

**Improving Local Governance and Service Delivery:  
Citizen Report Card Learning Tool Kit**

Print Version of the Learning Toolkit

2007

The Citizen Report Card (CRC) is a simple but powerful tool to provide public agencies with systematic feedback from users of public services. By collecting feedback on the quality and adequacy of public services from actual users, CRC provides a rigorous basis and a proactive agenda for communities, civil society organization or local governments to engage in a dialogue with service providers to improve the delivery of public services.

### **What issues will a Citizen Report Card address?**

The CRC addresses critical themes in the delivery of public services such as access to services, quality and reliability of services, problems encountered by users of services and responsiveness of service providers in addressing these problems, transparency in service provisions like disclosure of service quality standards and norms, and costs incurred in using a service including hidden costs such as bribes. The CRC also provides a summative satisfaction score that captures the totality of critical service-related parameters.

### **What outcomes can I expect from conducting a Citizen Report Card?**

- Help public service agencies to facilitate open and proactive discussions on their performances.
- Empower citizen groups to play a watch-dog role to monitor public service agencies and local governments.
- Enable federal ministries and planning departments to streamline and prioritize budget allocations and monitor implementation.
- Deepen social capital by converging communities around issues of shared experiences and concerns.

### **What kind of institutional capacity would I need to conduct a Citizen Report Card?**

CRCs work best when there is an explicit recognition within an organization on the need to conduct a user feedback led diagnostic or assessment exercise. Some critical institutional capacities required to make CRCs effective are:

- Analytical staff well-versed in quantitative methods. Since a large part of the CRC involves sample surveys and analysis of data, a major pre-requisite is that the organization should have either in-house capabilities to understand and interpret numbers or have resources to locate external support.
- Dedicated resource to anchor and manage the CRC processes.
- Dedicated resources for communication and outreach.
- Support from the top management

### **How do I get started?**

A good way to start is to understand the CRC processes in a structured format. This e learning course is a good step in this direction.

## About this e-learning toolkit

This self-learning course is designed to help users develop the basic knowledge and skills to implement Citizen Report Cards (CRCs).

The course is structured around ten modules. The modules, in turn are designed to enable users to understand the conceptual, technical, managerial and operational details of CRCs. Each module consists of relevant learning content and an end-of-module assessment. Organizations and individuals interested in implementing a CRC, supporting implementation of a CRC, or learning about the methodology can use the course. The course shares a decade's learning accumulated by the Public Affairs Centre (PAC), a Bangalore based non-governmental organization.

The course is meant for officers of local governments, civil society organizations, development agencies, and consortiums.

## What will you learn from this e learning course?

- A feasibility assessment on the potential for citizen report cards
- How to plan & design a citizen report card activity
- How to carry out data collection
- How to analyse results to prioritise actions and identify effective dissemination and negotiation strategies
- How to design effective post citizen report card actions, e.g. public advocacy state-citizen partnerships or public-private collaborations

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## Final Points to Consider

This print version covers the entire CRC methodology. However, depending on the level of expertise within the lead institution, users may require assistance during the field implementation of the CRC: designing the survey instrument, developing the sampling design, carrying out the fieldwork and performing the data entry and analysis.

A CD and online version are also available for organizations interested in understanding and implementing the CRC.

Implementation of the CRC methodology usually takes 6-12 months. However, the time duration may vary depending on the geographical spread of the locality, sample size for the survey and fieldwork (team and duration).

For any queries on the course please contact:

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## Course Objectives

This course aims to enable citizens and institutions carry out a Citizen Report Card (CRC). The CRC methodology involves collecting and using feedback on public services to help make improvements in service delivery.

The 10 modules in this course focus on the conceptual, technical, management, and implementation aspects of the CRC process. Although the examples found throughout the course have an urban bias, CRCs are and have been a powerful tool for rural areas. Upon completion of this course you will be able to

- assess whether the methodology is relevant to your locality/district/town
- select a suitable lead institution
- define the scope of your CRC
- design a survey instrument
- collect feedback from users of services
- generate the survey findings and produce the main CRC report
- widely distribute the findings and
- advocate for improvements in service delivery.

