needs which is a primary role of government.

PSAM approach

PROCESS

- Strategic Planning and Resource Allocation
- Expenditure Management
- Performance Management
- Public Integrity Management
- Oversight

HOW THE PROCESS GIVES ACCOUNT

- Strategic Plan and Budget
- Financial Reports/ Regularity Audit
- In-year and Annual Reports Performance Audit
- Legislative, Regulatory, Procedural & Normative Framework
- Accountability to the Oversight Function

How the state gives account

Article 2 of ICESCR (ratified in TZ on 11/6/1976) commits states to:

- Progressive realisation of economic social and cultural rights
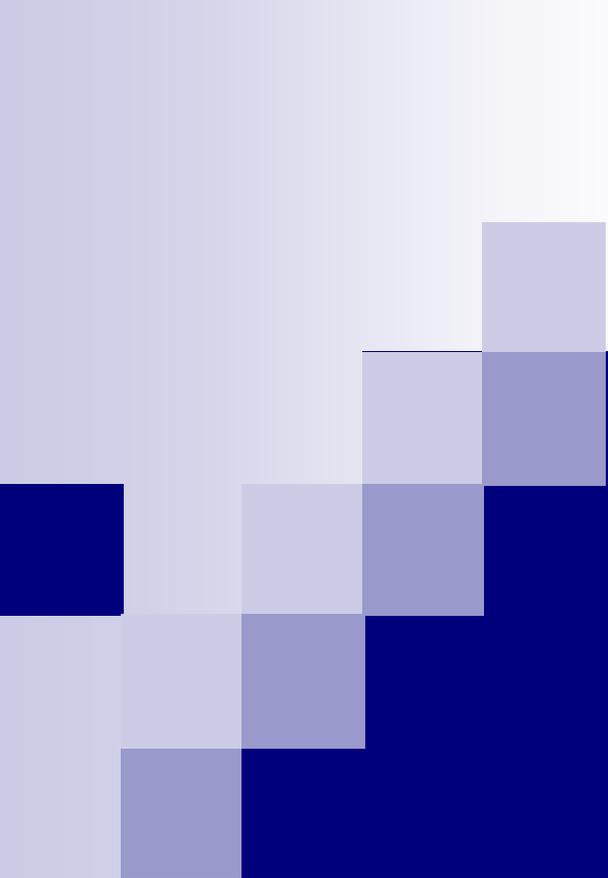- To the maximum of available resources

The **right to social accountability** asserts:

a) that every state (*as duty bearer*) is obliged to:

- **justify and explain** its decisions and actions in this regard to its citizens as a matter of course and this should be done in the core documentation produced through each of the 5 processes and made available to the public

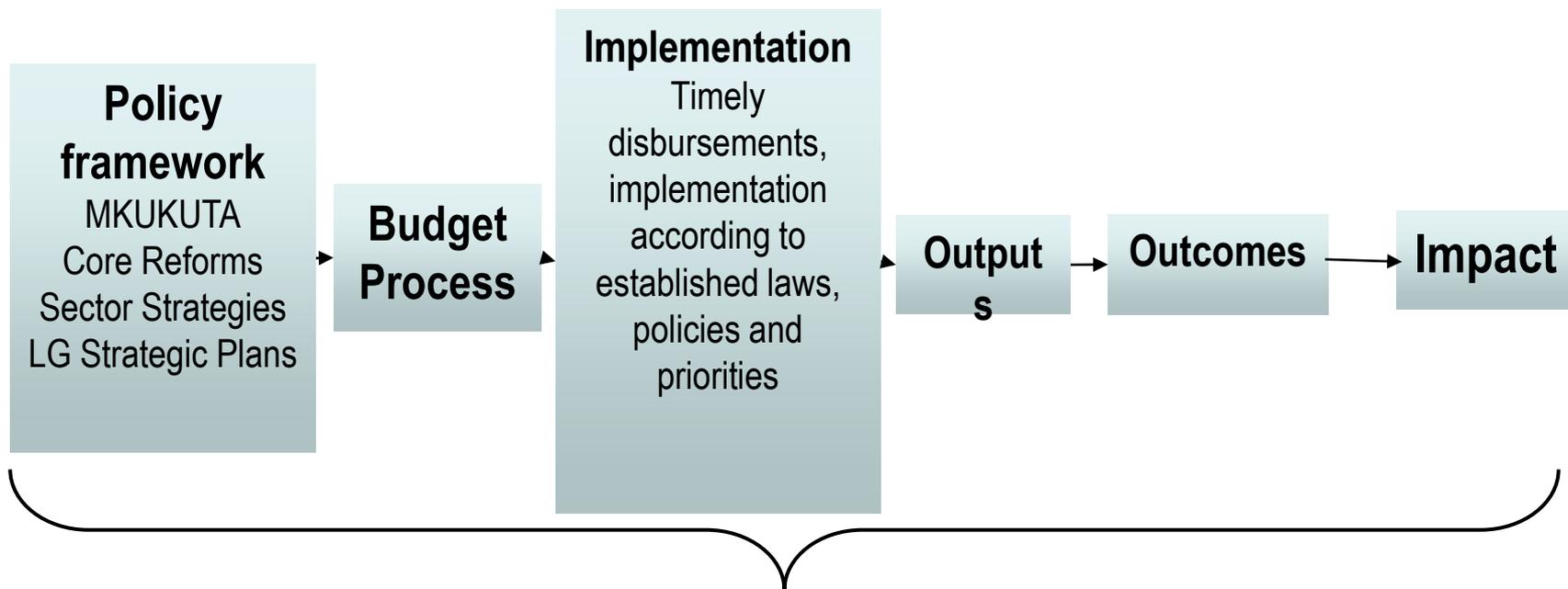- to take timely **corrective action** where weaknesses are identified.

