

STRENGTHENING GOVERNANCE OF DEVOLVED CLIMATE FINANCE THROUGH SOCIAL ACCOUNTABILITY

Working Paper / Guide
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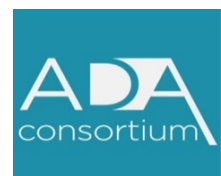


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ACRONYMS

AAI	Action Aid International
ADA	Adaptation Consortium
AG	Auditor General
ASAL	Arid and Semi-Arid Lands
CBOs	Community Based Organisations
CCF	Climate Change Fund
CCCCF	County Climate Change Fund
CCD	Climate Change Directorate
CCCPC	County Climate Change Planning Committees
CEA	Community Engagement and Accountability
CRC	Citizen Report Card
CRM	Complaints Redress Mechanism
CVA	Citizen Voice Action
CoG	Council of Governors
GPS	Global Positioning System
GRM	Grievance Redress Mechanism
HDC	Help Desk Committees
HSNP	Hunger and Safety Net Programme
HTTP	Hypertext Transfer Protocol
IIED	International Institute for Environment and Development
INDC	Intended Nationally Determined Contribution
IVR	Interactive voice response
IFRC	International Federation of Red Crescent
KES	Kenyan Shilling
KMD	Kenya Meteorological Department
KMTC	Kenya Medical Training College
KRCS	Kenya Red Cross Society
MoH	Ministry of Health
NCCAP	National Climate Change Action Plan
NCCRS	National Climate Change Response Strategy
NDC	Nationally Determined Contribution

NDMA	National Drought Management Authority
LPRR	Linking Preparedness, Resilience and Response
PDF	Portable Document Format
SA	Social Accountability
SCI	Save the Children International
SNV	SNV Netherlands Development Organisation
SMS	Short Message Service
SMTP	Simple Mail Transfer Protocol
TI-Kenya	Transparency International Kenya
TAMD	Tracking Adaptation and Measuring Development
WASH	Water Supply, Sanitation and Hygiene Promotion
WCCPC	Ward Climate Change Planning Committees
WFP	World Food Programme
WVI	World Vision International

EXECUTIVE SUMMARY

The Constitution of Kenya (CoK) 2010 profoundly encourages transparency and accountability in governance with signature emphasis on bottom-up approach and bestowing immense powers on the citizens on holding duty bearers accountable through various progressive provisions. Devolution particularly embodies the transformative CoK 2010's bottom-up approach of governance in Kenya. Through devolution, a number of milestones have been realized and lives transformed especially in the marginalized regions like Northern parts of Kenya hitherto promulgation of the constitution. Despite notable devolution milestones, corruption remains one of the greatest threats towards realization of the promise of devolution (TI-Kenya; 2014&2015). Social accountability mechanisms are very key tools that citizens can use in performing their oversight function for efficient and effective service delivery.

Section 24 of The Climate Change Act 2016, provides for Public engagement and the climate change Council is mandated to prepare and publish a public engagement strategy after every twelve months. The strategy should set out the steps that it intends to take to inform the public about climate change action plans and encourage the public to contribute to the achievement of the objectives of those action plans. The act Provides for the public engagement strategy to identify actions which the public may take to contribute to the achievement of the purposes.

Through the Climate Change Act, 2016 mandates all the County Governments powers to mainstream all climate change actions in the various sectors. In performance of its functions, a county Government shall integrate and mainstream climate change actions, interventions and duties set out in this Act, and the National Climate Change Action Plan into various sectors.

The Counties are the required to report on climate actions to the County Assemblies then to the Ministry/Council and the National Assembly to highlight the accountability mechanism.

The Climate Change Fund thereby established as a financing mechanism for priority climate change actions and interventions approved by climate change Council. The Fund is vested in the National Treasury and monies appropriated from the Consolidated Fund by an Act of Parliament. Kenya being a developing nation whose economy depends on climate sensitive natural resources, and due to her geographic positioning, all her sectors are vulnerable to climate change and its impacts. Although Kenya having become middle income country, climate change challenges increases the cost of development. Growth in all sectors have to take a low carbon, climate resilient development pathway. To achieve this, Kenyan actors need to access appropriate cutting edge technology, build capacity of its institutions and actors, as well as facilitate access to financing to enable various actors play their respective roles. These require additional funding over and above the normal development agenda.

Cognizant of the importance of social accountability mechanisms in the implementation of Climate Funds, Adaptation Consortium (ADA) has commissioned a review of relevant social accountability mechanisms through this report with a view of exploring opportunities for strengthening the County Climate Change Funds governance for effective utilization of the resources through citizen-led initiatives. The Report therefore details a brief about the project,

review of the social accountability mechanisms providing both threats and opportunities of various tools in reference to various stakeholders. The report also identifies a number of good practices from ongoing work of ADA as well as from other parts of the World for replication.

BACKGROUND

Despite being a minimal emitter of greenhouse gases globally, Kenya is considered one of the country's most vulnerable to the impacts of climate change due to its geographical location and low level of development. It continues to suffer disproportionately from the impacts of climate change. Frequency in droughts and floods, access to water, spread of tropical diseases among other impacts continue to manifest in the country and have continued to increase significantly over the recent past and continue to do so.

In addressing the climate change challenge, Kenya has developed a robust policy and legal framework to harmonize and coordinate climate action. The country's development blueprint, Vision 2030, recognizes that the impacts of climate change could slow down Kenya's projected economic growth significantly and proposes several interventions to address climate change including undertaking measures to integrate climate change into development, pilot 5 adaptation programmes on climate change and desertification and substantially reduce losses due to floods and droughts among others.

The National Climate Change Response Strategy (2010) is the first national policy document acknowledging the reality of climate change in Kenya. The strategy is a framework integrating climate concerns into development priorities, government planning and budgeting. The Strategy is the key Government climate change agenda guide in the country and informs nationwide climate change programmes and development activities including the formulation of documents such as the National Climate Change Policy and efforts towards the attainment of Vision 2030.

Operationalization of the Strategy is pegged on implementation of the National Climate Change Action Plan. The Action Plans are 5year implementation strategies identifying key programmes for adaptation and mitigation.

The Constitution of Kenya, 2010 obligates the government to work towards achieving and maintaining a tree cover of at least ten per cent tree cover of the land area under Article 69 (1) (b). This is a crucial aspect that has a direct impact on climate change. For a long time, climate action in Kenya had been fragmented, uncoordinated and sector specific with different actors engaging in diversified mechanisms to address climate change. It was therefore difficult to take stock of the country's collective action against climate change. This led to the development of the Climate Change Act, 2016 which aims to provide for an overall coordination and regulatory framework for enhanced response to climate change in Kenya. The Act which came into force on 27th May 2016 contains sound provisions to enhance good governance, prevent corruption and encourage meaningful participation of all relevant stakeholders. The Act was developed as a collaborative effort between Civil Society Organizations working on climate change issues and the Ministry of Environment and Natural Resources. The Act provides a robust approach to addressing climate change harmonizing both institutional frameworks and climate actions. It further provides for mainstreaming of climate change actions into all strategic development areas at both county and national governments. Duties have been accorded to both public and private sectors with regards

to addressing climate change. It is however notable that lack of rules and regulations may impede implementation of the Act.

Kenya is part of the global efforts to address climate change under the United Nations Framework Convention on Climate Change. In July 2015, Kenya submitted its Intended Nationally Determined Contribution (INDC) pledging to abate its greenhouse gas emissions by 30% by 2030 relative to the business as usual scenario of 143 and in line with its sustainable development agenda. The INDC places significant priority on Adaptation given the national circumstances. It is also aligned to the national development agenda, Vision 2030, the National Climate Change Response Strategy (NCCR) and the National Climate Change Action Plan (NCCAP). In light of the Paris Agreement which Kenya has signed but is yet to ratify, the INDC will automatically become Kenya's Nationally Determined Contribution (NDC) upon depositing the instrument of ratification. Global commitments that Kenya makes should translate to measurable, reportable and verifiable actions on the ground. The global community, guided by the importance of transparency and accountability in climate governance agreed on an enhanced transparency framework that is the backbone of the Paris Agreement. Unlike in the previous transparency regime, the Paris Agreement places all Parties on the same level in terms of scope, frequency and detail of reporting on climate action and support needed and/or received (for developing country parties) and support provided (for developed country Parties). At the national level, these reporting requirements should be participatory and consultative.

Additionally, Kenya has developed a National Adaptation Plan agreed under the Cancun Adaptation Framework. The plan identifies medium and long-term adaptation needs and develops implementing strategies and programmes to address those needs.

In order to address the negative impacts of climate change, a responsive finance framework is key. Based on this, countries that are Party to the United Nations Framework Convention on Climate Change have over time negotiated a climate finance framework to help developing and least developed countries mitigate or adapt to the negative impacts of climate change.

As a follow-up to the Convention and the Paris Agreement, Kenya has developed an elaborate legal and policy framework on climate change which provides for climate financing at the national and county levels. Since the Climate Change Act 2016 provides for mainstreaming of climate change by Counties, ADA consortium has worked with the five counties who are part of the first implementation phase to create a county climate finance framework for specific counties to facilitate mainstreaming of climate change by the counties and to allow counties to access both national and global climate finances.

1. DEFINITIONS

County Climate Finance is a mechanism through which counties can create, access and use climate finance to build their resilience and reduce vulnerabilities to a changing climate in a more coordinated way.

Social accountability can be broadly defined as citizen-led action to demand accountability from the duty bearers. It aims at strengthening the voices of citizens to demand greater accountability and responsiveness directly from public officials and service providers (IEA 2014). There are a number of tools and mechanisms that can be applied for social accountability some of which include; participatory budgeting, independent budget analysis, public expenditure tracking, citizens report cards, community Score cards, social audits, citizen's charters, public hearings, community radios, integrity and accountability pacts etc. It is important to remember that social accountability tools are not entirely diagnostic in approach but also involve advocacy and empowerment.

Social Accountability is also a process by which ordinary citizens – who are the users of basic public services – voice their needs and demands and create opportunities to hold policy makers and service providers accountable for their performance. The process aims to improve the quality of and access to public basic services.

Transparency is a 'characteristic of governments, companies, organizations and individuals of being open in the clear disclosure of information rules, plans, processes and actions'.

2. UNDERSTANDING THE CCCF

The Climate Change Act, 2016 requires that deliberate Climate Change considerations is made to ensure mainstreaming in all government plans, policies and programmes, resulting into inbuilt public climate financing of all sectors of the economy. The Climate Change Act, 2016 further created a Climate Change Fund to facilitate climate action. The National Treasury is the National Designated Authority (NDA) for climate finance in Kenya, and oversees the implementing entities for various climate finance streams, as well as tracking of the financed on-budget and off-budget activities.

Kenya has several Accredited Entities, which include the public institutions such as National Environment Management Authority (NEMA) which is the NIE for both the Green Climate Fund (GCF) small category projects, as well as the Adaptation Fund (AF). Multinational Organisations in Kenya like Acumen Fund, KfW for large category GCF projects; UN bodies like the UNEP, UNDP, UNFAO, International Union for Conservation of Nature (IUCN) for multinational projects. Private entities such as the Kenya Commercial Bank (KCB) are also seeking accreditation to enable the private sector leverage on climate funding opportunities.

The Adaptation (ADA) Consortium is a partnership between the National Drought Management Authority (NDMA), which hosts the secretariat, county governments, the Kenya Meteorological Department (KMD), UK Met Office, Christian Aid, and the International Institute for Environment and Development (IIED) and county –level partners. ADA works closely with the National Treasury, Council of Governors (CoG) and the Climate Change

Directorate (CCD) among others to support mainstreaming of climate change in planning and budgeting and to prepare counties to access climate finance.

Since 2012, the consortium has piloted the County Climate Finance (CCCF) mechanism in five counties of Garissa, Isiolo, Kitui, Makueni, and Wajir using an integrated approach that consists of four components:

- a) Development of County Climate Change Funds (CCCF);
- b) Establishment of Representative Ward and County Climate Change Planning Committees (WCCPC and CCCPC) that manage the CCCF and prioritise investments in public goods that build climate resilience in consultation with community members;
- c) Integration of participatory planning approaches, including resilience assessment, resource mapping and climate information services; and
- d) Participatory monitoring, evaluation and learning

The approach developed by ADA institutionalises a process of decision-making that puts communities in control, enabling them to prioritise investments that offer resilient pathways out of poverty and climate vulnerability. It is implemented within the framework of devolved governance laid down by the Constitution of Kenya, which obliges county governments to ensure citizen-led and rights-based approaches to the planning and prioritisation of public funding for development.

The five counties are now successfully applying a climate financing model that integrates climate risk and empowers poor and vulnerable communities in the face of climate change. With support of the ADA consortium, these counties have put structures and processes in place which enable them to access and manage climate finances in a transparent and accountable manner.

In the next phase, ADA will take the county climate finance mechanism to scale, building the capacity of NDMA and other key national stakeholders (e.g. Kenya School of Government) to strengthen and adapt the mechanism to reach more counties. The scale out will balance continuity and change: the approach will integrate lessons learned during the pilot phase particularly with respect to introducing the mechanism to new contexts (e.g. urban, coastal, highland environments) and the recent changes in Kenya's legislative and institutional landscape. Some of the lessons from the pilot phase (2012-18) include the importance of investing thoroughly in the establishment and training of inclusive and accountable planning structures.

2.1 Why is Social Accountability important in Climate Finance

Transparency International Kenya has been implementing a Social accountability project since 2014 with support from NDMA. The Social accountability project is geared towards improving accountability and transparency in the implementation of drought resilience interventions in ASAL counties. The action is structured around three components: advocacy on accountability mechanisms at national and county levels; capacity building for agencies and government officers to raise awareness on the risks of corruption in implementing food security programmes as well as propose mitigation measures; and community monitoring and participation to raise beneficiaries' awareness of corruption risks and build their capacity to monitor aid and basic services of projects implemented in their community. TI-Kenya has trained a total of 280 social auditors in three

targeted counties (Wajir, Turkana and West Pokot who are monitoring the delivery of aid and basic services in their locations. The Social auditors are comprised of both men, women and youth who are elected by the communities to champion the accountability issues. The members of the various social audit groups are provided with uniforms for identification when assessing the various projects.

The project has since seen increased citizens' capacity to influence decision making through public participation forums and budgeting processes and also empowered them to monitor aid and basic service delivery and to engage with service providers at county level. It has also led to increased knowledge on avenues to report suspected/potential corruption cases. Apart from the communities reporting to the local administration, they can now air their issues during the public forums, to the social auditors, Community Drought Management Committees and through the Integrated Complaints Referral Mechanism (ICRM). The Integrated Complaints Referral Mechanism allows community members to complain or give feedback regarding service delivery and on other hand receive feedback on their complaints.

Since 2013, a total of 215 projects have been mapped in the 3 Counties for social audits by the relevant communities. Out of these ,118 are now successfully completed with 36 leading to the community acquiring information on the projects being implemented, 57 have been completed successfully and 25 have led to change in the project implementation processes. 94 projects are still ongoing and under audit.

Social Accountability is equally a good tool for monitoring the implementation of climate finance. Climate finance is essential in catalysing global and national efforts to safeguard the environment and people's lives, and to avoid serious climate change impacts. It involves flows of public money intended to support developing countries to reduce greenhouse gas emissions and adapt to climate change impacts, such as droughts, flooding, and sea level rise.

It is important as it supports the beneficiaries and implementers of Climate Change funds to interact together and to improve climate finance interventions through constructive dialogues and better use of government and local resources. The effectiveness of projects implemented under different climate finance mechanisms can be increased if Social Accountability tools are used by citizens. With these tools, people's participation in local planning and budget formulation processes can be increased and citizens' rights and entitlements within the existing legal and policy frameworks can be made more easily accessible. If this can be done, transparency and accountability will be enhanced, thus reducing the impacts of climate change on communities and ultimately contributing to the country's development. It will also help bring public participation, stakeholder engagement and the Right to Information into common practice and promote the rule of law.