Depending on the technical expertise in your organization, you will require varying degrees of assistance while designing the survey instrument, developing the sampling design and carrying out the field survey.

Final note: Keep in mind that most important for the success of the methodology is a strong lead institution, which has the ability to adapt and implement this dynamic tool to the local setting!

## **Course Assessments**

At the end of each module there is a self-test with questions that test your understanding of the content and your understanding of the approach.

### **Test your understanding of the content**

The first set of questions in the self-test directly tests your understanding of the concepts and terms introduced in the module.

### **Test your understanding of the approach**

The second type of questions tests your ability to apply what you have learned. An imaginary city, Mehnat, is introduced at the end of module 2 (there is no Approach Test at the end of Module 1). In the scenario-based assessments that follow, you are asked to evaluate the accuracy of what occurred in Mehnat during each stage of the CRC process.

## Module 1: Introduction to the Citizen Report Card

### Objectives

The content of this module will introduce you to the Citizen Report Card (CRC). On successful completion of this module, you should be able to

- state what a CRC is
- list the uses of a CRC
- identify the various scenarios to use a CRC and
- classify the key stages in the CRC process.

### Introduction

Most governments are responsible for providing essential services to the people. Governments spend huge amounts of resources to provide services such as

- drinking water
- education
- health care and
- transportation.

In some instances, governments give contracts to private entities to provide services. Some central and state governments have also decentralized service provision to local units of government. (Please see *Appendix 1: Who Provides Services?*)

Citizens depend on many such services in their daily lives. In many places, the quality of public services remains inadequate and unreliable.

- How might groups of citizens take the initiative and demand for better services?
- How might progressive government officials use feedback from citizens to bring about internal reforms?
- How might policymakers use citizen feedback to improve the policies and regulations that shape service provision?

A tool, now popularly known as the Citizen Report Card (CRC)<sup>1</sup>, provides a possible starting point for citizens and governments.

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<sup>1</sup> The Citizen Report Card was developed in Bangalore, India. Frustrated with the poor condition of public services, a group of private citizens undertook a one-time effort to collect feedback from the users of services.

The success of the initial effort in Bangalore led to the creation of the Public Affairs Centre, a non-governmental organization committed to improving the quality of governance in India.

Since 1995, the Public Affairs Centre (PAC) has independently and in partnerships carried out numerous Citizen Report Cards in Bangalore and in various locations within India and around the world.

Hundreds of individuals, including civil society representatives, government officials and development agency staff, have attended PAC's Citizen Report Card workshops to adopt and implement the tool in their own localities.

## What is a Citizen Report Card?

The Citizen Report Card (CRC) is a tool to

- collect citizen feedback on public services from actual users of a service (and not opinions from the general public)
- assess the performance of individual service providers and/or compare performance across service providers and
- generate a database of feedback on services that is placed in the public domain.

## Spread of the CRC

The initial reach of the CRC in India was limited to three cities – Bangalore, Ahmedabad and Pune. Other cities that have recently carried out CRCs include Delhi, Mumbai, Chennai, Kolkata, Sehore and Bhubaneswar.

At the international level, the countries where CRC has spread include Ukraine, China, Bangladesh, Nepal, Sri Lanka, Vietnam, Philippines and Indonesia in the Asian continent; Ethiopia, Gambia, Ghana, Nigeria, Rwanda and Uganda in Africa and Peru and Argentina in South America.

## Why use a Citizen Report Card?

### *As a diagnostic tool:*

The CRC can provide citizens and governments with qualitative and quantitative information about prevailing standards and gaps in service delivery. It also measures the level of public awareness about citizens' rights and responsibilities<sup>2</sup>. Thus, the CRC

- is a powerful tool when the monitoring of services is weak
- provides a comparative picture about the quality of services and
- compares feedback across locations/demographic groups to identify segments where service provision is significantly weak.

### *As an accountability tool:*

The CRC reveals areas where the institutions responsible for service provision have not achieved mandated or expected service standards.

- Findings can be used to identify and demand specific improvements in services.
- Officials can be stimulated to work towards addressing specific issues.

### *As a benchmarking tool:*

The CRC, if conducted periodically, can track changes in service quality over time.

- Comparison of findings across CRCs will reveal improvements or worsening in service delivery.

