

# Social Accountability Mechanisms & Water Integrity

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# What is accountability?

- The concept of accountability entails three components:
  - Information
  - Justification
  - Enforceability
- Most states have some form of accountability mechanisms:
  - Horizontal
    - Political (horizontal)
    - Fiscal (horizontal)
    - Legal (horizontal)
    - Administrative (horizontal)
  - Vertical
    - Elections
  - Diagonal/hybrid

# What is Social Accountability?

- Social accountability
  - “an **approach** towards building accountability that relies on civic engagement, i.e., in which it is ordinary citizens and/or civil society organizations who participate directly or indirectly in exacting accountability”
- A broad range of actions can be considered as social accountability as long as they can foster accountability in the future.
- Types of social accountability mechanisms (SAMs):
  - those seeking to promote *transparency*,
  - those that promote *monitoring and evaluation*, and
  - those that allow for *participation in decision-making*

# Types of SAMs

- It is possible to classify social accountability mechanism in three categories:
  - transparency-promoting mechanisms
    - citizens charters, right to information legislation, and declaration of assets;
  - monitoring and evaluation mechanism
    - expenditure tracking, report cards, social auditing and contract monitoring; and
  - participatory mechanisms
    - participatory budgeting and planning, community lead procurement
- Supplementary dimensions that allow the further assessment of the social accountability mechanism, such as:
  - the strategy of the mechanism (punishment or reward); the objective of the intervention (rule following or performance evaluation); the entity of interest, the degree of the intervention (external or internal), and the level of institutionalization.

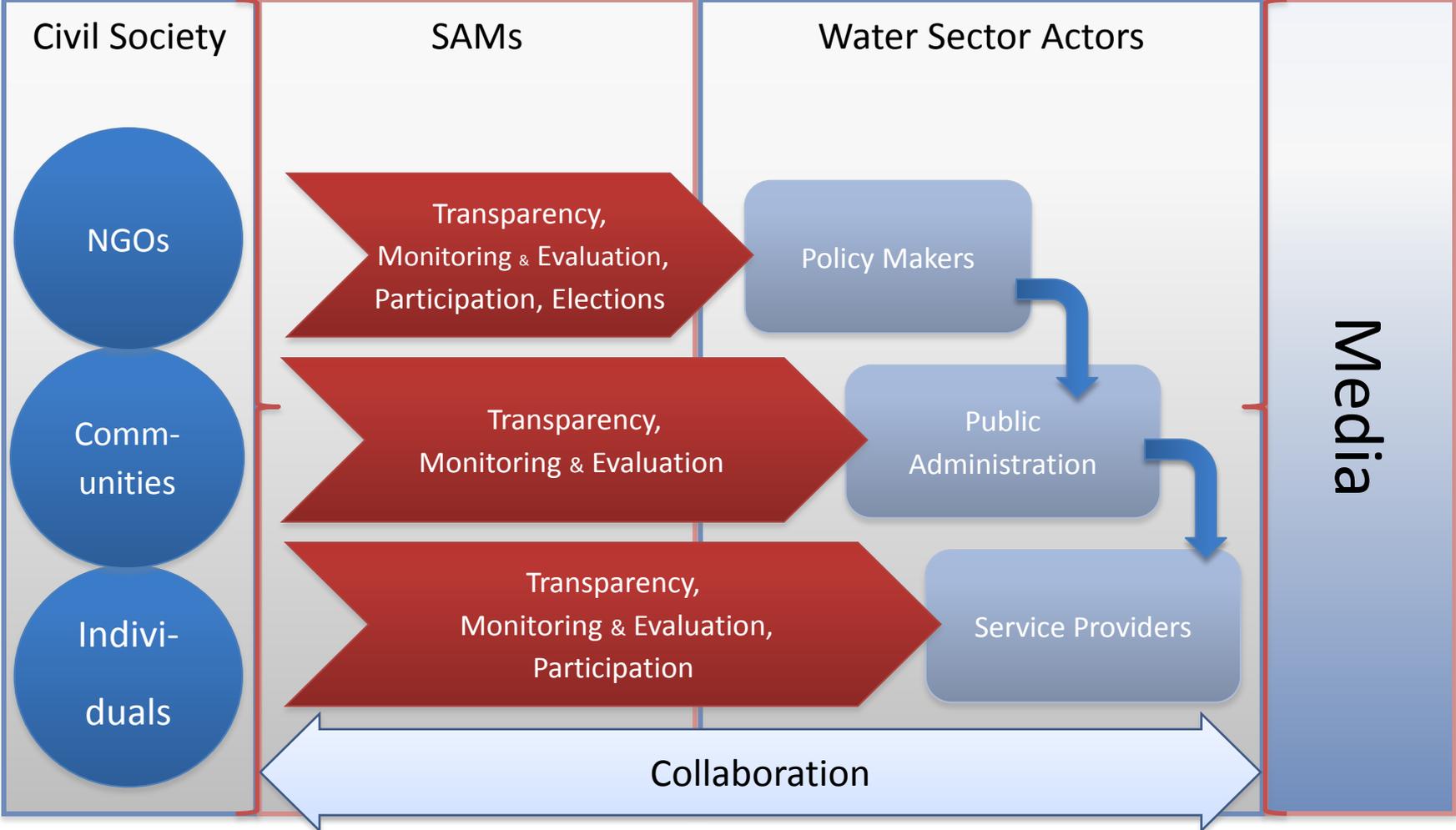
# How can SAMs enhance water sector integrity?