2.2 Ada's Approach

The Consortium supports five county governments (Isiolo, Kitui, Garissa, Makueni and Wajir) to mainstream climate change and access climate finance to fund community prioritised adaptation investments that build their resilience to climate change. Each of the county governments is expected to put in place an enabling climate change legal, policy and institutional framework at the County and Sub-County/Ward levels, for example, climate change committees at county and

ward levels. In the Counties with committees in place, the committees are mandated to prioritise adaptation investment that build communities' resilience to climate change.

Currently, resources are channeled down to vulnerable communities through local NGO, CBOs and FBOs whose functions include community mobilisation to identify and prioritise public good investments, accompanying implementation of community prioritized investments, supporting county governments to honour/implement their CCCF commitments, support learning and monitor investments.

The Kenya Meteorological Department together with Met Office (UK) lead on improving access, dissemination and use of climate information through the development of Climate Information Services (CIS) plans across the five counties.

The consortium also works closely with a number of Strategic partners including the National Treasury, Climate Change Directorate and National Environment Management Authority (NEMA) to ensure proper alignment with nationally laws, policies and processes on climate change. Equally important are the Ministry of Devolution and Planning and Council of Governors for upscaling the integrated approach nationally.

The Adaptation (ADA) Consortium has been implementing County Climate Financing as a Devolved Climate Finance (DCF) mechanism in five arid and semi - arid counties. The mechanism aims at supporting county governments mainstream climate change in planning and implementation as well as prepare them to access global climate finance in support of adaptation and climate resilient development.

The mechanism put communities in charge of their resilience by allowing them to prioritise public good investments that build their resilience to climate change. This approach consists of four interrelated components that enables county government institutionalise the Devolved Climate Finance mechanism and includes:

- Climate Change Planning Committees
- Climate Information and Resilience Planning tools
- County Climate Change Finance
- Monitoring and Evaluation of Adaptation

2.2.1 Climate Change Planning Committees

The committees are elected at the ward and county level. At the ward level, the Ward County Climate Change Planning Committees (WCCPC) are composed of 11 locally elected community members (men, women, youth) with equal voting rights. Government technical staff are co-opted to provide advice as necessary, but do not have any decision-making powers.

They are vetted publicly and chosen according to their moral standing within the community. In selection of investments, community members are represented by WCCPC who after consultation with them are responsible for identification and prioritization of investments that build their resilience to climate change. At the county level, County Climate Change Planning Committees

made up of representatives from Ward County Climate Change Planning Committees, technical officers from the county government and other stakeholders strengthen and approve Ward County Climate Change Planning Committees proposals for funding.

2.2.2 Climate Information and Resilience Planning tools

Timely and relevant climate information is provided by the Kenya Meteorological Department (KMD) which is used by the communities in the identification of investments to ensure that they take into account current and future climate variability and hazards. The County Directors of Meteorology play a key role in mainstreaming Climate Information Service (CIS) plans at all levels within the county governance structures. CIS plans are proposed frameworks which aims to develop and deliver weather and climate information to support local, sub-county and county-level decision-making at time intervals of hours, days, weeks, months, seasons and years.

The resilience planning tools (resilience assessments and participatory resource mapping) help communities in identifying through discussions what builds or weakens their resilience to the changing climate. The tools further empower local communities to participate in budgeting processes at county level. They provide an opportunity for county government and communities to discuss how local livelihoods function and interact, the factors that constrain their resilience to the impacts of climate change and practical ways to build adaptive capacity and long-term resilience.

2.2.3 County Climate Change Finance

CCCF is a financing mechanism under the authority of the county government. The County Governments of Wajir, Makueni and Garissa whose climate change fund policies are already in place, have necessary fiduciary standards to ensure accountability and transparency in the management of the funds.

The standards are consistent with the public finance policy, and compliments the existing finance systems that allows county climate finance to reach the most vulnerable and enable them to make decisions on how the funding will be used. All five counties (Makueni, Kitui, Wajir, Isiolo and Garissa) have passed their CCCF legislation committing 1%, 1%, 2%, 2% and 2% percent respectively of their development budget into the CCCF kitty.

Seventy percent of the CCCF fund is earmarked to fund investments in public goods prioritized by communities through the Ward Climate Change Planning Committees (WCCPC), 20% is reserved for county level investments or emergencies identified by the County Climate Change Planning Committees and 10% is for the committee running cost.

CCCF Funding Criteria

- Must benefit many people
- Must support the economy, and livelihoods on which many people depend.
- Must be relevant to building resilience to climate change.
- Must encourage harmony; build relations, understanding and trust.
- Must have been developed after consultation with all potential stakeholders.
- Must be viable, achievable and sustainable.
- Must be cost effective and give value for money

2.2.4 County Climate Change Finance

The Climate Change Planning Committees are involved in the monitoring of investments to assess how effective the investments are in building community resilience to climate change.

The Monitoring and evaluation is done through the Tracking Adaptation and Measuring Development (TAMD) Framework that tracks and evaluates the impact of adaptation on development and how effective the relevant interventions are.

The Climate Change Planning committees, the Climate Information and Resilience Planning tools and the monitoring and evaluation work towards ensuring that the County Climate Change Fund is delivering beneficial and sustainable public good investment for the benefit of communities.

2.3 Achievements so far

2.3.1 County Climate Change Finance

Makueni, Kitui, Wajir, Isiolo and Garissa are the first in Kenya and in the region to pass the County Climate Change Finance (CCCCF) All the five county climate change funds are fully operational. The CCCCf put in place structures that guide identification and prioritisation of adaptation interventions and disbursing of funding for implementation.

2.3.2 Access to Climate Information Services

Through the provision of climate information, Kenya Meteorological Department (KMD) has reached over 2,020,630 people. KMD make use of various channels (Radio, CIS Intermediaries, local administrators and technical extension officers) to provide climate information.

The Climate information provided by the Kenya Meteorological Department (KMD) is used by the communities in the identification of investments to ensure that they take into account climate risks. The County Directors of Meteorology play a key role in mainstreaming County Climate Information Service plans at all levels within the county structures.

2.3.3 Community Prioritised Investment

A total of 82 community prioritised public good investments largely focusing on water, livestock diseases management and rangeland management have been implemented in the 5 Counties.

The number of direct beneficiaries as of 30th April 2017 was 278,858 people (138,035F and 140,823M). An additional 72,366 persons benefited indirectly from the CCCCf establishment related processes including intermediaries training, resource mapping exercises in Wajir and Isiolo among others in the 5 Counties.

The CCCCf also benefitted 565,524 heads of cattle, 1,607,558 goats and sheep and 100,096 camels through provision of water throughout the year provided by various water structures funded by CCCCf.

2.3.4 Resilience Planning Tools

The five counties have developed Climate Information Service (CIS) plans to guide in dissemination of timely and relevant climate information. Kitui, Makueni and Wajir CIS plans were launched by their respective county governments. Isiolo and Garissa CIS plans though in use are awaiting official launch by the respective county governments.

The resilience assessment and participatory digital resource mapping informed discussions between communities and county government planners on factors that strengthen or weaken their livelihoods. This in turn ensured that county governments are able to identify cost effective ways in which their planning can strengthen local adaptive strategies and build long term resilience to climate change.

2.3.5 Strong Community Institutions in Natural Resource Governance

Through reviving of the local institutions mandated with governance of pasture and water, prolonged use of pastures and water due to the organized way of accessing these resources has been realised.

2.3.6 Local Communities in-charge of their development priorities

Vulnerable communities are empowered to access and exercises oversight over the flow of climate finance from national to local levels through WCCPC.

2.3.7 Women involvement in decision making

Strong community involvement has seen women being involved in decision making. They are able to articulate and effectively contribute to the discussions on prioritised public good investments. Initially their contribution was minimal or none at all.

2.4 Basic principles of a social accountability

The basic principles of social accountability include:

1. **Participation:** Public participation lays the foundation as a critical principle for social accountability. A right based entitlement for community members (and not just their representatives) to participate in the process of decision making and validation of the interventions to be implemented by various actors .. It is important to appreciate the current legal and institutional frameworks on public participation both at the national and county levels.

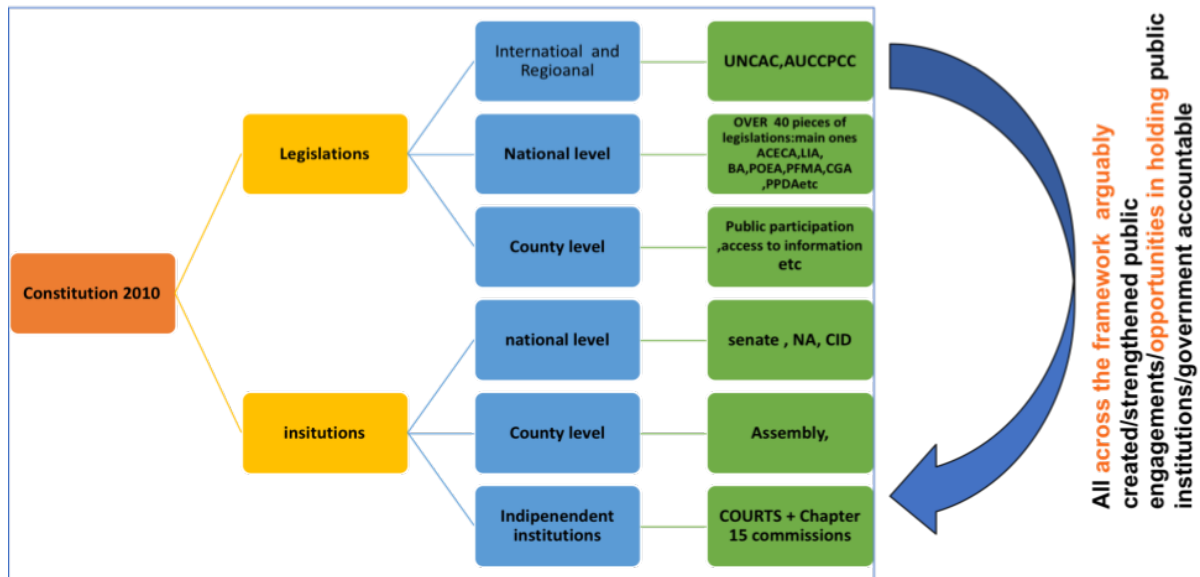


Fig2; A diagrammatical representation of Kenya's current public participation legal and institutional framework.

- 2 **Transparency:** Complete openness in the process of administration and decision-making, with an obligation on the implementing organization to voluntary disclosure of information so as to give the people full access to all relevant information as entrenched under Article 35 of the Constitution of Kenya, 2010.
- 3 **Accountability:** Immediate and public answerability of the implementing Government and Non-governmental organization representatives and agents, to all the concerned and affected communities, on relevant actions or inactions.

Social accountability subscribes to good governance principles of; participation, inclusiveness and consensus. Citizens involved in social accountability activities on behalf of their community shall be driven by the following principles:

- **Objectivity:** that is, having no other agenda than the interest of the community in assessing the provision of aid and services
- **Impartiality:** having no bias to any one stakeholders' interests and views.
- **Equality:** Respecting the rights of both the communities and the implementing organisations to participate in the social accountability process and to access the findings.
- **Factual:** reliance on facts rather than myths/ gossip to guide the social accountability process as well as the findings.

2.5 Purpose for social accountability activities

- It ensures that implementation of the intervention/service is transparent and known to everybody
- It increases public participation at all stages of the project cycle
- It identifies, controls and reports irregularities.
- Prevents abuse of funds and other forms of corruption (nepotism, conflict of interest, etc.)
- It ensures projects are completed as per the intended timing and specifications
- It measures the adherence of the project to the intervention's intended objectives and goals.

- Enables people to exercise their rights- they could also be used as effective advocacy tools.

2.6 Steps of undertaking a social accountability activity in the CCCF Context

1. ADA to map the different stakeholders working on drought management, climate change adaptation and development agencies within the agreed geographical/administrative area.

How to go about this:

- ADA secretariat to develop a list of all the Implementing organizations within the geographical/ administrative area of interest.
 - Determine the projects which these organisations implement under CCCF. Develop a list of interventions that are being implemented by these organizations.
 - Determine the physical location of the areas of operation of all the implementing organizations.
 - Determine which of these interventions has the longest implementation timeframe and most profound impact in the locality.
 - Determine which of these organizations have been adequately engaging the community in their interventions and which ones have not. Which one the community has had a lot of dissatisfaction with.
 - Determine who benefits most from these interventions and how.
2. In collaboration with the ADA, the County Climate Change Planning Committees to convene a community forum to introduce the objectives of the social accountability activities and ask the community to identify 2-3 climate change adaptation projects/interventions or services which are to be targeted for social auditing based on the preference of the majority.
 3. The County Climate Change Planning Committees to liaise and agree with the ADA on the appropriate tool to be used to audit the targeted intervention.
 4. In collaboration with ADA, the County Climate Change Planning Committees to convene a meeting with the other relevant stakeholders implementing CCCF projects and introduce the specific objectives of the social accountability exercise while sensitizing them on the purpose of the planned social audit targeting their interventions.

How to go about this:

- The County Climate Change Planning Committees to advocate for stakeholders' support; - talk to the Individuals and management within these organisations who may be open to change.

- The committees to also target the key decision makers; - spend time developing a positive working relationship with the opinion leaders within these organisations.
 - Talk to key actors within these organisations about *social accountability* and its advantages.
5. Field work; the County Climate Change Planning Committees to implement the data collection following the methodology of the selected tool (see annexes).

How to go about this;

- The Committees to identify an appropriate and conducive day for all parties involved.
 - The team to sensitize and build the capacity of community members, partners and allies on the field exercise.
 - County Climate Change Planning Committees to develop a work plan and prepare logistical arrangements for the exercise.
 - Assemble and brief the team on their roles ensuring that they are well branded and kitted for the exercise.
 - Undertake the data collection
 - Compile a report on the same
6. Feedback meeting at Ward levels
- The committee to determine the appropriate frequency for the community feedback forums
 - Through a meeting between the County Climate Change Planning Committees and the representatives of the stakeholders whose intervention was audited, share the findings of the social audit report.
 - Through a community forum which the ADA should be present as well as other invited stakeholders to share the audit findings with the community at the various levels to report back the social audit findings
 - The County Climate Change Planning Committees, ADA, other invited stakeholders and community members to discuss and propose the next step to better transparency and accountability and hold leaders/ implementing organisations accountable.
 - ADA secretariat to invite the media to record the community reaction during report release.
7. County Climate Change Planning Committees to regularly update the relevant stakeholders on the progress and the success of the social audit assessments.

How to go about this

- The Committee to use the provided template- This will capture any social audit report conducted within the reporting period
8. ADA secretariat to review and compile report of the outcome of all social accountability activities undertaken at county level to inform advocacy and follow up actions.
 9. Systematic and on-going follow-up
 - Through frequent engagement with the audited agency, ADA secretariat to encourage Civil Society Organisations and other stakeholders to sustain interest with the social audit process
 - ADA to support the County Climate Change Planning Committees in collecting information from government quarterly allocations reports and funds disbursement report from the County Steering Group forums as evidence
 - The County Climate Change Planning Committees to publicise this information for easy access by community members and relevant stakeholders.

NOTE: Remember, Social Audit is a top down tracking approach meaning that the intervention / service under scrutiny is tracked from its source/origin which usually is at the county level if not higher to the point of delivery.

2.7 Key factors for successful social accountability activities on CCCF

1. Level of information shared with and involvement of stakeholders, particularly County Climate Change Planning Committees representing most vulnerable members of the communities where CCCF interventions are being implemented. (rural poor, women, youth, indigenous people and other marginalized interest groups)
2. Commitment, seriousness and clear responsibilities by all ADA partners involved in Social accountability processes.
3. Involvement of key facilitators National and County Government, Politicians, CBOs and Communities) in the process.