b) that all citizens (*as rights holders*) have the right to:

- demand these **justifications and explanations** and **corrective action** from the state when it fails to provide them adequately.

Why this partnership?

The ideal situation …

Policy framework
MKUKUTA
Core Reforms
Sector Strategies
LG Strategic Plans

Budget Process

Implementation
Timely disbursements, implementation according to established laws, policies and priorities

Outputs

Outcomes

Impact

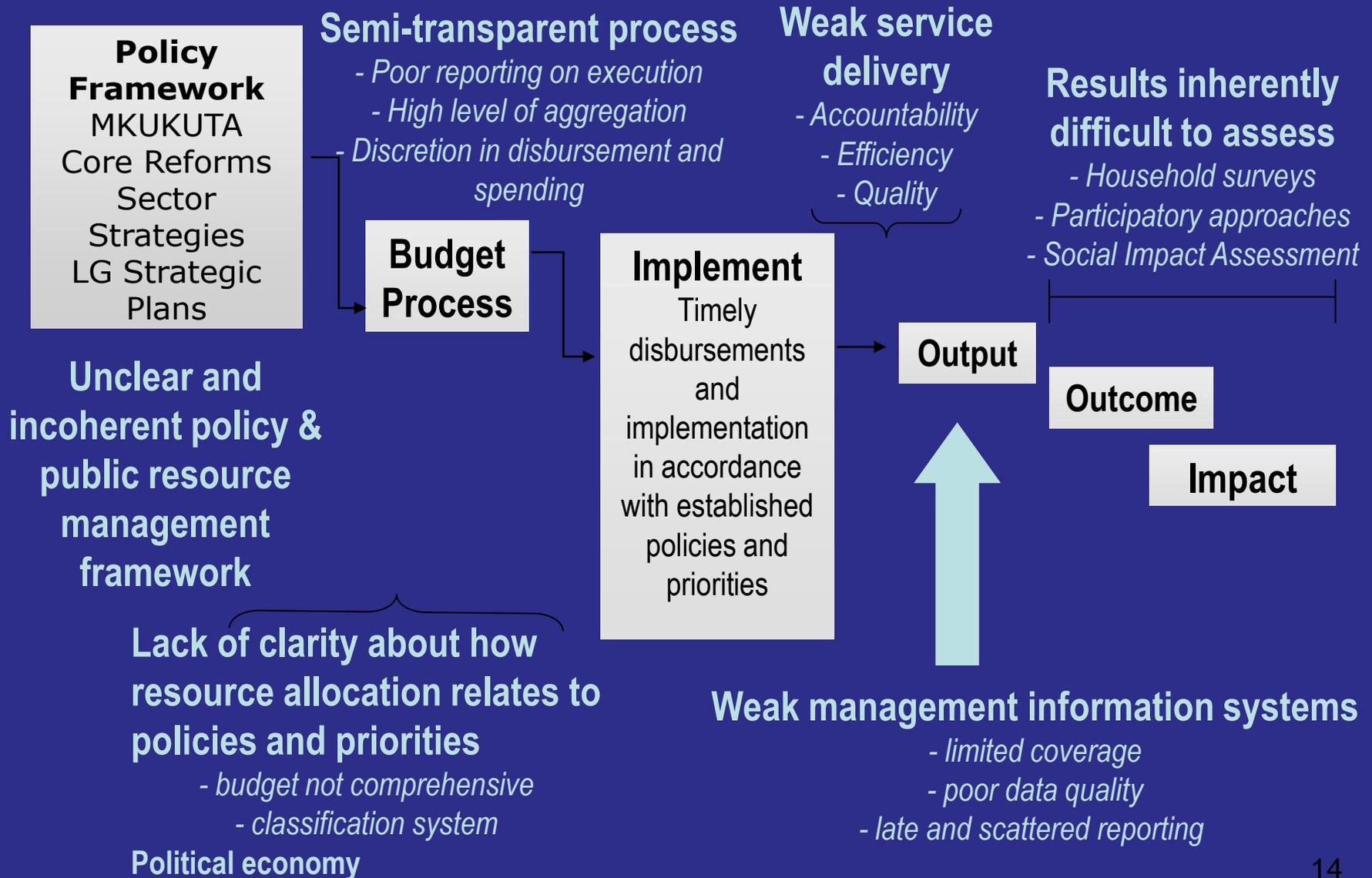**Social accountability**

- Progressive realisation => **Explain**

- To maximum of available resources **=> Justify**

...the TZ reality looked kind of like this in 2008

Policy Framework
MKUKUTA
Core Reforms
Sector Strategies
LG Strategic Plans

Semi-transparent process
- Poor reporting on execution
- High level of aggregation
- Discretion in disbursement and spending

Weak service delivery
- Accountability
- Efficiency
- Quality

Results inherently difficult to assess
- Household surveys
- Participatory approaches
- Social Impact Assessment

Budget Process

Implement
Timely disbursements and implementation in accordance with established policies and priorities

Output

Outcome

Impact

Unclear and incoherent policy & public resource management framework

Lack of clarity about how resource allocation relates to policies and priorities
- budget not comprehensive
- classification system
Political economy

Weak management information systems
- limited coverage
- poor data quality
- late and scattered reporting

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Format borrowed from:
www1.worldbank.org/**public**sector/decentralization/TG.Reinikka.June18.ppt

Why this partnership?

- To improve CSO understanding of SAM processes.

- Examine the entire system in an integrated approach.

- To encourage CSOs to monitor SAM processes using a rights-based approach.

- To insitutionalise sustainable active-learning for the improvement of SAM processes at all levels of Government.

- To share lessons within and beyond Tanzania.