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<sup>2</sup> Even when used as a diagnostic tool, it is important to inform the public about the findings.



- Conduct CRCs before and after introducing a new program/policy to measure its impact.

*To reveal hidden costs:*

Citizen feedback can expose extra costs beyond mandated fees while using public services.

The CRC, thus

- conveys information regarding the proportion of the population who pay bribes (either demanded or freely given) and the size of these payments and
- estimates the amount of private resources spent to compensate for poor service provision.

CRCs are a powerful tool when used as part of a local or regional plan to improve services. Institutions undertaking a program to improve services could use CRCs to determine whether the changes taking place are necessary and to evaluate the impact of these changes.

## **Types of Institutions that use CRCs**

### *Lead Institutions: Civil Society, Government & Independent Consortiums*

Various types of organizations have acted as lead institutions. The lead institution manages and drives the CRC process. The lead institution could be a Civil Society Organization (CSO), government body or independent consortium. Since a variety of skill sets are required to carry out a CRC, the lead institution should be willing to seek help from others (please see *Appendix 2: Steps that Require Assistance*) The ideal qualities of a lead institution are discussed in Module 2.

- In many locations, *civil society* has led the effort. CSOs have used CRCs to encourage improvements in service provision.
- Local, state and central *governments* have also adopted the CRC as an internal diagnostic tool. Governments can use the CRC to strengthen and shape improvements in services. When governments contract out service provision, the CRC can reveal areas where private providers are performing below expectations. When central governments decentralize service provision to the state, district, municipal or village level, CRCs can evaluate the quality of local service provision. Government agencies involved in program evaluation or budgeting can use CRCs to check the effectiveness of public spending.
- *Independent consortiums*, consisting of government officials, civil society representatives, academicians and the media, have become a possible alternative to lead the CRC process.

*Development agencies*, such as the World Bank and Asian Development Bank, have also taken an interest in the CRC. Although these institutions can help or fund implementation of a CRC, they should not serve as lead institutions.

Three examples of types of institutions that use CRC and the key partnerships that were involved follow.

*Civil Society Scenario: Public Affairs Centre (PAC), Bangalore, India*

In the late 1990's, there were wide spread reports of corruption and poor service in Bangalore's city-run maternity homes. Women and children from low-income households predominantly use these facilities. In response to the poor quality of city-run maternity home services, a group of NGOs met and decided that the Public Affairs Centre should undertake an independent CRC of maternity homes and outreach centers. PAC carried out a CRC survey in which a total of 500 patients and 77 staff of these facilities were interviewed.

The findings revealed that

- the overall satisfaction of maternity home patients was low
- only 31% of respondents said the services were good and
- illegal payments were demanded or expected for almost all services at maternity homes.

The release of the CRC findings was followed with advocacy work by several local NGOs. A package of reforms was proposed and discussed with municipal authorities and health professionals.

The municipal government decided to accept the proposals and apply them in stages<sup>3</sup>.

*Independent Consortium: Zanzibar*

The Revolutionary Government of Zanzibar, an island province in Tanzania, set up a committee to review international best practices in the area of citizens' participation in government decision-making<sup>4</sup>. The committee identified CRCs as one of the three tools that might have useful application in Zanzibar.

The United Nations Development Programme (UNDP) contacted the Public Affairs Centre (PAC) to provide technical assistance for a pilot CRC in Zanzibar. It was decided that an independent consortium was best suited to lead the CRC. The Consortium consisted of representatives from government, civil society, the media and other groups. The Government's statistics agency assisted in the fieldwork and data analysis.

Regions selected for the pilot CRC included

- Northern island (rural area) and
- Southern island (wealthier, more politically powerful, and developed area).

Services covered in the pilot CRC, comprised of

- drinking water and
- primary education.

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<sup>3</sup> A patients' charter was prepared and user charges were introduced for select services. The Government has also set up boards of visitors, consisting of health professionals and activists, to monitor the maternity home facilities.

<sup>4</sup> The effort evolved out of public meetings held in relation to Tanzania's Poverty Reduction Strategy Paper. During that time, citizens demanded more participation in the policy making process.

The feedback on drinking water revealed a high usage of unprotected wells - usage further increased during times of water scarcity<sup>5</sup>.