2.8 Key factors for successful social accountability activities on CCCF

Social accountability activities can be conducted at any point of time during the planning and implementation of an CCCF intervention:

1. **Planning stage:** Planning is need-based covering deliverables/ resources and drawn up in consultation with the County Climate Change Planning Committees which represent the beneficiaries of the intervention (the vulnerable and the disadvantaged).
2. **Preparation stage:** to ensure that CCCF estimates are proper and are in tune with the approved allocation and priorities that build communities' resilience to climate change.
3. **Implementation stage:** County Climate Change Planning Committees should ensure that entitlements are distributed rightly, properly and to right beneficiaries

After the completion of work: The County Climate Change Planning Committees ensures that quality of the implementation output is in tune with quantity and estimated projects cost.

2.9 When should social accountability activities be conducted on CCCF projects

1. Builds/enhances the capacity of communities and relevant stakeholders on climate change and prioritizing climate actions geared towards enhancing resilience and reducing vulnerability.
2. Builds the capacity of communities on participatory local planning on County Climate Change Funds.
3. Encourages local democracy on resilience assessment, resource mapping and climate information services.
4. Encourages community participation on the implementation of County Climate Change Funds hence building resilience amongst community members.
5. It will benefit more the disadvantaged groups especially children, youth, people with disability and women.
6. Promotes collective decision making and sharing responsibilities during the implementation of the projects funded through CCCF. The communities will collectively identify through discussions what builds or weakens their resilience to the changing climate.
7. Enhances the effectiveness of climate finance investments by ensuring that they are utilized for the purpose they were mean for and are not lost to corruption.

2.10 Threats to Social Accountability activities

Social accountability activities are a community driven accountability mechanism for transparency and accountability. It exposes different types of corruption and misappropriation, identifies the perpetrators of such deeds and exposes them as well as makes them accountable in public fora. It is, therefore, normal that persons with such vested interests will try to disrupt social accountability processes by all means. Some of the threats (experience based) are briefly illustrated below:

1. **Disruption:** This is a very common feature in social accountability activities. Individuals associated with the organizations to be audited are in many cases accomplices of management and senior officials and may be involved in doctoring records and other misdeeds. They may also mingle with the other community members in forums thereby influencing the contributions of the communities and undermining social accountability activities. During social audit forums, affected people are encouraged to speak out and present their grievances freely and without fear of reprisals. However, friends, and supporters of the officials and other rogue elements will try and disrupt the proceedings by shouting or issuing threats. Under such circumstances, people may not speak out for fear of physical violence. Also, there are instances where officials do not present themselves in the social audit forums.

2. **Post -Social accountability activities consequences:** Social accountability activities may expose corruption and misappropriation cases, exposing and questioning decision makers and project managers' actions. These may feel threatened, and physically or morally harm and harass the whistle blowers and other community members.

2.11 Challenges of social accountability activities in relation to CCCF

1. **Time consuming** - the time needed to train community members and for them to collect and analyze information can be lengthy and costly due to needed depth (grassroots workshops on County Climate Change Funds and its architecture which is currently administered at ward level.)
2. **Sustainability-** Some of the process should not engender dependency on external support but rather as a push from within the community. Social accountability activities can also be emended within the CCCF framework to ensure it is always considered when decisions on climate finance investments are made. This could come as a requirement for every intervention to have a component of social accountability mechanisms within the project proposals.
3. **High illiteracy** amongst the committee representing Community members –data on County Climate Change Funds may be presented in formats that are difficult for the various committees to understand and analyse.
4. **Gathering the data can be monotonous** therefore leading to a risk of loss of enthusiasm by County Climate Change Planning Committees due to a feeling of familiarity with the context of implementation of intervention by familiar stakeholders. This could lead to inaccurate data which will present misconceived deductions on the intervention being audited.
5. **Misrepresentation of information** – Misrepresentation of information is usually rampant when conducting social accountability and all stakeholders implementing CCCF are sensitive about defamation. County Climate Change Planning Committees conducting social audit assessments should ensure all information on CCCF is factual and properly referenced/ backed up to avoid risks of being prosecuted and if possible seek assistance from ADA secretariat.

3. RELEVANT LESSONS LEARNT

a. Lessons learnt from TI-Kenya implementation

Transparency International Kenya has been Implementing its Social accountability project since 2013 with support from NDMA. The project aims to promote transparency and accountability in the implementation of drought resilience programmes and service delivery in the ASAL counties. The program was initially piloted in 3 ASAL counties and recently scaled up to 4 additional counties due to the below significant improvements achieved under the project:

- Citizens' capacity to influence decision making through public participation forums and budgeting processes increased through the monthly awareness forums conducted and the monitoring visits where social auditors were coached on how to undertake the assessment audits.
- Citizens in the targeted counties have been empowered to monitor aid and basic service delivery and to engage with stakeholders at the county level. Community members level of awareness and capacity to monitor community projects have increased tremendously over the duration of the project. Access to information from service providers on the implementation of interventions has significantly improved.
- Enhanced capacity among communities to monitor interventions in their areas has led to an increase in knowledge on avenues to report suspected/potential corruption cases. Apart from the communities reporting to the local administration, they can now air their issues during the public forums, to the social auditors, Community Drought Management Committees and through the ICRM platform.

Text box 1: Leheley success story

Ahmed Gedi is a poor, physically disabled and a vulnerable community member from Kukale location. In March 2018, Ahmed came to social auditors in Leheley location supported by Transparency International-Kenya HAIP project and narrated his ordeal after he was left out during a targeting exercise conducted by Kenya Red Cross Society in March 2018. Kenya Red Cross Society is implementing a cash transfer program funded by ECHO in Wajir. The Leheley Social Auditor Chairman posted a short and precise text message in Wajir Accountability Forum describing the plight of Ahmed. "Ahmed Nunow Gedi come to Leheley Social auditors after hearing that Social auditors under Humanitarian Aid Integrity Programme(HAIP) under TI-Kenya do also provide Advocacy. Ahmed Nunow does not have a shelter and food and living single and disabled. Ahmed deserves cash transfer. During clan based targeting of beneficiaries always others with same status are left without being listed". The short message has made a difference in Ahmed's life after Wajir Paralegal Network, HAIP Wajir implementing partner made a follow up with Kenya Red cross Wajir Office coordinator Mrs. Abdia until he was registered.

Targeting in Wajir is based on clan method and dictated by community gatekeepers and local chiefs who exploit the process and the most deserving and vulnerable community members like Ahmed are not identified because they simply cannot raise their voice or not heard by clan leaders.

Thanks!!! Ahmed is now registered as a beneficiary and will benefit from the intervention cash transfer program.

Text box 2: Lagbhogol success story

Lagbhogol location is situated along Wajir-Garissa high way about 70KMs from Wajir town. Administratively; the location falls under Wajir South district of Wajir South Sub-county. It's one of the 10 locations which TI-Kenya's HAIP social accountability project is being implemented. In 2013, during a public forum, local community selected 10 social auditors who were later trained to undertake social auditing of projects/activities implemented by service providers within the location and identified by their community. Social auditors have conducted several audits which had meaningful results that improved transparency and accountability in service delivery.

In the months of May and June 2017, social auditors conducted two capacity building trainings for Water Users Committee in Ali Duma and Eyrib locations to help them build their knowledge and skills on accountability and transparency in managing public resources. The trainings were conducted by social auditors following a request made by the local communities from both locations.

Water Users Committee is a structure with quasi-administrative functions to manage public water sources and resources. Levies collected from the water users amongst the community members could help generate revenues for maintenance, repairs and other communal developments. If these ideals were properly upheld, high dependency on external support could decrease in the event of boreholes breakdown as the same revenue collected from local communities could suffice maintenances and hence sustainable management of public water sources could be realized. Unfortunately, due to inadequate knowledge and capacity of local communities, public funds generated from water sources have been misused by Water Users Committee. This prompted the local communities in the two locations to seek service from social auditors to create awareness on their rights and train respective water users' committees. Social auditors have since been recognized as a resourceful community structure on matters of accountability thus will continue supporting local communities to monitor progress and ensure that the water users committees have opened bank accounts and all deposits made are reported back to their respective communities.

b. Challenges experienced by TI-Kenya

- The social auditors do not own the process per se, as they depend on organisations to sponsor them rather than taking it as a community process for sustainability. TI-Kenya has continued sensitising the community on the ownership of the social audit.
- Since the project makes the community aware of their rights, the social auditors working on the ground may receive hatred and threats from the local leaders in the community, as they may be perceived as hindering their corruption schemes. TI-Kenya has continued reaching out to the different actors at the county on the importance and linking social auditors to the relevant authorities. TI-Kenya however also encourages social auditors to audit the projects as a group with support from the communities to avoid victimization.
- Apart from tracking the public funds, the community also needs to track the delivery of other services/ interventions by governmental and non-governmental organizations.
- Due to the nature of social auditing the repercussions may expose the auditors to harm.

4. SOCIAL ACCOUNTABILITY TOOLS

There are different tools used to implement social accountability projects worldwide. These tools help assess the quality of service delivery, and to monitor and evaluate a service improvement as agreed between citizens and service providers. These tools could also apply in monitoring County Climate Change Funds.

These tools include;

4.1 Community Score Card (CSC)/Community Voice Card

This is a community-based monitoring tool conducted by an intermediary who plays the role of a facilitator. It also includes a self-assessment of service delivery and performance by service providers. Access, quality and equity of basic service delivery are assessed using community developed performance indicators assisted by the grantees. This exercise targets community gatherings with no explicit sampling to ensure maximum local community participation in voicing their assessment of a priority intervention or service. Data capture is through focus group interactions at Micro/local (village, sub location, and facilities level) and takes 3 to 6 weeks to complete. The major output as a tool is the immediate response and joint decision making as opposed to the score card itself. Grass root mobilization plays a big role in awareness creation and invoking participation. Feedback to service providers is almost immediate and changes are arrived at through mutual dialogue during the interface meeting.

4.2 Citizens' Report Cards:

These are participatory surveys mainly conducted by intermediaries who play the role of conducting the survey and data analysis. This exercise targets randomly selected households mostly in urban settings. Data capture is through questionnaires at Macro (city, county and national levels) and takes a considerable amount of time (between 3 to 6 months) to complete. The major output is quantitative information on community perceptions concerning the quality, adequacy and efficiency of public services in the form of a report card. The media plays a big role in awareness creation and information dissemination after which feedback is given to the state or non- state service providers at a later stage after the media advocacy.

4.3 Participatory Planning and Budgeting:

Participatory Budgeting: Participatory Budgeting is a democratic process through which community members directly decide how to spend part of a public budget. Participatory Budgeting directly involve residents in the budgeting and Community -building process, foster civic engagement and community spirit, and help ensure that the developments Plans reflects the priorities of the community. It helps make budget decisions clear and accessible. It gives real power to people who have never before been involved in the political process. And it results in better budget decisions. Another best approach to participatory budgeting is when the community suggests alternative budgets to influence budget formulation by expressing citizen preferences.

4.4 Social auditing:

This is an independent and participatory assessment of the process and output of implementation of an intervention based on the initial objectives and goals conducted jointly by those people who are affected by, or are the intended beneficiaries of, the activity being audited and the implementing organization(s). A report is usually produced and an information sharing forum is held to decimate the finds to the community members by the social auditors.

4.5 Public hearing:

This is a formal meeting for receiving testimony from the public at large on a local issue, or proposed action. Members of the community and other stake holders have a face to face meeting with representatives of the organizations responsible for delivering aid and services to ask questions and get feedback concerning the intervention(s) in real time. Testimony from both sides of an issue is usually documented for public record, and a report summarizing the key points is generated. Sometimes, formal public hearings are mandated by law, in other cases, government and nongovernmental officials use them to gather information that will help them in making decisions or drafting policies and/or legislation.

4.6 Public Expenditure Tracking Survey(PET):

This is a means to assess if the allocated budget for the provision of public services is actually spent as intended, to deliver quality services. By studying the transfer and use of funds and in-kind resources, the Public Expenditure Tracking Survey provides a rigorous basis for citizens and citizen groups to engage in a dialogue with service providers and local government to improve budget execution for enhanced service delivery.

4.7 Gender Responsive Budgeting:

This is a means of integrating a gender dimension into all steps of the budget process. This ensures that budget policies take into consideration the gender dimensions in a society and can stop direct and indirect discrimination against either women or men, boys or girls (youth). It is about considering the different needs and priorities of both women and men without gender exclusivity. Gender Responsive Budgeting ensures that budgets are gender sensitive, not gender neutral.

4.8 Citizen Charter:

A citizens' charter provides the commitment to the services which will be provided by the public bodies. A Citizens' Charter has to be displayed at the premises of the office where services are being provided. A Citizen Charter mentions the types of services available, the service fee if any, the person responsible for providing the service, the service quality, the duration for provision of the service, the terms and procedures of service delivery and the remedy if the service is not available, etc. A Citizen Charter also signifies a commitment expressed by the government body in the context of a particular service meant for targeted service receivers.

4.9 Community Radio:

Community radio aims to change social conditions and improve the quality of cultural life through meaningful and relevant programmes that serves the need of the people. Especially when it owned by the community, it is participatory in nature as people actively take part in formulating the stations policy, strategy and programme content. Community Radio Stations

broadcast in local dialect hence the message is well understood and it assists people obtain their right by giving them a platform to express their grievances. Community Radio has enormous potential of voicing the concern within and between communities. Community Radio is an effective communication tool that can promote a high level of transparency and accountability by playing the watchdog role at all spheres of local public administration and good governance. It also facilitates access to information on matters relevant to the communities.

4.10 Civic Education:

Civic education refers to providing information and learning experiences to citizens so that they are empowered to actively and meaningfully engage in democratic processes. Civic Education deals with the ways in which citizens should be committed to work together with other citizens. It is important because it can bring positive changes in the way that a citizen views different issues in their society. Civic education helps develop the habit of developing an understanding and knowledge about the local context. Citizens should know how the central and local governments work, how the budget is formulated, how it is spent and how the acts and laws – which are matters of public interest - are put together. Until a citizen has information about how the governance system of a country operates and how it functions, civic campaigns are unlikely to be successful. It is not enough for an individual citizen to participate in public interest issues to bring about desired change - it is also necessary to know more about the ways in which other people can be involved and motivated.

In order that citizens reflect democratic norms and values in their work, they have to learn attitudes and practices that demonstrate a strong commitment to integrity, ethics and peace. They should not use violence and conflict as the means to achieve their objectives, but adopt peaceful ways to achieve the same goals. They should be committed to reach consensus through negotiation, dialogue and discussion. Citizens who are committed to fight for their rights and their entitlements, moreover, should not be involved in corruption, criminal activities and work that are against the spirit of the people.

4.11 Check List of Standards & Indicators:

Standards refer to the qualities and levels of the services declared for the public's use by departments and offices under various ministries of the government. Such Ministries declare that they will provide services of a certain standard and commit to citizens to maintain those standards. Such standards are made public through Acts, Regulations, Guidelines, Codes of conduct, White papers, etc.

Indicator: Standards, as mentioned above, must include information about the nature, quality and availability of the service, the time to be taken, the responsible authority and any fee involved in the service. Likewise, they should be measurable and written in simple and understandable language. The indicator is the measure of whether the service as per the declaration has been given or not, whether the service receivers are satisfied. The standard of commitment expressed for public service delivery and the list of indicators that measure the level of implementation are together the Check Lists of Standards and Indicators.

It is the right of the citizens who are getting government services to get them at an agreed level of quality. The service provider, in particular, makes a public commitment about the quality of service. Standards and check lists help enhance and measure the quality of service and also make it easy to monitor and review the implementation of already established standards. If a

service is provided without standards and indicators being clear, it will be difficult to know the extent to which the citizens are satisfied or dissatisfied. It will also be difficult for citizens to give feedback about the quality of the services that they have received.

4.12 Grievance Redress Mechanism (GRM);

This is a set of simple and transparent procedures that provide its users with access to safe and confidential means of expressing complaints and give guidance to staff about how to handle grievances to the point of giving feedback to the complainant. The Grievance mechanism can be complex and diverse. It may include institutions specific (internal) to a project and set up from its inception or others that have emerged over time in response to needs identified while the project evolved. Sometimes if a project is funded through external sources, the aid agency itself sometimes provides a forum for grievance redress. GRM can include avenues for resolving conflicts between affected persons or other stakeholders, and can provide information sought by the public on the project.