- Look at systems and processes rather than isolated events.

- Fight for equitable realisation of socioeconomic rights.

- Apply the cycle to all levels of government.

- Ensure effective oversight throughout the cycle.

Why this partnership?

- A particular interest in research that can be used to contribute to social change in practice.

- An approach for monitoring social accountability within SA.

- Has developed and applied its approach within the Eastern Cape.

- To test whether the approach could be applicable in contexts other than SA.

- To better understand which elements of its approach are context-specific and which are generic.

- To explore the adaptations required to enable its approach to be applicable in particular contexts.

- To document, assimilate and disseminate learning from its partnerships within its core functions

RLP Strategic Partnerships - Research Questions

- Whether and how improved understanding the five public resource management processes as a coherent and integrated social accountability system empowers demand-side actors to:
  - Extract meaningful evidence from documents produced through these processes
  - Ask the right questions to the right people at the right time to give effect to their advocacy objective

- Whether and how this interaction leads to a better mutual understanding of the systemic PRM weaknesses leading to service delivery problems.

- Whether and how this improved mutual understanding leads to changes in the systemic environment within which PRM occurs.

- Whether and how the resulting changes to the PRM context lead to more efficient, effective, and equitable service delivery.

What did the partnership set out to do?

Rationale for PF partnerships with Subnational Networks

- To improve CSO understanding of SAM processes.

- To encourage CSOs to monitor SAM processes using a rights-based and systems-based approach.

- To insitutionalise sustainable active-learning for the improvement of SAM processes at all levels of Government.

- To share lessons within and beyond Tanzania.