- Corruption is very often a result of prevailing socio-economic and governance conditions.
- Klitgaard, MacLaeen-Abaroa, and Parris (1996):
  - “people will tend to engage in corruption when the risks are low, the penalties are mild and the rewards are great”
  - changing the incentives that power holders face can reduce the incidence of corruption
- Control as a means to change the institutional landscape.
  - Institutional control
  - Citizen control

# How can SAMs enhance water sector integrity?

- Social accountability mechanisms are an alternative through which civil society can change the incentives surrounding the local public sector.
  - Increasing the probabilities of being caught;
  - empowering citizens to reject corruption;
  - contributing to the diagnosis of corruption;
  - triggering ‘fire alarm’ mechanisms; and
  - reducing spaces for discretion.

# How can SAMs enhance water sector integrity?



# How can Civil Society Organizations engage in SAMs?

- The appropriateness and success of a social accountability mechanism is closely dependent on a series of contextual factors.
- The extent of the relationship that can be built between governments and citizens depends on factors such as the political context and culture.
  - Political regimes that are democratic with a multi-party system and guarantee basic political and civil rights -including access to information- are more likely to increase the success, the degree of intervention, and the level of institutionalization of a social accountability initiative.
- There are five elements that compose a successful social accountability mechanism and should be taken in to account when planning to engaging in a social accountability initiative.
  - i) mobilizing around an entry point and choosing an appropriate SAM;
  - ii) building and information/evidence base;
  - iii) going public;
  - iv) rallying support and building coalitions; and
  - v) advocating and negotiating change.

# Types of SAMs and corruption risks in the water sector

Corruption Risk	Political Landscape	Access to Information	Community Involvement	Possible SAMs
<b>Political &amp; grand corruption (i.e. favoritism, misallocation &amp; misappropriation of public funds)</b>	Supportive	High	High	Participatory budgeting & planning, public hearings, integrity pacts, citizen observatory
	Unsupportive	High	Low	Independent budget analysis, expenditure/revenue tracking
<b>Corruption in public services &amp; infrastructure (i.e. shirking &amp; embezzlement)</b>	Supportive	High	High	Public auditing, community-lead procurement, e-government, integrity pacts
	Unsupportive	Low	High	Citizen monitoring
<b>Petty corruption (i.e. bribery, extortion &amp; fraud)</b>	Supportive	High	High	Complaint structures & data gathering
	Unsupportive	Low	Low	Citizen’s charter, data gathering, citizen awareness building

# SAMs in Action in the Water Sector

- Right to Information

- Pandav Nagar, India: Request to access to information on grievances filed for newly replaced leaking pipe.

- Citizens Charter

- Raipur, Ranchi, Varanasi, India: Citizens charter for WSS empowers local residents to seek grievance redressal.

# SAMs in Action in the Water Sector

- Public Forums

- Mombasa, Kenya – Facilitated public forums between MOWASCO and companies improves responsiveness.

- Budget Monitoring/Participation

- Tigray Region, Ethiopia – Budget monitoring activities lead to greater participation in the financial management of water supply.

# SAMs in Action in the Water Sector

- Citizens Report Cards/Community Score Cards
  - Uganda, Ethiopia, Kenya, Nepal
  
- Social Auditing
  - Ventana Santa Rosa, Guatemala
  - Rwanda

Thank you!