Redressing grievances of affected people should be an integral part of a project's design, plan, and management. Setting up appropriate mechanisms to address community concerns, prevent adverse consequences and risks, and bring about positive changes in people's lives and relationships is increasingly important in development projects. Resolving grievances of project-affected people at the lowest level, without allowing them to escalate into unmanageable levels, equally benefits both the aggrieved parties and the project implementers.

4.13 Multi-stakeholder Groups:

These are groups established as the result of working together with various groups and communities to effect change. These groups can be comprised of people who are interested in bringing expected changes and who can contribute to such changes; people who can expect to get benefits (directly or indirectly) from the expected changes;; people who are likely to be affected by any changes (and who may not only get benefits, but possibly losses as well) or people who are not directly involved, but are interested and remains ready to help bring about changes, for example journalists, civil society organisation, members, human rights activists, professors, teachers, and others.

4.14 Integrity Pact:

An Integrity Pact is a signed document and approach to public contracting which commits a contracting authority and bidders to comply with best practice and maximum transparency. A third actor, usually a civil society organisation, monitors the process and commitments made. Monitors commit to maximum transparency and all monitoring reports and results are made available to the public on an ongoing basis.

Integrity Pacts help save taxpayer money, ensure that infrastructure projects and other public works are delivered efficiently, and close off avenues for illicit gain.

4.15 Community Help Desks/ Help Desk Committees:

These are accountability mechanisms set up primarily to ensure that communities and any other stakeholders have an opportunity to provide feedback and complaints about the quality of service. Help Desks serve a double purpose:

- 1) as a corrective mechanism and means of achieving greater programme effectiveness;

- 2) and as a broader community structure that aims to empower communities to hold duty bearers accountable

The most used Social Accountability tools in Kenya on projects similar to CCCF are: Citizens Report Card, Community Score Card, Public hearing, Social Auditing and Grievance Redress Mechanism (GRM). The major purpose of these tools is to elicit social and public accountability and increase the responsiveness of service providers in the implementation of service delivery. TI-Kenya with the support of NDMA has been implementing social audits in Isiolo, West Pokot, Kilifi, Marsabit, Samburu, Turkana, Wajir counties to monitor interventions geared towards building resilience towards drought emergencies. In all the counties this action has brought about community participation in the design and implementation of projects.

5. ACCOUNTABILITY COMPONENTS IMPLEMENTED BY DIFFERENT NON-GOVERNMENTAL ORGANIZATIONS

Christian Aid has been supporting climate financing at local levels by ensuring communities access finance through bottom-up planning and prioritisation. They work in partnership with the Kenya Meteorological Department to support communities make informed decisions through access to climate information services. It also leads a Linking Preparedness, Resilience and Response (LPRR) project being implemented in Marsabit County in collaboration with World Vision, Help Age international and Safer World. The project aims to improve the understanding and use of best practices in preparedness and resilience in order to support communities affected by emergencies and communities at risk of violence.

HelpAge responded to 2011 drought response in Turkana by providing cash transfers and livelihoods support in 9 locations that were not included in the first phase of the Hunger and Safety Net Programme (HSNP). Help Desk Committees (HDC) were chosen as the most appropriate complaints mechanism. The consultations with communities revealed that people were aware of a similar structure functioning as part of the HSNP and asked HelpAge to introduce it in the project. One of the challenges of getting and responding to feedback was the nomadic nature of the Turkana communities which required a complaints mechanism to be mobile and 'always present among the people hence the introduction of community help desk committees. To facilitate this and to build trust in a mechanism in the context where 'complaining' is not considered culturally appropriate, the Help Desk members were elected by their communities (and not appointed) and giving feedback was framed not as 'complaining' but as people's right to quality support. This process has also helped shift the ownership of the mechanism from HelpAge to the community. One of the requirements for a Help Desk member was to be independent from the local administrative structures, but village elders and assistant chiefs were also consulted in each location and involved in resolving wider community grievances.

In Turkana, some of the HDC members were eventually incorporated into existing administrative bodies. At the same time, the feedback mechanism and wider accountability structures challenge existing power relations and have to be independent to allow the

participation of the more marginalised members of the community. In the case of Turkana, which is culturally conservative, women do not usually take part in decision making processes. HelpAge negotiated with village elders to include women as Help Desk members in order to facilitate their feedback. Women are often not given opportunities to raise issues – it's not accepted culturally. HelpAge sensitized elders and the wider community on the importance of women voicing their concerns. As a result, Help Desk members now include women and men, older and younger. In some villages, women became leaders of Help Desk Committees which was seen as a big achievement given the traditional context. This has been very effective as now women are complaining and providing relevant feedback regarding HSNP.

Cultural and context appropriateness of feedback mechanisms is found to be connected to the overall effectiveness of the mechanism (especially from communities' point of view).

World Vision implemented a project called Citizen Voice Action (CVA). It is a social accountability methodology which aims to improve the dialogue between communities and government in order to improve services that affect the daily lives of children and their families. First, communities learn about basic human rights and how these rights are articulated under the Constitution. Communities also have the opportunity to rate government's performance against subjective criteria that they themselves generate. Finally, communities work with other stakeholders to influence decision-makers to improve services, using a simple set of advocacy tools.

Local-level advocacy kicked off in 2013 in Turkana County against a backdrop of worrying quality of community health services and low levels of health sector staffing and financing. The CVA approach transformed health service providers to become increasingly responsive and accountable to the communities they serve.

World Vision, in collaboration with MoH officials, mobilised communities to elect community representatives as members of the local-level advocacy and accountability forums. World Vision also sensitized MoH officials on the CVA approach. The goal was to facilitate a common approach in addressing the accountability issues affecting the delivery of community health services in Turkana, Central and East sub-Counties.

World Food programme has a toll free line that enables the affected communities depending on relief food give feedback on the assistance and also access information.

IFRC is currently implementing a community engagement and accountability (CEA) project. It is a social accountability approach to Red Cross Red Crescent programming and operations supported by a set of activities that help put communities at the Centre of what they do, by integrating communication and participation throughout the programme cycle or operation. CEA is the process of and commitment to providing timely, relevant and actionable life-saving and life-enhancing information to communities. It is about using the most appropriate communication approaches to listen to communities' needs, feedback and complaints, ensuring they can actively participate and guide Red Cross Red Crescent actions. CEA supports those involved in programmes and operations to adopt innovative approaches to better understand and engage with people and communities and help them address unhealthy and unsafe practices. It maximizes the Red Cross Red Crescent's unique relationship with the

community to help them speak out about the issues that affect them and influence decision and policy-makers to implement positive changes.

Uwajibikaji Pamoja (“Accountability Together” in Kiswahili) is a web-based Integrated Complaint Referral Mechanism. The project is implemented by TI-Kenya in four counties (Turkana, West Pokot, Wajir and Marsabit), in partnership with over 60 state and non-state service providers both at local and international capacities. This initiative was first launched in April 2014 in Turkana, followed by West Pokot in September 2014, Wajir County in October 2014 and since February 2017 in Marsabit. The ‘Uwajibikaji Pamoja’ platform aims to improve service delivery for the local residents by facilitating coordination of service providers, enhancing capacity of service providers on accountability and sensitizing community members on their right to receive quality interventions. All this is achieved through community engagement via radio programming, joint out-reaches, influencing the accountability agenda through engagement with partners and policy makers, participation in forums, documentation, referral of complaints and dissemination of reports and lessons learnt through workshops and learning events.

The service enables members of the public to submit complaints or feedback concerning aid and service delivery through three channels: a toll-free SMS line, a web-based portal, or by filling out paper forms. People with no access to a mobile phone or internet can visit the nearest office of a participating organisation to lodge their complaints. A walk-in option also allows people who cannot read or write to report their cases. Complaints received from affected residents range from sectors such as food aid and health services, to education, planning, housing, public services management and include issues such as quality and timeliness of aid services, non-inclusion, conflict of interest and integrity of staff. As a result of the integrated complaints mechanisms, citizens in the targeted counties are now empowered to monitor aid and basic service delivery and to engage with service providers at county level. Community members level of awareness and capacity to monitor community projects have increased tremendously. This has since led to an increase in knowledge on avenues to report suspected/potential corruption cases and very effective since complaints are dealt with in a coordinated manner and all organizations sign a memorandum of association committing to resolve complaints and provide relevant feedback to the communities.

5.1 Counties with existing grievance redress mechanisms, how they receive, sort and redress public complaints.

Elgeyo Marakwet

The Complaints and Compliments Steering Committee is the designated complaints handling committee. The Committee’s role is more of a referral body in that it refers the received complaints to the relevant departments within the County Government. The Committee meets on quarterly basis or whenever a matter that requires its deliberations arises.

At departmental level there are accountability mechanisms to actually address the complaints. Complex complaints which cannot be handled at departmental level are taken up by the Committee.

In terms of channels for receiving complaints, the County receives complaints from the public through email, walk-ins, post, website, telephone, social media (Whats App, Twitter and Face

book) and suggestion boxes. There is also a register that records all public complaints. The County however does not have a legal framework or guidelines on complaints handling.

Nakuru

Nakuru County passed the Public Participation Act, 2014 which established appropriate mechanisms, processes and procedures to enable the local community participate in the affairs of the County. The county assembly ensured that the mechanisms, processes and procedures for citizen participation provide for participation by the widest sections of the public, and these may include; citizen forums; citizen juries and panels; focus group discussions; open days/exhibitions; citizen care desks and information centers; establishing a TV station and community FM radio stations; broadcasting the County Assembly proceedings to the members of the public; notice boards/suggestion boxes/websites; service charters and social networking facilities; County magazines / monthly newsletters Information bulletins; traditional media; and/or any other mechanism, process or procedure of citizen participation that may be suitable for the county. The County has a designated complaints handling committee in place. The County does not have a legal framework or guidelines on complaints handling.

Siaya

The County has a designated complaints handling Committee in place. The Committee meets after every 2 months or earlier whenever urgent issues arise. The Committee is responsible for following up on redressing of complaints.

The County has multiple channels for complaint handling which include email, walk-ins, posted mail, county website, social media and telephone. The County has no guidelines or legal framework on complaints handling.

In addition, the county Government of Siaya commissioned Citizens Help Desk targeted at increased enrolment of local students launched in partnership with KMTC. This is foreseen to have more students from the county get enrolled following the sensitization of the public through the citizen help desk.

Embu

The County has no designated complaints handling committee and no regular meetings on complaints handling are held. Sub-county and ward administrators take up the roles of complaints handling. There are suggestion boxes at ward level which are opened and discussed at ward level. Public complaints received at ward level are therefore discussed and acted upon by the ward and sub-county administrators.

The County receives complaints through physical walk-ins, telephone, email, post mail and suggestion boxes situated at sub-county and ward levels. There are no guidelines or legal framework on complaints handling.

Bungoma

The County has a complaints handling committee. In addition, there is a designated complaints handling focal point person who is stationed in the department of public administration in the Governor's office. The focal person receives complaints, records them in a public complaints register, sorts the complaints and forwards to the relevant department

for action. The focal person is also responsible for following up on the county departments to ensure actual resolution of the complaints.

The county complaints handling system is decentralized and complaints relating to ward and sub-county levels are referred there for action and resolution. The County also has specific templates for receiving complaints, summarizing the complaints received and final update of all complaints received and action taken.

The County has multiple channels for complaint handling which include email, county website, physical walk-ins, telephone and social media. The County has no guidelines or legal framework on complaints handling.

Nairobi

The complaints handling function in the County is undertaken by the Public Relations Department. There is a designated Committee in place which handles complaints alongside other public relations activities. There is a designated focal person at the customer care desk who receives complaints, records them, sorts the complaints and forwards to the relevant departments for action and resolution. The Committee meets weekly. This structure of complaints handling at the County government headquarters is also replicated at the sub-county level. The focal person is also responsible for following up resolution of complaints with the relevant departments.

The County has multiple channels for receiving complaints which include physical walk-ins, email, post mail, county website, social media and telephone. There are no guidelines on complaints handling. The Nairobi County Public Participation Act provides for complaints handling.

Makueni

The County has deployed participatory budgeting by engaging residents and community group representatives of all sections of the community to discuss and vote on spending priorities, as well as giving citizens a role in the scrutiny and monitoring of the public spending and budget implementation. The increased citizens' participation has led improved efficiency in public funding administration and living standards of the citizens in each locality. This participatory budgeting should CCCF with the presence of WCCPCs.

6. PROPOSED LIST OF SOCIAL ACCOUNTABILITY TOOLS RELEVANT IN MONITORING COUNTY CLIMATE CHANGE FUNDS

Below is the proposed list that have been piloted with various interventions and relevant to the projects implemented through County Climate Change Funds;

6.1 Grievance Redress Mechanism (GRM);

A Grievance Redress Mechanism should be part and parcel of the roll out of devolved climate finance investments in order to enhance accountability, responsiveness and participation of communities. The grievance redress mechanism of a project will help to measure its efficiency and effectiveness as it provides important feedback on the implementation. Among many tools that enable capturing of project beneficiaries' concerns and solving them are Grievance Redress Mechanisms (GRMs). County Climate Change Planning Committees should be trained on behalf of the community to receive grievances and give feedback.

6.1.1 Guiding Principles for the Establishment of a Grievance Redress Mechanism by ADA

In order for the Adaptation Consortium to make a GRM effective and successful its establishment is guided by the below principles:

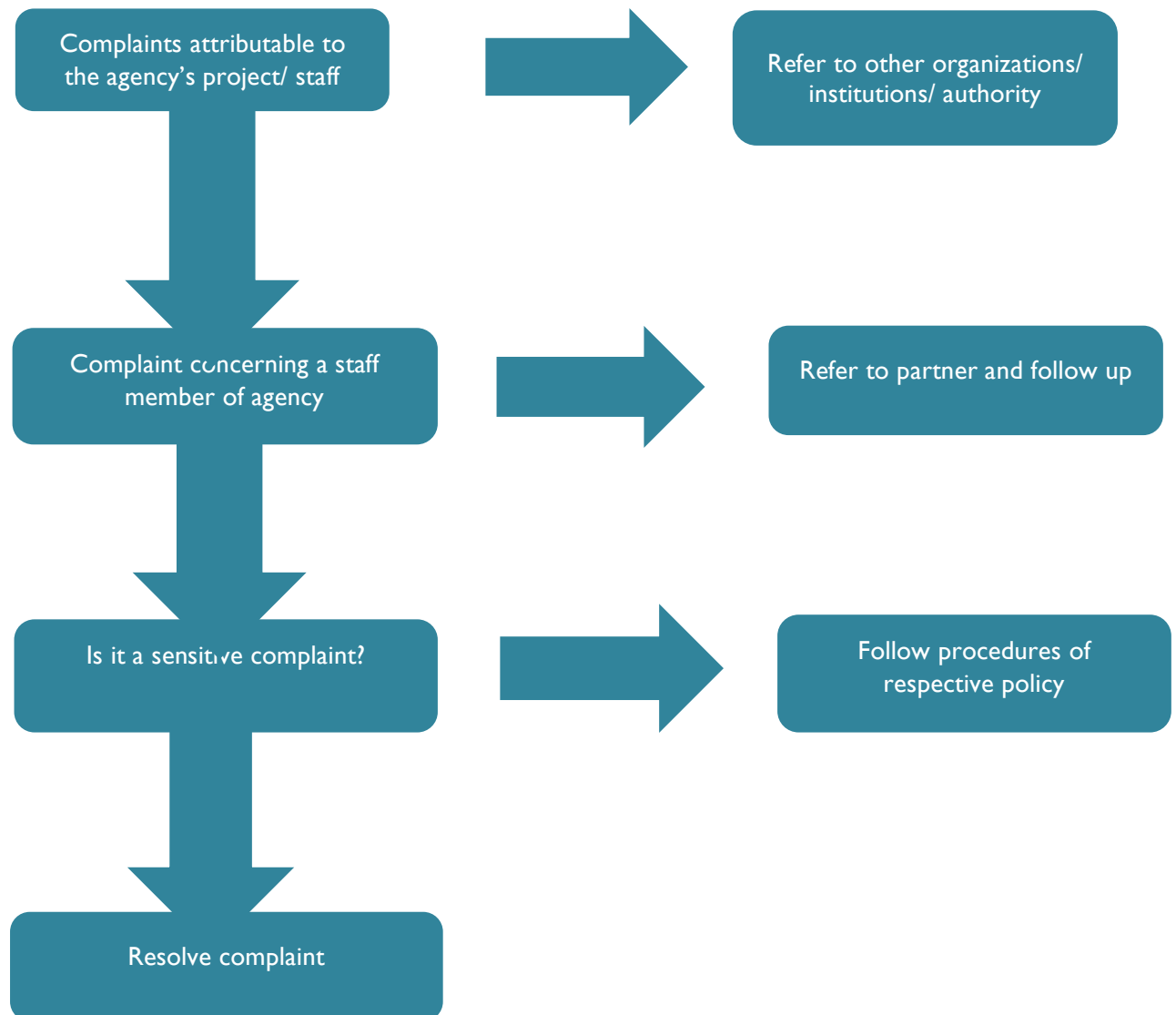
- a) **Commitment to fairness, transparency and accountability** towards the communities they work with in all the ASAL counties.
- b) **Participation** by all ADA consortium stakeholders in developing a locally adapted redress mechanism for each specific context: Articulation and handling of grievances is a very culturally sensitive and context-specific issue. It is therefore important for ADA to involve all stakeholders in the design and establishment of the mechanism; otherwise it is unlikely that it will be used.
- c) **Safe access** to the GRM for all potential users, especially those communities that ADA works with.
- d) **Confidentiality:** In order to create an environment in which community feel safe to raise their grievances, it is vital for ADA to ensure that information received from complainants is treated confidentially and only shared with designated staff within the different consortium member organisations to resolve the issue and give feedback.
- e) **Clear information:** The mechanism can only be effective if the communities have knowledge about how it works and are reassured by ADA being the convener of the GRM that it is safe and confidential to raise grievances without fear of victimization.
- f) **Simple and effective mechanism** that is easy to implement for staff in charge especially at project level and even for community utilization. The County Climate Change Planning Committees should be able to interact with the system without any difficulties.
- g) **Openness to learning:** Grievances give important information on areas where there is room for improvement. This will give ADA and consortium members implementing CCCF

interventions information that will help them improve the way they serve the community and to increase the impact of the projects they implement in the communities.