Source: Presentation from first Policy Forum Partner Introduction Session
8-9 July 2008

Tanzania Case study

- Examines 4 of the 12 SAM partnerships undertaken by PF since 2008
    - Mwanza Policy Initiative (MPI) – Mwanza
    - Kibaha Network of CSOs (KNC) – Kibaha
    - Tanzania Women for Impact Foundation (TAWIF) – Handeni
    - Mbozi, Ileje and Isangati Consortium (MIICO) - Ileje.

- Analyses the context within which social accountability happens in Tanzania, including changes during the partnership period and implications for the 4 cases..

- Interrogates the Tanzanian PRM system to determine reasons for systemic weaknesses identified.

- Documents what has been learnt from these interventions.

- Analyses findings from these four cases in relation to the PSAM RLP research questions.

- Articulates lessons and critical success factors for future SAM interventions.

Policy Forum/PSAM Partnership

- **Role of PSAM**
  - Share its methodology and tools
  - Work with PF to design a local version of its SAM course
  - Training of Trainers
  - Provide TA and mentoring for up to 3 years
  - Assist with documentation of learning and reflection

- **Role of PF**
  - Established partnerships with CSO networks at the sub-national level.
  - Introduced the approach and tools to Identified CSO partners
  - Linked with PSAM training
  - Guide the process of analysis conducted by the implementation team.
  - Assisted in dissemination of findings at the national level
  - Follow up on systemic issues identified with national level actors.
  - linking partner networks with any opportunities that may arise for sharing lessons locally, regionally and internationally

Role of PF local SAM Partner

- Institutional home for the initiative
- Providing any official documentation required (eg formal letters requesting documents, formal invitations to public hearings etc.)
- Selection of trainees for orientation training
- Logistical and administrative arrangements for training and their costs
- Sustainability of SAM in locality
- Participation in analysis of documents as part of implementation team
- Verification of findings with relevant Council officials.
- Organising public hearing for local dissemination of findings
- Linking groups with other partners who provide continued technical and financial assistance to promote sustainability and expansion of SAM work.

Role of Council Implementation Team (CIT)

- Participation in training
- Sourcing of documents and follow up
- Analysis of findings
- Verification of findings
- Assist in dissemination of findings
- Involved in development of an advocacy and sustainability strategy

Sustainability of SAM interventions

- After 2 years, what do we expect?
  - Continued SAM monitoring with minimum support from PF.
  - Institutionalisation of SAM in network's long term strategic planning processes.
  - Sufficient capacity within network to train others to undergo SAM monitoring.
  - Improved public understanding of accountability obligations and rights in Tanzania more broadly.

  Source: *Presentation from first Policy Forum Partner Introduction Session*
 *8-9 July 2008*

The 4 Cases

- **Successes**

  - **Mwanza**: FUO (MPI member) managed to renegotiate the Mwaloni Fish Market levy structure after realising their significant contribution to Mwanza City Council Revenues.

  - **Kibaha and Handeni:** Use of evidence from a comparison between O & OD plans, Council Budgets, disbursements and expenditures enabled KNC and TAWIF to raise the profile of the discrepancies therein and, to a certain extent resulted in action from the relevant authorities.

  - **Ileje:** A joint SAM effort between CIT, Councilors and Council Officials eventually managed to get a dispensary that had been built but not functional for 2 years by unblocking systemic failures in recruitment of dispensary staff and registration process.

The 4 Cases

- **Challenges**
  - Access to information
  - Quality of information obtained
  - Push-back from officials (in some cases)
  - Lack of response from Council Officials at verification stage
  - Analytical capacity of the various actors
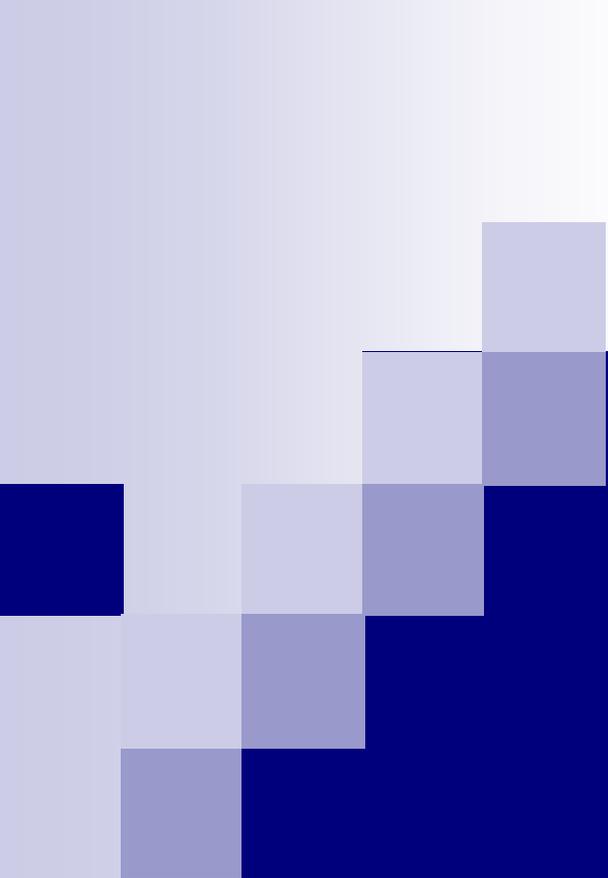
What have we learnt?