- The UNDP made a public commitment to support a project to reclaim dried wells.

An independent consortium consists of government officials, civil society members, representatives from the media and academicians. Individuals with a wide range of skills and expertise, critical to the CRC methodology, can be brought into the fold. In contrast to a single organization serving as the lead institution, an independent consortium increases the likelihood that the independence of findings will be maintained-the diverging motivations of each of the members provides a check against any one member's interest usurping the findings.

### *Partnership: Ukraine*

Since Ukraine's independence in 1991 following the collapse of the Soviet Union, citizens were increasingly frustrated with the quality of municipal services.

The People's Voice Project started in 1999 to build citizens' abilities to work with local government. As part of this larger project undertaken by the Canadian International Development Agency and the World Bank, CRCs were identified as an effective way to provide citizens with the needed information to bring about reforms and they partnered with a local institution to implement the CRC. The International Center for Policy Studies was identified as the lead institution.

A consortium of NGOs was created to implement the project in four pilot cities - selected based on their openness to reform. The four pilot cities were

- Ternopil, Ivano Frankivsk, Kupyansk, and Chuguiv.

As a result of the project

- service delivery centers were created and public hearings were held to increase public access to service providers
- policy trainings were carried out to improve the skills of municipal employees and
- the capacity of local NGOs to monitor service delivery was greatly improved.

The role of development agencies was very important to financially support the project and to manage implementation of the project.

However, the fact that a local NGO carried out the CRC allowed for the development of local capacities and made the project authentic and legitimate.

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<sup>5</sup> There was initial skepticism from the leadership of public service providers on the usefulness of the CRC. However, the unbiased and highly relevant nature of the CRC feedback caused officials to gain interest in the methodology. Following the public release, requests were made to scale up the effort and to conduct a CRC in the health sector.

## Key Stages in the CRC Process

The actual process of conducting a CRC includes several steps. This section of module 1 provides a bird's eye view of the methodology. A more detailed examination will occur in the subsequent modules.

- Stage 1: Assessment of Local Conditions
- Stage 2: Pre-survey Groundwork
- Stage 3: Conducting the Survey
- Stage 4: Post Survey Analysis
- Stage 5: Dissemination of Findings
- Stage 6: Improving Services

### *Stage 1: Assessment of Local Conditions*

The effectiveness of a CRC depends on local conditions and the capacity of the proposed lead institution.

#### Objective

- Evaluate local conditions to determine if suitable to implement a CRC.
- Assess the skills and motivations of the proposed lead institution(s).

#### Expertise

- Knowledge of local (city/ town/ district/ village) conditions.
- Knowledge of the skills and motivations of the proposed lead institution(s).

#### Output

- Decision on whether to conduct Citizen Report Card.
- Identification of a lead institution.

Time: Approximately 2 weeks.

### *Stage 2: Pre-survey Groundwork*

#### Objective

- Identify the scope of the CRC.
- Make preliminary implementation plans.
- Design the questionnaire.
- Complete the sampling design.

#### Expertise

- Knowledge of budgeting and fund raising.
- Knowledge of public service provision.
- Knowledge of social science survey methodology.

#### Output

- Statement of purpose of CRC.
- Project budget and funding.
- Work plan (deadlines, staffing/ outsourcing decision).
- Survey instrument.
- Sampling design.

Time: Approximately 2 months.

#### *Stage 3: Conducting the Survey*

##### Objective

- Carry out an accurate survey to satisfy objectives of the CRC<sup>6</sup>.

##### Expertise (some of this can be outsourced)

- Fieldwork management and coordination.
- Training of investigators.
- Interviewing and probing of respondents.

##### Output

- Completed and quality-checked questionnaires/ survey schedules.

Time: Approximately 2 weeks - 2 months (depending on sample size and staff size).

#### *Stage 4: Post Survey Analysis*

##### Objective

- Determine key findings on availability, usage, satisfaction, etc.

##### Expertise

- Data entry.
- Data analysis and interpretation.
- Writing an analytical report.

##### Output

- Database on service quality (from citizen feedback).
- Analysis tables (basic frequencies, cross tabulations, etc.).
- Main CRC Report.

Time: Approximately 2-3 months.