6.1.2 Steps in designing and implementation of a Grievance Redress Mechanism

- 1. Identify appropriate communication channels together with the project/ activity beneficiaries**
 - Involvement of the communities and stakeholders in its design
 - Literacy levels also need to be considered
 - Technical access to different means of communication
 - Assess the social and power dynamics before deciding on the communication channels
 - Cultural dynamics regarding complaints in the community should be assessed as well
 - Different target groups of the GRM should be considered
 - Options for the communication of complaints: phone number for SMS or calls (if possible toll free), published email address, community complaints committee, complaints/ suggestion box, FGD for feedback and complaints, home visits to beneficiaries, complaints desk, regular timeslot for complaints at the relevant agency.
- 2. Advertise the Complaints/ grievance mechanism**
 - The affected population/ beneficiaries, partners and other stakeholders have to have information about the GRM
 - Assure the communities about the confidentiality, safety and effectiveness of the GRM/CRM
 - It is also critical at this point to manage expectations of the community
- 3. Receive and record complaints**
 - Designate staff to receive complaints/ grievances
 - Record complaints in complaints log book or forms
 - Safety, confidentiality of the complaints should be sustained at this stage
- 4. Clarify complaints**
 - Does it fall within the scope of the department/ project?
 - Is it a sensitive complaint?
 - Is it non-sensitive complaint?

6.1.3 A summary on the analysis of complaints:



5. Resolve complaints

Staff are encouraged to resolve complaints immediately if they can be dealt with easily. However, even if a complaint can be solved on the spot it should still be recorded for learning purposes

Anonymous Complaints

- If a complaint is received anonymously it still needs to be assessed whether it is substantial and whether there are any actions needed to solve the complaint, even though it isn't possible to give a response directly to the complainant.

6. Learn from the Complaints

It is important that all complaints are recorded so that the records can be reviewed in order for the CCCF stakeholders to identify opportunities for improvement and collectively agree on steps forward.

County Climate Change Planning Committees will follow up on the recommendations agreed upon to ensure its implementation.

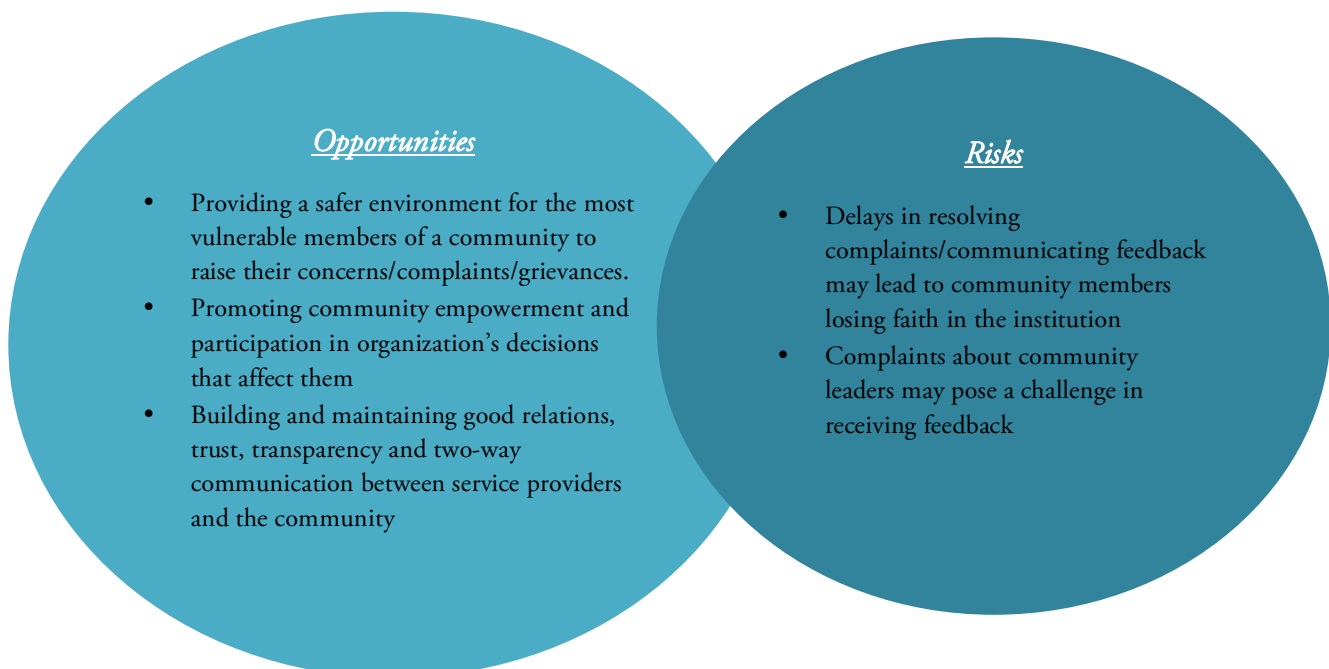
6.1.4 Advantages of the GRM

- a) It enables service providers to be responsive to the needs of beneficiaries and to address and resolve their grievances.
- b) It serves as a channel for soliciting inquiries, inviting suggestions, and increasing community participation.
- c) It enables service providers collect information that can be used to improve operational performance.
- d) It enhances the project's legitimacy among stakeholders.
- e) It promotes transparency and accountability.
- f) It helps service providers deter fraud and corruption and mitigate project risks.
- g) It solves project-related disputes and ensure that projects achieve their intended results.

6.1.5 Disadvantages of the GRM

- There is a lack of evidence that beneficiary feedback mechanisms do actually improve the efficiency or effectiveness of aid.
- Beneficiary feedback mechanisms may facilitate better downward accountability, but there is no evidence to show that this is the best method.
- Some service providers develop GRM as a donor requirement and not to serve its purpose
- Community Members misuse the system

6.1.6 Opportunities and Risks to the Community Members



6.1.7 Opportunities and Risks to the Public policy makers

Opportunities

- Fulfilling constitutional obligation of ensuring public participation
- Informs policy decisions and budget allocations/Provision of data that supports policy decisions
- Helps identify and resolve issues before they are elevated to formal dispute resolution methods
- Access to valuable information about the institution's external environment perceptions
- Builds trust among government agencies and community members if complaints are well handled
- Timely and qualitative implementation of projects

Risks

- Some concerns may be biased or be based on rumors
- Negative feedback may not be received very well by certain agencies leading to conflicts
- Institutional priorities may affect the incorporation of community feedback

6.1.8 Opportunities and Risks for and to Donor

Opportunities

- Promotes sustainability of projects and reduces dependency by placing a community's destiny in the hands of citizens and service providers
- Helps identify and resolve issues before they are elevated to formal dispute resolution methods like courts
- Reducing operational and reputational risks that may result from leaving issues unresolved
- Supporting programme monitoring and timely and qualitative implementation
- Provision of data to showcase successes and for learning/improvement purposes
- Demonstrating that the agency recognizes, promotes and protects beneficiaries' rights
- Reduces corruption risks in the entire project cycle

Risks

- Lack of resources to sustain the mechanisms
- Grand expectations from community members regarding complaints made

6.2 Community Score Card (CSC)

A community score card is generally held in four phases.

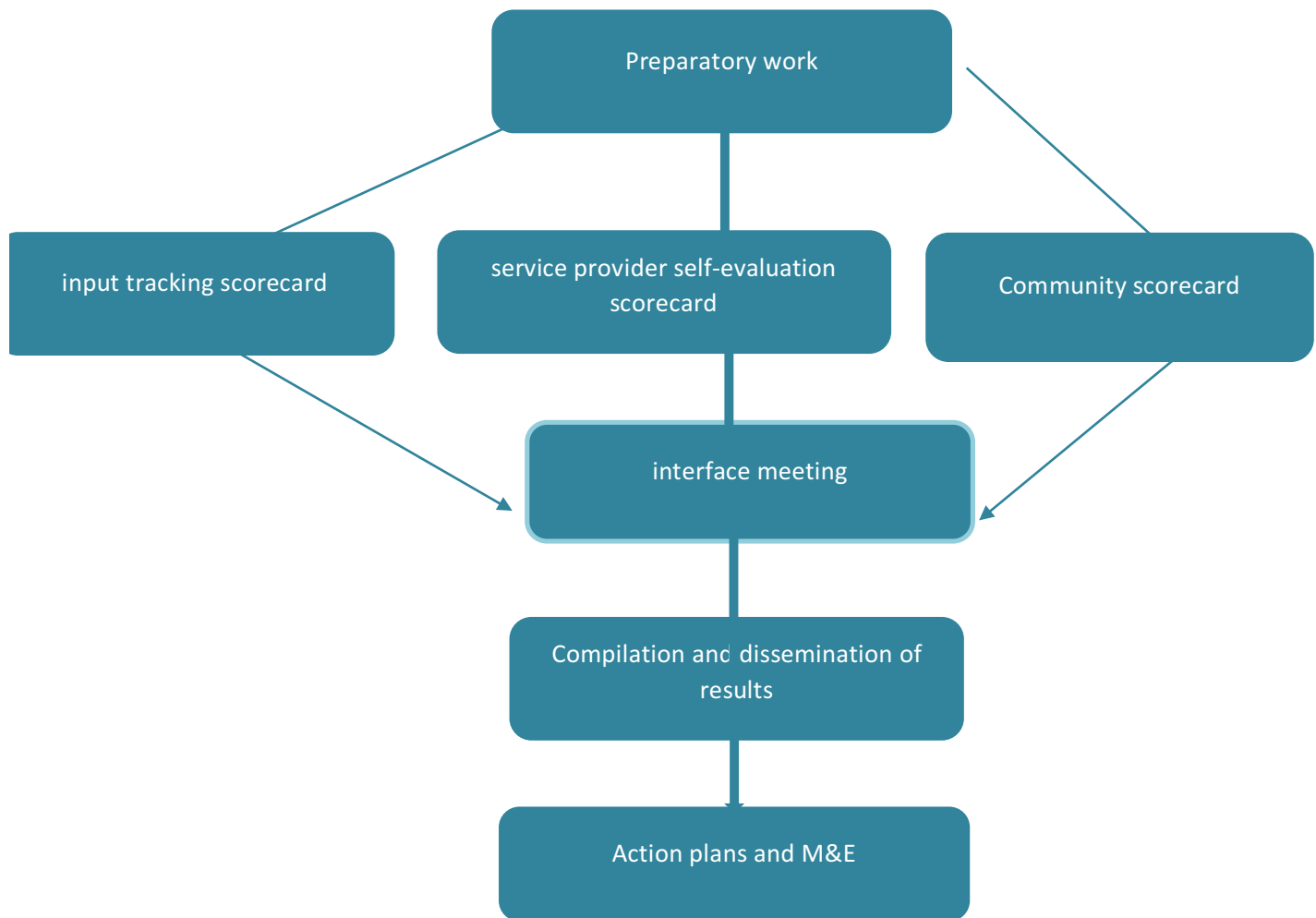
- First phase, estimates about resources and the budget of the office under scrutiny are evaluated
- Second phase, work performance is estimated. While doing so, service receivers and providers discuss the matter together.
- Third phase, service receivers and providers sit in separate groups and evaluate the service.
- Fourth phase, service receivers and providers again sit together and discuss the indicators and the facts. The exercise of sitting together and listening to each other raises the feeling of mutual respect and also plays a significant role in forming consensus outcomes of the Community Score Cards.

This tool also allows people make more efficient use of resources through the monitoring of a particular service or project. Those who provide the services get direct feedback, as they sit together with those who receive the services and who make their contribution by presenting their suggestions for reform.

The following are requisite for a community score card to be effective,

- An understanding of the socio-political context of governance and the structure of public service delivery at the decentralised level
- Technical capacity of facilitators, typically a third-party group that can facilitate discussions impartially for example personnel from a research institute;
- A strong publicity campaign to ensure maximum participation from the community (users), service providers and other stakeholders and institutional capacity to absorb and respond to issues raised by the community.

6.2.1 Steps in a community scorecard process



6.2.2 Advantages

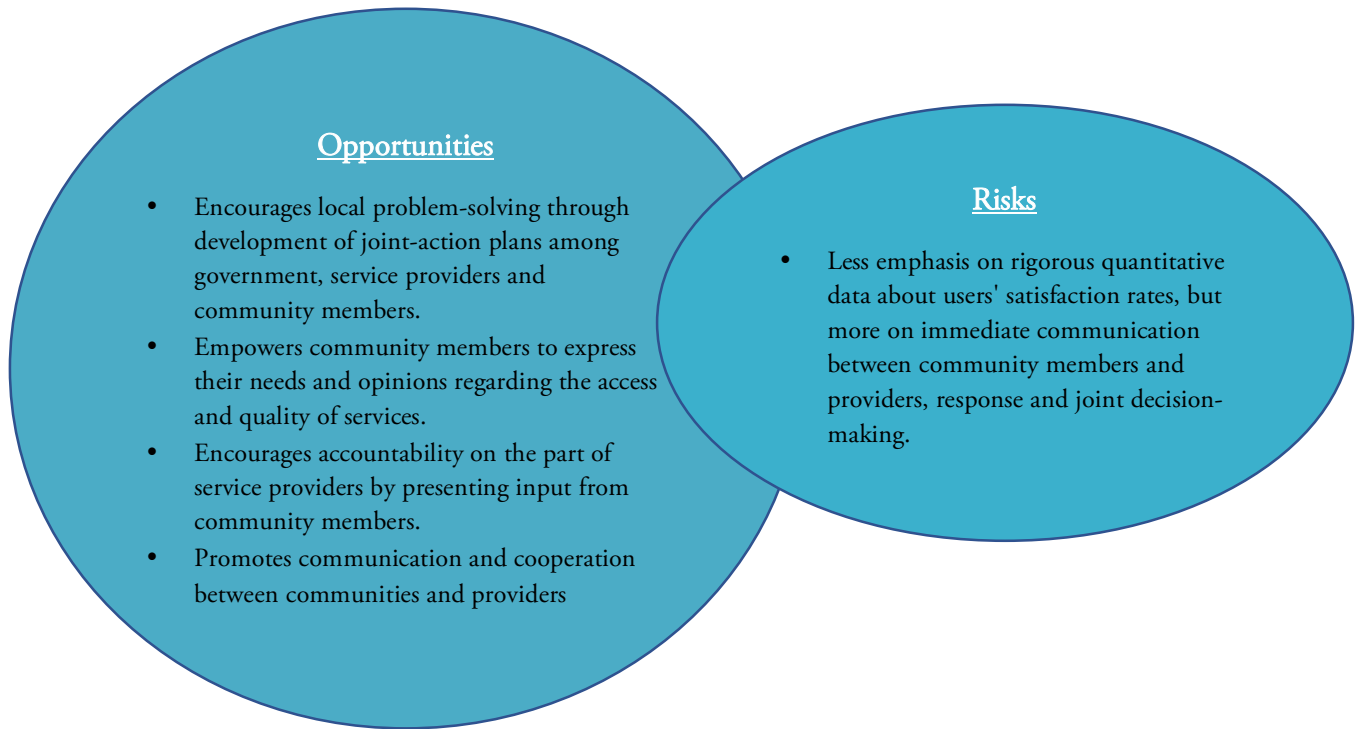
- Its monitors and improves the quality of services, facilities or projects
- Track inputs and expenditures (e.g. availability of drugs at a medical centre)
- Identifies community-approved 'benchmark performance criteria' for resources and budgeting decisions
- Compares functioning, performance and satisfaction across facilities and districts
- Improves feedback and accountability loops between providers and users
- Links CSC findings with internal management and incentive systems of ministries and service providers
- Strengthens citizens voices and community empowerment – the reason for the community focus.