What we learnt about the PRM context at Council level?

- Needs are identified without having access to reliable expenditure ceilings.

- Poor management in outsourcing of revenue collection

- Participatory planning at village level not reflected in aggregated plans and budgets at higher levels.

- Late disbursement of funds and disbursed amounts not in accordance with annual cashflow plans and annual procurement plans.

- Implemented activities often different from those articulated in council strategic plans.

- Unspent funds at the end of the year often not re-budgeted in the following year's budget.

- Budgets developed from unrealistic resource projections.

The Link between PRM and Service Delivery

Detailed analysis of the system for PRM from national to council level in Tanzania
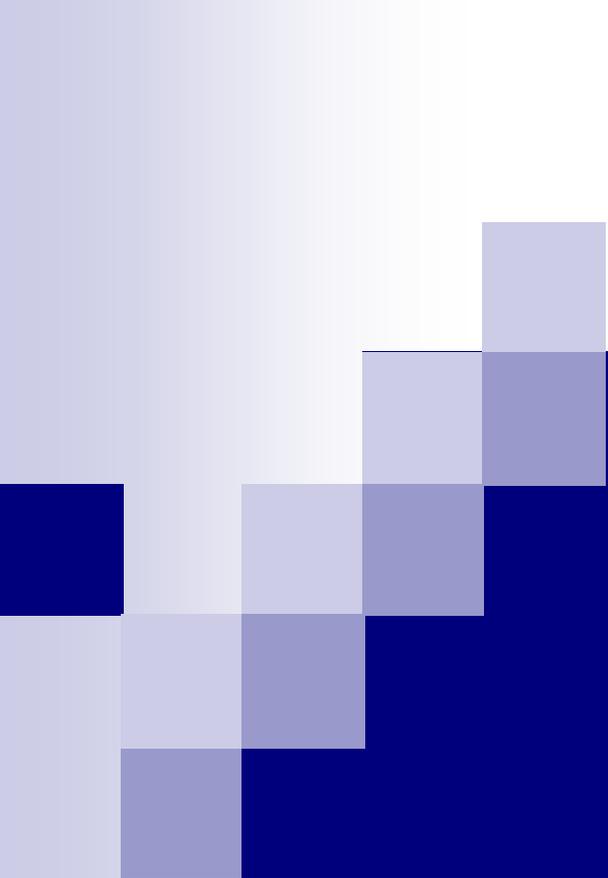
- Findings pointed to a close link between the functioning of the five PRM processes and effectiveness of service delivery.
  - The source of each challenge identified at council level could be traced back to at least one weakness in the public resource management system.
- Each process individually demonstrated core elements necessary for effective service delivery and accountability for the most part.
- Upon analysis of the integrated functioning of these processes as a coherent system for service delivery and accountability, major weaknesses began to show.

Enforceability of Socio-economic Rights

- SAM empowers citizens with a basis for demanding that the human rights commitments made by governments are realized.

- In Tanzania a number of human rights commitments have been made locally, regionally, and internationally.

- ***BUT** …What would be expected to happen if a human right is violated?*

  - *Non-justiciable rights (education, work, development).*

  - *Local judicial framework cannot be applied to rights not explicitly domesticated into local legislation.*

  - *Protocols granting individual and group access to regional and international human rights courts not yet signed by Tanzania.*

Some Key Lessons

- SAM does empower citizens and can begin to shift power relations (given the right conditions)

- Environment within which social accountability occurs is complex and requires systemic understanding of how service delivery failures occur.

- Change happens as a result of a system of complementary interventions by different actors

- There is a constant tension between scale and depth in SAM interventions.

- Context does matter! …but some generic lessons can still be drawn from SAM interventions.

Ahsanteni!