6.2.3 Disadvantages

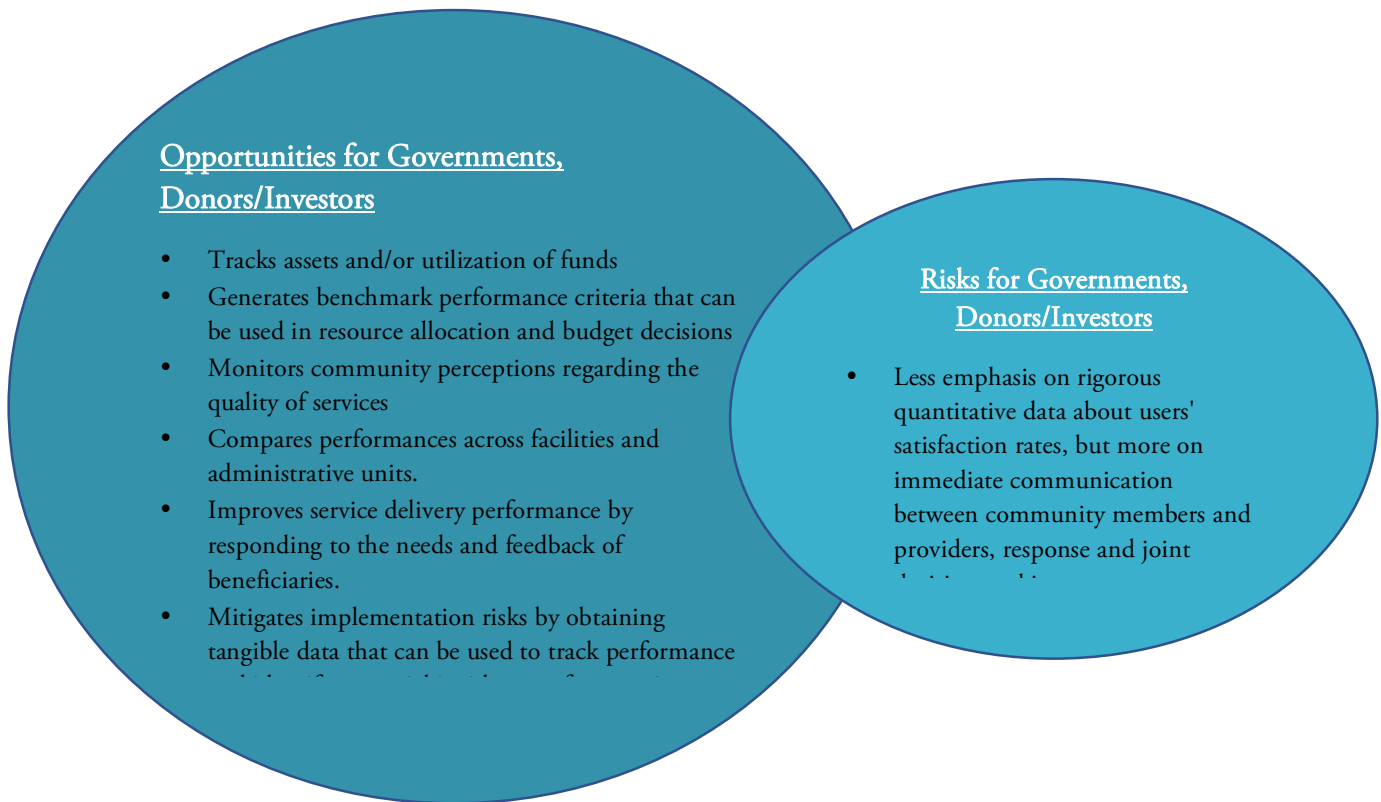
- Less emphasis on rigorous quantitative data about users' satisfaction rates, but more on immediate communication between service users and providers, response and joint decision-making

- This can also be taken as a method to make service providers accountable to citizens. For instance, local citizens receiving services and organisations can sit together and evaluate the services collectively. Such exercise can be done both in a single group or in a variety of groups.
- In this method, those who have received services can score them with different points based on different indicators about of the service delivered.

6.2.3 Opportunities and Risks-Community members



6.2.4 Opportunities and Risks – Government, Donors/Investors



6.3 Social Auditing

Social audit enables both implementers and users of projects to systematically examine the impact of projects and to compare the real achievements with the planned benefits. It is applicable for projects such as construction/Infrastructure (facilities and roads), relief operations (food aid and non-food items).

The scope varies ranging from comprehensive national audits to localized community audits at grass root level (distribution, construction site).

6.3.1 Key steps in implementing a social audit

Social audit practices are influenced by the project under review and so can use various techniques and methodologies. The following is a simplified summary outline of key steps.

1. Before the social audit exercise

Preparatory groundwork

Step 1: In consultation with the partners, define the scope of the audit, (the specific service, organization, program, project, component or activity to examine).

Step 2: Form a team to implement the social audit.

Step 3: Identify people of authority in the sample area who can help in the implementation of the SA process, such as Religious leaders, village elders and chiefs.

Step 4: Develop a clear understanding of the objectives of the project/service in question

Step 6: Develop performance indicators.

Step: 7: Sensitize the community members and implementers about the aims and benefits of the social audit.

2. During the social audit exercise:

Information gathering and analysis:

Step 1: In collaboration with the partners, access relevant documents. (Accounting records, technical project reports and other managerial records). Aim to obtain original documents rather than second-hand reports which may not be accurate.

Step 2: Gather data from community members and the services providers about their perceptions and experiences of the project/service under review

Step 3: Importantly, the process of information-gathering can also serve to inform key stakeholders and community members about the issues at hand and to mobilize public pressure and action for change.

Step 4: Analyze collected data (this will require some specialized assistance from the partners).

3. After:

Public disclosure and evidence-based dialogue

Step 1: Disseminate findings and outcomes (using, for example, through public meetings and community forums).

Step 2: Convene a meeting with community members and implementing organization to discuss findings and formulate proposed changes/solutions.

Step 3: Convene public dialogue meeting(s) to allow community members to discuss the evidence with authorities/implementers, and to plan and implement changes.

Follow-up

Step 1: In coordination with partners and when necessary, use findings to undertake advocacy activities to address specific instances of mismanagement and corruption.

Step 2: Sensitize community members and implementers to undertake future social audits.

Step 3: Aim to ultimately have social audits adopted as standard practice within governance processes or repeated regularly.

6.3.2 Advantages of Social Audit

- It ensures implementation of the intervention/service is transparent and known to everybody
- Increases public participation at all stages of the project cycle
- The process Identifies, controls and reports any irregularity in the implementation of the project.
- It prevents abuse of funds and other forms of corruption (nepotism, conflict of interest, etc)
- Ensures projects are completed as per the intended timing and specifications
- It measures the adherence of the project to the intervention's intended objectives and goals.
- It enables people to exercise their rights- they could also be used as effective advocacy tools.

6.3.3 Disadvantages of social Audit

- Time consuming - the time needed to train community members and for them to collect and analyze information can be lengthy and costly due to needed depth (grassroots workshops)
- Sustainability- the process should not engender dependency on an external organization but rather as a push from within the community
- Difficulties in accessing information -data can be unavailable, withheld by service providers and presented in formats that are difficult to understand and analyse.
- Gathering the data can be monotonous therefore leading to a risk of loss of enthusiasm by auditors due to a feeling of familiarity with the context of implementation of intervention by familiar organizations.
- Misrepresentation of information – Governmental and governmental organizations are sensitive about defamation. Ensure all information is factual and properly referenced/ back up to avoid risks of being prosecute

6.3.4 Opportunities and Risks- Community members



6.3.5 Opportunities and Risks -Government/Public policy makers

Opportunities for Government / Public policy makers

- Encourages community participation
- Informed budget allocation
- Data for comparison of policies and standards
- Fulfilling constitutional obligation to involve communities
- Enhances policy-makers' understanding of stakeholder concerns and encourages them to take steps to address the same

Risks for Government / Public policy makers

- Misinterpretation of information by community members
- The non-existence of accurate public records is a problem
- They may feel threatened by the process
- Social audits, if not handled sensitively, can inflame emotions and can potentially lead to conflict or retribution from those who are "exposed".

6.3.6 Opportunities and Risks –Donors and Investors

Opportunities

- Minimizes reputational risk by building a good image of the organization
- Provides data to demonstrate successes of projects and for comparison purposes
- Improved design and delivery of programs
- Promotes community empowerment

Risks

- Social audits, if not handled sensitively, can inflame emotions and can potentially lead to conflict or retribution
- Sustainability of the community groups and activities

6.4 Citizens Report Card

A Citizen Report Card (CRC) is an assessment of public services by the users (citizens) through client feedback surveys. It goes beyond data collection to being an instrument for exacting public accountability through extensive media coverage and civil society advocacy that accompanies the process.

It is used to solicit users' feedback on service delivery providers' performance and to provide citizens with the opportunity to systematically rate and help improve service delivery.

A CRC is generally used at the macro-level (i.e., city/state/national) and mostly in urban settings. CRCs are often used in instances where important data such as user perceptions on quality and satisfaction with services, is scant or absent. Local and national newspapers and the electronic media are very often important allies in the CRC process. Undertaking a credible CRC initiative requires training in survey methodology including statistical analysis.

CRCs generally query respondents and conduct statistical analyses on the following service-related issues:

Access: How many members of a given population have access to a particular service? This analysis can be further disaggregated to capture differences between specific locations, gender, age, socio-economic groups, and/or ethnic groups.

Usage: Where access exists, to what extent is the service infrastructure being used? What are the reasons for non-use, where this exists? The objective of such questioning is to understand how effectively delivery is functioning, and where the shortfalls in it lie.

Quality: How satisfying, useful, and relevant is the service? What is the quality of service supply?

Reliability: Is the service being delivered as per stipulated schedules and specifications? How? What are the reasons why these occur?

Problem incidence and responsiveness: How often do respondents experience a problem with service? Do they complain, and to whom? How rapidly is the problem resolved?

Service and opportunity costs: What costs (including 'forced' investments in alternatives) are respondents bearing due to poor service, demands for unauthorized payments, undue distance, and inconvenient delivery schedules/mechanisms?

Transparency in service provision: To what extent do service providers proactively disclose norms and standards in relation to service delivery?

6.4.1 Key steps in implementing Citizen Report card

Step 1: Pre-survey preparation:

- Implementing agency holds detailed focus group discussions with users and service providers to identify key service challenges and design preliminary questions for the questionnaire.

Step 2: Administering the survey:

- Draw on the answers to the scope questions to determine the targeting strategy.
- Base targeting and stratification decisions on a variety of factors including geographic boundaries, demographic composition, and service infrastructure.

Step 3: Data entry and analysis:

- Enter collected questionnaire data into a database and analyze it.
- Typically, respondents rate or give information on aspects of government services on a scale (e.g. 1 to 5).

Step 4: Dissemination of findings to key stakeholders

- Launch CRC findings in a high-profile press conference and distribute materials to members of the print, and electronic media (it is often useful to prepare press kits and press releases to facilitate this process).

Step 5: Sustaining momentum for change

- Possible strategies include awareness campaigns and public dialogues, asking service providers to make public commitments in relation to service delivery improvement, continuous monitoring by civil society organizations (CSOs) and the media, town meetings between government officials and citizens, and the exchange of best practices through workshops.

Step 6: Institutionalization

- Possible strategies include sensitizing stakeholders about the CRC process, enhancing the capacity of CSOs to monitor providers' service delivery performance, maintaining regular interactions between users and service delivery providers in relation to assessing performance and working with service providers to integrate independent assessments of service delivery outcomes in the broader performance management systems.

Advantages of the Citizen Report card

Advantages for Service providers/Agencies

- Obtains credible feedback on users' perceptions regarding service delivery
- Tracks service delivery performance for services that have either been decentralized or contracted out to private providers
- Monitors the effectiveness of public spending across geographies and sectors
- Establishes benchmarks to promote performance improvements
- Assesses whether programs are achieving desired objectives.

Advantages for Citizens

- Informs citizens on norms and standards for service delivery
- Obtains information that can be used to hold service providers accountable for delivering results
- Generates public support for change.

Advantages for Government/public policy makers/Donors

- Enables flexible use: citizen report cards can be used to compare performance across sectors, or compare multiple service providers' performance within the same sector.
- Mitigates implementation risks by obtaining tangible data that can be used to track performance and identify potential incidences of corruption
- Informs development practitioners on social and cultural barriers to access to services that may not have been foreseen during project design.

6.5 Public hearing

Public hearing brings together both community members and implementing organizations to discuss and resolve challenges related to aid and service delivery at grass root level. This is applicable to all projects for different sectors both at national and grass root level.

6.5.1 Steps in conducting public hearing

Step 1. Get on the agenda.

When there are other hearings and forums at the county or sub-location level related to your cause, no matter how inconveniently scheduled they are or how unimportant your group may be politically, you should do your best to make sure your presence is felt and voice is represented in the testimonies.

Step 2. Establish goals for the hearing.

First and foremost, you should know what you want to accomplish with this event. Knowing your goals will also help you choose the best possible people to testify.

During a public hearing your main goal is probably to get your message across about whatever issue or problem is being discussed.

Step 3. Find people to testify and prepare them well.

You have to carefully pick the people who can best gear their testimony to your message, whether they're highly articulate experts in the field or program participants with compelling real-world experience of the issue. You'll want to find people with whom you feel comfortable as representatives of your cause, because they're likely to be seen that way, even if they're not involved in your organization.

Step 4. Book a location and set a date and time for the event.

If you are the one organizing the hearing, based on the community context, it's important to choose a good time and an appropriate venue for the event.

If possible, the hearing should be held in the area that is being affected by the issue - this will draw in more local people who are really invested in the issue. For example, if the hearing is related to unfinished water project, holding it near the site or a similarly stalled project will have more emotional impact and bring in more people who really care about the issue than if you had it at a hotel conference room somewhere at the County headquarters.

Step 5. Make arrangements to ensure accessibility.

If you are not the one organizing for the hearing, you have no business in making the arrangements. On the other hand, if you are the one, do you have an interpreter for this event? Is the venue accessible to all community members including the physically challenged people? Will there be any written materials to be handed out?

Step 6. Choose a facilitator.

If you are making all the arrangements, you will want to designate a facilitator. This person should not be one of the panelists and, if both sides of an issue or problem are being represented, he or

she should be an impartial party not affiliated with either side. The facilitator's job is to introduce the speakers, guide the discussion, and make sure that all participants are heard.

Step 7. Publicize this event well

Inform the local authorities, community members and other stakeholders involved in providing aid and services at the sub location level in good time that you are organizing a public hearing. Inform them about the scope and goals of the meeting and panelists. Inform the local media about this event. If you have any contacts in the press, get in touch with them personally and ask them to consider covering the hearing.

Step 8. Try to ensure a supportive audience.

Ensure that the public hearing is well attended by community members (including women, special groups, etc.). This is particularly important for a public hearing, because people will be paying attention to how many people participate in the event. Ensure that community members will be willing to share and testify regarding the challenges they experienced with particular projects or services in the presence of the managers responsible of the implementing organizations.

At the public hearing

- Start with a brief introduction.
- Allow each side to offer testimony.
- Take thorough notes.
- Conclude the meeting in highlighting the findings and way forward

After the public hearing

- Follow up
- Provide feedback to the community and stakeholders
- Get together with your colleagues and discuss the outcome.
- In the days following the hearing, sit down and figure out how things went and how can things be improved next time. Did the people who were present seem to understand and support your side of the issue? Getting an idea of where you stand after the hearing will help you better decide how to move on.

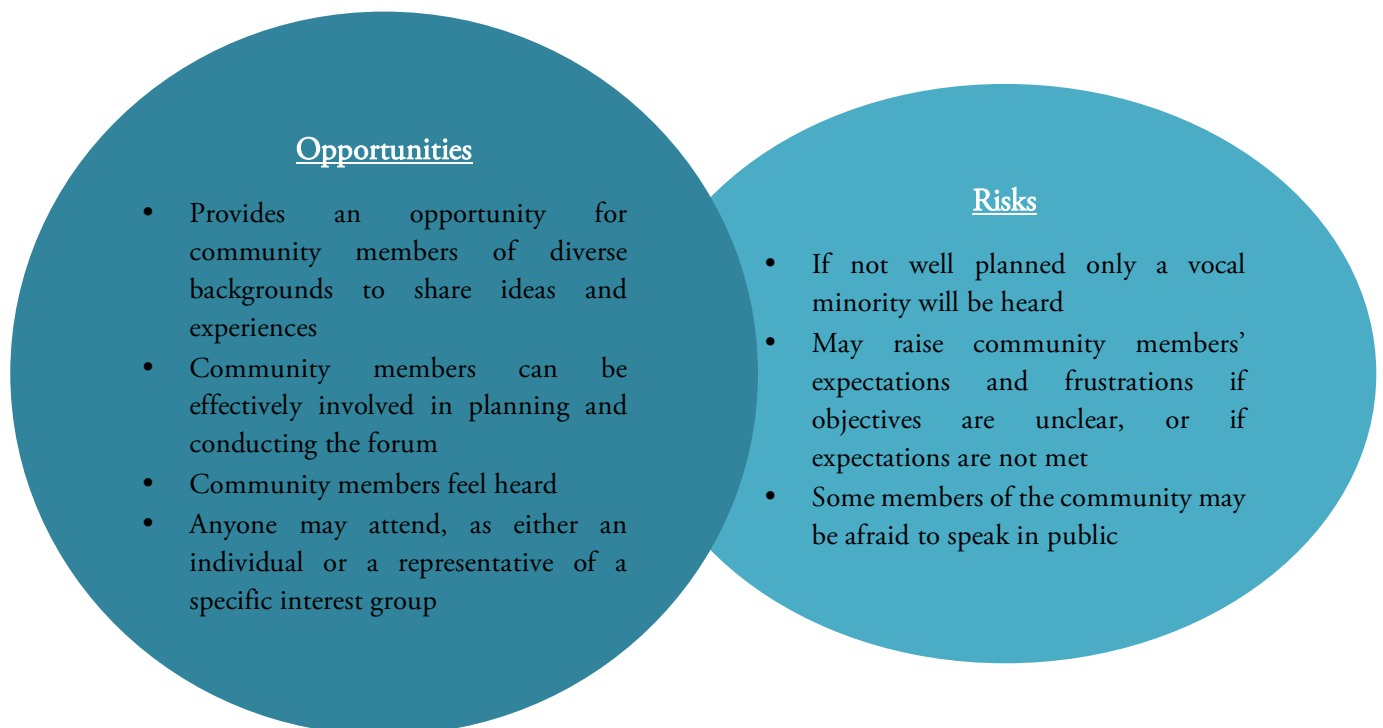
6.5.2 Advantages

- It Identifies misunderstandings between the community and the service provider
- Detects gaps in the implementation process
- Makes the project more needs-based as the service provider will engage the community directly
- It helps manage community expectations
- It Provides psychological reassurance
- It gives the community the right to express opinions on service delivery – strengthening accountability and reducing community conflicts/tensions
- Feedback is immediate
- It builds good relationships between the service provider and the implementer

6.5.3 Disadvantages

- Both the organisation and the facilitator conducting the Public Hearing may not be competent, independent, neutral and sufficiently sensitive.
- Service providers present in the Hearing may not present themselves sensibly in response to questions raised by the service receivers.
- There may also be the possibility of the program being obstructed by individuals raising issues of political revenge rather than focusing on the local community's issues. If this happens, then it makes it difficult to achieve the objectives of the program.
- Sometimes the agency officials may fail to participate in Public Hearings fearing that they may receive negative comments from their projects
- It is also quite difficult to ensure that poor and marginalized citizens of the local community participate in the Hearing - those who are present, may well be afraid of raising their voices publicly. This limits to listening to the views of the upper class and elite groups.
- Sometimes it may be difficult to manage a public hearing when Community members become emotional, agitated and/or hostile with the issues raised.

6.5.4 Opportunities and Risks to the Community members



6.5.5 Opportunities and Risks to the Governments/Public Policy Makers, Donors and Investors

Opportunities

- Gives community issues a broad visibility
- Design is flexible so variety of techniques can be used
- It is inexpensive
- Can provide a quick, intensive picture of community concerns
- Useful to identify problems, assess needs, or to suggest questions requiring further study
- Demonstrates that the responsible authority is open to all interested parties for consultations and information exchange.

Risks

- Poor planning and mobilization may result in poor participation
- The public setting may restrict information people will give
- A large turnout may prevent everyone from speaking and may limit time allowed for each speaker hence the information gathered may not be as representative
- Public hearings are prone to hijacking by interest groups or vocal individuals and minority individuals may not speak.

7. RECOMMENDATIONS TO ADA ON THE SOCIAL ACCOUNTABILITY TOOLS TO STRENGTHEN THE CCCF MECHANISM.

Transparency can play a significant role in the promotion of adequacy and effectiveness of climate finance flows.

With respect to climate finance, transparency requires the disclosure of information through detailed reporting on a project-level. Such reporting allows for the examination of whether the funds have been used as planned, and whether their use has been effective. Because of the increasing commitments of developed States towards climate finance by 2020, great consideration has been taken in developing a ‘transparent, accountable and verifiable’ climate finance framework. There is a general recognition that transparency is essential to gather information and ‘improve understanding’ of the actors benefiting from climate financing, how resources are being used and whether they meet the needs and objectives of climate finance. Moreover, transparency is a necessary means to ensure accountability, as it constitutes a precondition and prerequisite to safeguard accountability of the climate finance entities for their actions.

In order to ensure transparency and predictability in the flow of climate funding, it is necessary to establish mechanisms, which enable the review of transparent action and guarantee for the effectiveness of the system. Reporting is fundamental for the enhancement of effectiveness and the achievement of transparency in climate finance. Reporting policies on resource mobilization and allocation and project-cycle management developed by the Funds and their implementing entities provide for a tracking system that allows the above entities to keep a record, and report all the information relevant to climate finance.

This report recognizes the accountability mechanisms that exist within the implementation of the CCCF and the milestones that have been realized thus far. This includes the County Climate Change Finance mechanisms (CCCF) that Makueni, Wajir and Garissa passed as the Legislations. Isiolo and Kitui legislations are in their respective county assemblies awaiting approval. Notably, in partnership with TI Kenya and other stakeholders, Kisumu County has developed a robust legal, policy and institutional framework for climate change captured in the Kisumu County Climate Change Policy and Kisumu County Climate Change Bill, 2018. Though both documents are yet to be passed, they provide for 2% of the county budget to finance climate change interventions. Additionally, access to Climate Information Services used by the communities in the identification of investments to ensure that they take into account climate risk which also assist them plan better has been enhanced.

The CCCF reported quite a number of community prioritised investments and resilience planning tools which five counties developed. Climate Information Service (CIS) plans to guide in dissemination of timely and relevant climate information have also been developed. This in turn ensured that county governments are able to identify cost effective ways in which their planning can strengthen local adaptive strategies and build long term resilience to climate change.

Vulnerable communities have also been empowered to access and exercise oversight over the flow of climate finance from national to local levels through WCCPCs and also women are being involved in the decision-making processes. This has ensured everyone effectively contributes to the projects.

Traditional, customary or informal justice systems have also been identified to be playing an important role in the lives of the marginalised communities, especially in contexts where the official justice structures are largely not being utilized. Religious leaders, village elders, local elites are usually asked to arbitrate disputes or any accountability issues. Such systems are more relevant and accessible for marginalised people than state institutions. They empower people and lead to real local-level accountability due to higher levels of trust. If organisations distrust existing local community mechanisms, it may lead to creation of parallel structures and overlooking local leadership, processes, capacities, resourcefulness and culture. If local institutions are overlooked and bypassed, it would lead to capacity erosion and illegitimacy.

However, they can also reinforce local power inequities, patterns of social exclusion and human rights violations. In many contexts, women are not allowed to occupy positions of authority within these processes.

With regard to accountability mechanisms of CCCF, the formation of the ward and County planning committees to represent various communities is not adequate enough as sometimes the community wants a platform that can connect them directly with the relevant implementer and receive prompt feedback.

While women involvement in decision making has promoted gender equality, it requires different accountability tools which women would trust in giving feedback. This will enhance meaningful participation.

Community involvement in the prioritization of CCCF investments has been key but this also needs to be backed up with various tools that enable the community to track all stages of implementation (from the design to the handover of the projects).

This report also highlights the counties with accountability mechanisms but majority lacks legal framework or guideline hence questions around its effectiveness.

Based on the above analysis of the existing social accountability tools and their scope in terms of implementation, TI-Kenya recommends ADA to deploy more accountability mechanisms to strengthen the existing ones and perform a wider, more comprehensive accountability function, encouraging participation and ownership of the project while serving as a quality-control measure. Some tools are more effective, efficient and applicable but some also like use of community radio and public hearing complements almost all the below tools;

7.1 Grievance Redress Mechanism

GRM allows community members/complainants to lodge complaints/grievances to the relevant organizations and have them addressed/receive feedback. The mechanism allows many options for community members to lodge their complaint. It allows people to report online or via SMS to any participating organisation/ institution. Any complainant will automatically be assigned a tracking number by SMS and the complainant will receive notifications each time any update is made on his/her complaint. People with no access to mobile phones or internet will have the possibility to walk to the closest office or any organisation participating in the programme to lodge their complaint. This organisation will log in into the system, take the complaint and refer it to the organisation concerned. The option to walk in will also allow illiterate beneficiaries to report their cases.

If no action is being taken or no response is being given after a defined lapse of time, the relevant person within an organisation will receive a reminder to follow up. This will thus also enhance effectiveness and coordination of organizations in responding and addressing beneficiaries' complaints and feedback. The Mechanism also generates data and reports regarding the type of complaints received and geographical areas of origins.

Many actors in Kenya e.g. WFP, SCI, RCS, WVI and AAI have toll free lines for their beneficiaries to give feedback regarding their services which has been effective only that it lacks the other components of a Redress Mechanism. In 2014 TI-Kenya launched a Complaint Referral Mechanism dubbed "Uwajibikaji Pamoja" that allows the referral of complaints from one organization/ institution to another and provides a one stop point for people to cast their complaint regardless of the organization concerned. This has brought feedback and participation mechanisms closer and more easily understandable to the people.

"Uwajibikaji Pamoja" initiative has been one of the best practice of effective two-way communication for both implementers and the community for replication in the region and outside. In this regard ADA could also utilize the platform and enhance it based on the components of the CCCF mechanism. Alternatively, ADA could generate its own system that is aligned to its own programming but also be part of the "Uwajibikaji Pamoja" initiative in the ASAL Counties.

Classification and cost of developing a Grievance mechanism

- Simple: Receiving feedback via SMS channels, and Web Forms (via HTTP(S)). Features full admin panel, web reports and simple project web-page complete with web forms for collecting feedback. Valuation ranging from KES 2.5 to 3.5 Million.
- Comprehensive: Receiving feedback on SMS channels, Web Forms (via HTTP(S)), Email (SMTP), Voice (IVR). Features full admin panel, web reports, GPS reports both convertible to formats such as PDF and Excel, full featured project website complete with web-forms for collecting feedback and online public reporting tool. Valuation ranging from KES 4.5 Million to KES 6 Million.

The pricing above includes associated costs of system development processes, requirements gathering, architecture and design specification, application development, peer reviews, system and performance testing, configuration management, quality control and defects management, deployment, system operations and support, data migration and project management.

Proposed activities in the development of a Grievance Redress Mechanism

- Development of the Grievance Redress Mechanism
- Design and development of a prototype
- Stakeholders' workshop to present and collect inputs (modify/ add features according to stakeholders needs)
- Finalisation & launch of the Mechanism
- Pilot phase (one county)
- Presentation and training for users in one county
- Roll out/ Information campaign in one county
- Coordinating and operating the Mechanism in one county

Text box 1: Uwajibikaji Pamoja case study.

Uwajibikaji Pamoja (“Accountability Together” in Kiswahili) is a web-based Integrated Complaint Referral Mechanism. The project is implemented by TI-Kenya in four counties (Turkana, West Pokot, Wajir and Marsabit), in partnership with over 60 state and non-state service providers both at local and international capacities. This initiative was first launched in April 2014 in Turkana, followed by West Pokot in September 2014, in Wajir County in October 2014 and since February 2017 in Marsabit. The ‘Uwajibikaji Pamoja’ platform aims to improve service delivery for the local residents by facilitating coordination of service providers, enhancing capacity of service providers on accountability and sensitizing community members on their right to receive quality interventions. All this is achieved through community engagement via radio programming, joint out reaches, influencing the accountability agenda through engagement with partners and policy makers, participation in forums, documentation, referral of complaints, dissemination of reports and lessons learnt through workshops and learning events. The service enables members of the public to submit complaints or feedback concerning aid and service delivery through three channels: a toll-free SMS line, a web-based portal, or by filling out paper forms. People with no access to a mobile phone or internet can visit the nearest office of a participating organisation to lodge their complaints. A walk-in option also allows people who cannot read or write to report their cases. Complaints received from affected residents range from sectors such as food aid and health services, to education, planning, housing, public services management and include issues such as quality and timeliness of aid services, non-inclusion, conflict of interest and behavior of staff. The platform allows information sent through bulk SMS which is also an advantage to the participating organisations as it allows them to send messages to their beneficiaries e.g. NDMA on early warning messages.

So far, total of 177,413 messages have been received through the platform and 100,833 have been resolved at at end of June 2018. A total 13,964 bulk SMS have been sent through the system.

Citizens in the targeted counties have been empowered to monitor aid and basic service delivery. This has since led to an increase in knowledge on avenues to report suspected/potential corruption cases. Apart from the communities reporting to the local administration, they can now air their issues during the public forums, to the social auditors, Community Drought Management Committee and through the Uwajibikaji platform.

7.2 Social auditing

Social audits have been implemented by several civil society organisations in Kenya. This has played significant role strengthening oversight hence improving public service delivery. The AG’s office has also initiated the social audit component to complement the Auditor’s General reports in partnership with civil society organisations.

ADA could also implement the same as it is sustainable since community members own the process. It is a bottom – up approach that is used to track projects and is applicable in all phases of implementation.

It is cost effective as it can compliment the already existing community structures (WCCCPC). This can be done by both literate and illiterate in the society.

The tool is used to examine the effectiveness of administrative and financial management of development interventions by collecting opinions from the stakeholders. It helps to ascertain whether the results planned for the CCCF were achieved and what challenges might have been faced.

Text box 2: TI-Kenya and its implementing partners' Social accountability case study

Since 2012, TI-Kenya, in partnership with local Civil Society Organisations partners in the three targeted counties (West Pokot, Turkana and West Pokot) has trained and is supporting more than 280 community auditors who are monitoring the delivery of aid and basic services in their locations. This project, combining community awareness on drought resilience and the Drought Contingency Fund (DCF) and social accountability is supported by the National Drought Management Authority through the European Commission.

The project has since saw citizens' capacity to influence decision making through public participation forums and budgeting processes increased. Citizens also in the targeted counties are now empowered to monitor aid and basic service delivery and to engage with service providers at county level. They have been able access the information from the service providers on a timely basis regarding the implementation of projects and quality implementation.

So far a total of 215 projects have been identified by the community members for audit as at end of June 2018. Out of 215, 118 are now successfully completed with 36 leading to the community acquiring information on the projects being implemented, 57 have led to successful completion and 25 to change in the implementation of projects. 94 projects are still ongoing and under audit.

The project is also currently being scaled up to 4 additional (Isiolo, Marsabit, Samburu and Kilifi) counties.

Challenges encountered

- *Social audits have difficulty accessing information from some service providers. TI-Kenya and implementing partners have continued reaching out to relevant actors on the benefits of the various social audit groups and linking them for their support*
- *Grand expectations from the community members with regards to the project. TI-Kenya has continued sensitizing the community on the need for community ownership of projects.*

Lessons learnt

- *Information is power. Once community members are informed about their right to give feedback on the aid/ services they receive, they will always bring out feedback no matter the forum and or circumstance.*
- *Identification of key partners both at the national level is key for joint implementation of the social accountability*
- *Utilisation of the existing community accountability structures in the implementation of social accountability project is important*
- *There is need to Link social auditors and other community structures to increase community awareness of the project*

7.3 Public hearing and Community Help Desks

These tool complements the above. ADA could organise for a public hearing when community members are not satisfied with the feedback received through the grievance mechanism or to share the outcome of the social audit assessments. In this case public hearing will bring together both community members and implementing organizations to discuss and resolve challenges related to aid and service delivery at grass root level. The community members will be satisfied through face to face interaction and the feedback given directly. Community help desks are friendly to

community members as they feel free to complain or give feedback through Help Desk Committees who are known to them and are well informed about the process.

Text Box 3: Help Age case study

At the end of 2011 serious drought was affecting the livelihoods and food security of 3.75 million Kenyans⁵. About 1.4 million people were classified as being in the Emergency Area of Kenya, residing predominantly in north and northeastern pastoral areas including Turkana. Older people, women, and children in the emergency areas were considered most vulnerable. HelpAge responded by providing cash transfers and livelihoods support in 9 locations that were not included in the first phase of the HSNP. To ensure that the project was of highest quality and to meet our accountability commitments, HelpAge introduced a community-based complaints mechanism. This was done in line with their commitment to listening and responding to feedback as articulated in their Accountability and Quality Framework.

Help Desk Committees (HDC) were chosen as the most appropriate complaints mechanism. The consultations with communities revealed that people were aware of a similar structure functioning as part of the HSNP and asked HelpAge to introduce it in the project.

One of the challenges of getting and responding to feedback was the nomadic nature of the Turkana communities which required a complaints mechanism to be mobile and 'always present among the people'. To facilitate this and to build trust in a mechanism in the context where 'complaining' is not considered culturally appropriate, the Help Desk members were elected by their communities (and not appointed) and giving feedback was framed not as 'complaining' but as people's right to quality support. This process has also helped to shift the ownership of the mechanism from HelpAge to the community.

Resources required

Adequate planning and budgeting for the complaints mechanism to be effective.

Challenges

Some of the most common challenges were posed by the inaccessibility of the areas and long travel distances that they entail.

Results observed

Complaints and feedback have led to both immediate modifications and improvements made to the programme, as well as longer term changes.

Lessons learnt

Very valuable mechanism to have for programme implementation as it shows value for money, limits mistakes and increases accountability

As part of ADA's transformative agenda that include: Local Communities in-charge of their development priorities (WCCPCs); timely and relevant climate information, Women involvement in decision making and strong community institutions in natural resource governance these resources, it should also build the capacity of local communities on participatory budgeting and procurement process to be able to provide oversight in the implementation of the CCCF interventions and track expenditures.

Text box 4: Case study of Public Expenditure Tracking (PET) in Tanzania at district-level

Public Expenditure Tracking Surveys (PETS) are increasingly used at district level to make budget flows transparent from local government to service delivery agents. A Public Expenditure Tracking Survey at District level typically compares allocated budgets by the District Council, which in Tanzania has the delegated authority to decide on budgets, with actual spending at beneficiary level. It traces the flow of resources through the different bureaucratic layers and demonstrates how much of the intended budget reaches each layer. Originally carried out mainly by donor agencies to trail their funds, recently the methodology is copied by civil society organizations representing the community to increase accountability and responsiveness of local governments. The rationale is that with demonstrating how money is transferred or spent at different bureaucratic levels, the local decision makers can be held to account by those civil society organizations. By making the tracking information available to local decision makers they can be empowered to hold their administrative bureaucracy to account. Increased responsiveness is advanced by confronting similar information directly to the administration delivering the services.

The ultimate goal of Public Expenditure Tracking Surveys (PETS) is to improve service delivery in a way that it better responds to the needs of citizens. There is general consensus among Tanzanian citizens, central and local governments, civil society organizations and donors, that improved service delivery is a key issue, possibly the key issue, to be addressed in the effort to reduce poverty and vulnerability.

Responsiveness improved service delivery that is truly responsive to local needs will reduce the number of poor and vulnerable citizens. According to the Tanzanian Participatory Poverty Assessment 2003 (GoT), Public exposure of spending patterns by bureaucracies are likely to influence the attitude of civil servants in those bureaucracies to respond better to local needs and encourage pro-poor spending

Lesson learnt

Upward accountability has become a culture and, as in any cultural change, the momentum of change is slow, for the government, as well as for citizens who are not used to holding their government leaders to account. PETS is situated in this effort to change.

8. ANNEXES

COUNTY:
LOCATION:
SECTOR:
PROJECT NAME:

CONSTITUENCY:
SUB LOCATION:
PROJECT:
DATE:

No	Description	(Answer to be provided by the Aid/Service provider here)
1)	Who funded the project and with what amount	
2)	Who proposed the project	
3)	Was the community happy with the site of the project	
4)	Existence of the project committee if any	
5)	Is there any community contribution	
6)	Were all the planned Materials bought for the project procured?	
7)	Who was the supplier and how was the supplier selected?	
8)	Who was the contractor and how was he/she selected?	
9)	What was the time frame of the project	
10)	Who is/was the contractor(s)	
11)	What amount has been given to the contractor?	
12)	How many tanks/pipeline distance/dams have been constructed?	
13)	Current implementation status of the project?	
14)	If not complete what are the reason(s) for project stalling	

Classification by community members and social auditors:

- Work in progress
- Stalled projects
- Not started
- Ghost project

Rating by community members social Auditors:

- Excellent
- Good
- Poor

NB: more questions that the social auditors may have can be included based on need for information by the community.

8.2 Annexe 2. Sample Implementers Social Audit tool:

No	Description	(Answer to be provided by the Aid/Service provider here)
1)	Who is the project donor?	
2)	What was the total amount	
3)	Who proposed this project?	
4)	Are the community member's satisfied with the project site?	
5)	Have you received any complaints from the community related to this project?	
6)	Have you had any integrity related issues associated to this project?	
7)	Did you form a project committee?	
8)	Have you shared the project plans with the community members?	
9)	What is the community contribution towards this project?	
10)	Were all the planned Materials for the project procured?	
	Who is the supplier and how was the supplier selected?	
	Who is the contractor and how was he/she selected?	
11)	What amount has been given to the contractor so far?	
12)	Are you satisfied with the Contractor's work?	
13)	Is the current implementation status of the project as per the planned time?	
14)	If not complete what are the reason(s)	
15)	Using percentage to what extent have the structures been constructed?	

8.3 Annexe 3. Sample Community Social Audit data collection tool:

No	Description	(Answer to be provided by the Beneficiaries /Community here)
1)	Are you aware of the source of funding of this project	
2)	Do you know the cost of this project?	
3)	Were you involved in the selection of this project?	
4)	Are you happy with the location of the project site?	
5)	If you had complaints related to this project have shared them with the implementers?	
6)	Have you had any integrity related issues associated to this project?	
7)	Does this project have a committee?	
8)	Have you seen the plans of this project?	
9)	Have you contributed anything to this project?	
10)	Have you seen any materials being procured?	
11)	Do you know the suppliers and they were selected?	
12)	Do you know the contractor and how they were selected?	
13)	What amount has been given to the contractor?	
14)	Are you happy with the contractor?	
15)	Is the project on time as per the planned time?	
16)	How many structures have been constructed?	
	If not complete do you know why?	
	Classification of project i.e <ul style="list-style-type: none"> • Work in progress • Stalled projects • Not started • Ghost project 	
17)	Rating by community i.e <ul style="list-style-type: none"> • Excellent • Good • Poor 	

8.4 Annexe 4. A Sample Community Score Card for a Health Centre

Sl. no.	Indicators (in order of importance)	Importance Ranking	Score out of 100	Scores after 6 months	Remarks
1	Attitude of staff				
2	Affordability of services				
3	Availability of medicine				
4	Time taken to be served				
5	Equal access to the health services for all community members				

8.5 Annexe 5. Social Accountability Report Card:

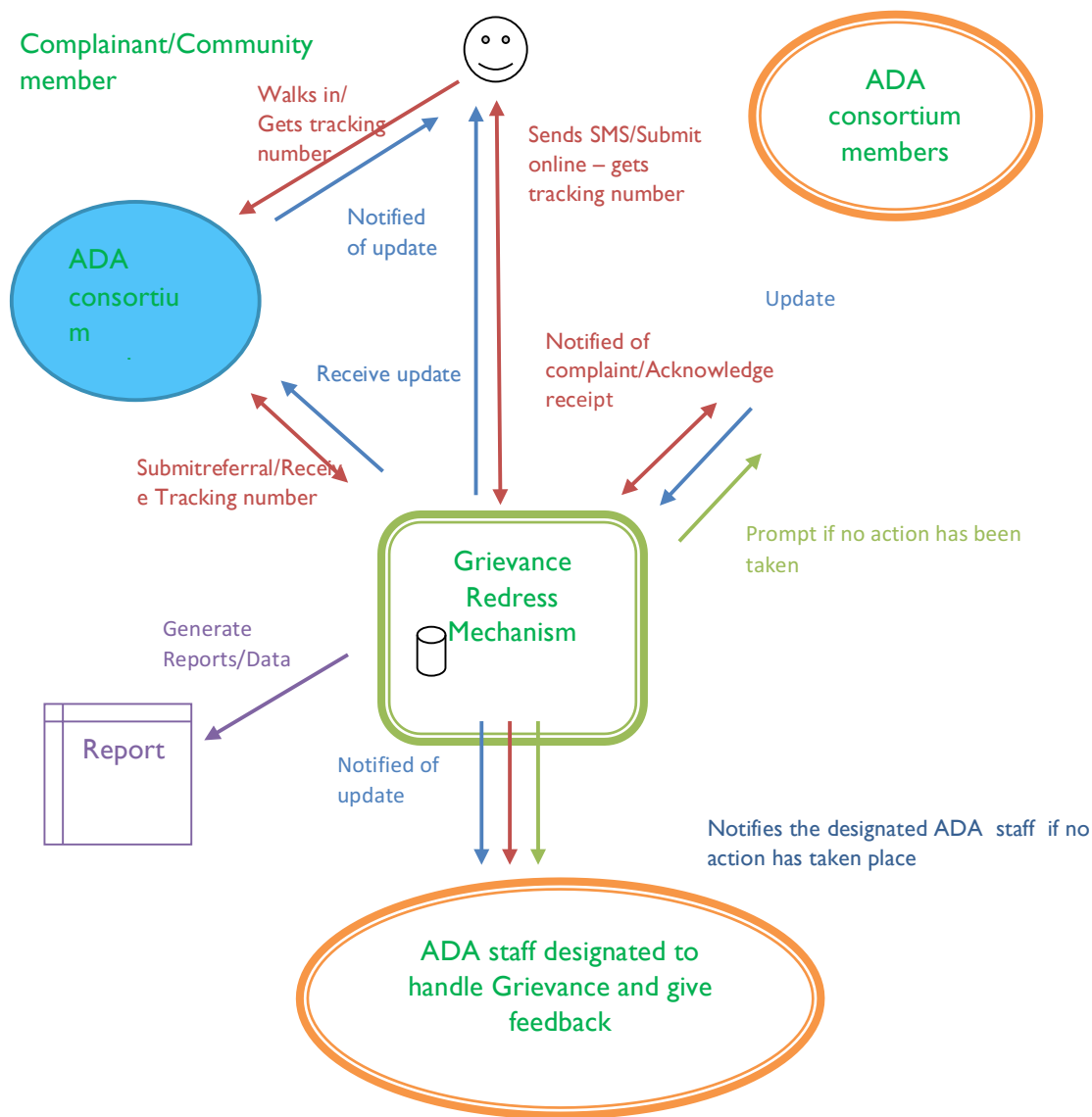
Name of the County							
Name of the County		Constituency				Location	
Sector	Aid provider	Project name	location	Planned output	Status <ul style="list-style-type: none"> • Complete • Work in progress • Stalled projects • Not started Ghost project 	Ratings <ol style="list-style-type: none"> 1. Excellent 2. Good 3. Poor 	Remarks
Education							
Health							
Land and Housing							
Transport							
Security							
Public Funds							
Environment							
Water							
Agriculture/							
Livestock							

Others							
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8.6 Annexe 6. A sample of Social Audit Activity report template:

1.	Introduction															
	- Back ground of the activity															
	- Dates and location where it took place															
	- Names and number of the social auditors involved - Partners involved in the activity.															
2.	Objectives of the activity															
	- What is expected to be achieved at the end of the exercise															
3.	Targeted intervention for auditing.															
	- Brief profile of the intervention (how many beneficiaries, implementer, donor, duration of implementation to date)															
4.	Findings of the activity															
	The project is	<table border="1"> <tr> <td>Categorization:</td><td>Tick where appropriate.</td></tr> <tr> <td>Category A: Well implemented, completed projects</td><td></td></tr> <tr> <td>Category B: Badly implemented, complete and incomplete projects</td><td></td></tr> <tr> <td>Category C: Well implemented, ongoing projects</td><td></td></tr> <tr> <td>Category D: Abandoned projects</td><td></td></tr> <tr> <td>Category E: Ghost projects</td><td></td></tr> <tr> <td>Category F: Reallocated Projects</td><td></td></tr> </table>	Categorization:	Tick where appropriate.	Category A: Well implemented, completed projects		Category B: Badly implemented, complete and incomplete projects		Category C: Well implemented, ongoing projects		Category D: Abandoned projects		Category E: Ghost projects		Category F: Reallocated Projects	
Categorization:	Tick where appropriate.															
Category A: Well implemented, completed projects																
Category B: Badly implemented, complete and incomplete projects																
Category C: Well implemented, ongoing projects																
Category D: Abandoned projects																
Category E: Ghost projects																
Category F: Reallocated Projects																
5.	Recommendations															

8.7 Annexe 7. A sample of a Grievance Redress Mechanism ADA secretariat being the convener.
N/B: The functionality of the system is dependent on the collective responsibility of handling and resolution of complaints by Consortium members.



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- 6) <http://devinit.org/wp-content/uploads/2013/08/Beneficiary-feedback-mechanisms.pdf>
- 7) <http://devinit.org/wp-content/uploads/2013/08/Beneficiary-feedback-mechanisms.pdf>
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