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<sup>6</sup> Carrying out surveys requires expertise! Most organizations interested in the CRC will not have all of the skills required to design a survey instrument, develop a sampling plan and carry out the interviews. One option is to hire a professional survey agency. However, if financial resources are limited, consider partnering with a government statistics agency or university academic department, in lieu of professional survey agency.

### *Stage 5: Dissemination of Findings*

#### Objective

- Disseminate findings to key stakeholders.

#### Expertise

- Ability to effectively communicate (orally and in writing) with press, citizens and public service providers.

#### Output (varies considerably, a few examples)

- Press conference and releases.
- Newspaper, TV coverage.
- Presentation to service providers.
- Written reports/ posters targeted for various audiences.

Time: Approximately 1-2 months.

### *Stage 6: Improving Services*

#### Objective

- Use CRC findings to bring about improvements in service delivery.

#### Expertise

- Ability to work with CSOs, media and service providers.
- Skilled in imagining, designing and implementing improvements in service delivery.

#### Output (*varies considerably, a few examples*)

- Exchanging of best practices: workshops among service providers.
- Awareness/dialogue campaigns: open houses, public forums.
- Piloting of new reform.

Time: Approximately 2-4 months (Depending on the amount of efforts, this stage could take up to 6 months).

### **Summary**

- The CRC methodology should not be seen as a social science survey that ends with a written report; findings need to be publicly distributed and followed up!
- CRC surveys are not opinion polls. The findings only include feedback from individuals who have used a particular service, not from any member of the general public.
- CRCs can serve as diagnostic, accountability and/or benchmarking tools to improve services.

- The CRC methodology includes several stages, each with its own skill requirements. A reliable, independent, and local institution is required to lead the effort; it will need to partner with different organizations to carry out a CRC.

### Self Test 1

There are two types of tests, namely 'Content Test' and 'Approach Test'. You will be able to assess yourself about the module you just learnt, by completing these tests. However, this module has only one self test, namely the Content Test.

### CONTENT QUESTIONS

1. Who is most likely to provide basic public services?
  - a.  Government
  - b.  Civil society organizations
  - c.  Independent development agencies
  - d.  Private profit-centric entities
  
2. What should a Citizen Report Card (CRC) be used for? (Select all that apply)
  - a.  To provide information about service delivery when government's internal monitoring is weak
  - b.  To overthrow the non performing current government
  - c.  To reveal the hidden costs related to using public services
  - d.  To highlight the inappropriateness of state involvement in public services
  
3. What is the very first step in the CRC process?
  - a.  Applying for government's approval to carry out the CRC
  - b.  Assessing local conditions
  - c.  Carrying out ground survey
  - d.  Project planning and budgeting
  
4. After the citizen feedback is analyzed to determine the CRC findings, what is the next critical step in the CRC methodology?
  - a.  Implementing the improvements recommended in the findings
  - b.  Submission of the findings to the political party in opposition
  - c.  Distributing the findings to various sections of the society
  - d.  Instigating mass disturbance against the current government in case of negative results

For answers, please go to '**Answers to Self Tests**' given at the end of the Print Version.

**Congratulations**, you have completed Module 1!

Are you able to

- describe what a CRC is
- explain the uses of a CRC
- identify the scenarios to use a CRC and
- list the key stages in the CRC process?

**If you have doubts regarding these topics, please review Module 1.** If you feel comfortable with the content of Module 1, please proceed to Module 2 to assess the suitability of your city/town/village to the CRC methodology.



## Module 2: Is A CRC Right for You?

### Objectives

The content in this module will help you to assess your local conditions and, if you decide to carry out a CRC, to select a lead institution. On successful completion of this module, you will be able to

- identify the “Critical 9” – the factors important to the success of the CRC methodology
- apply your understanding of the Critical 9 to assess a locality’s suitability to the CRC methodology and
- identify a suitable institution to organize the CRC process.

### Overview

Before starting on a Citizen Report Card, it is important to consider the tool’s suitability to the local setting. The Public Affair Centre’s experience in implementing CRCs has revealed several factors that are critical to the success of the methodology.

- There are nine key factors to consider when evaluating the suitability of the CRC tool - “the Critical 9”.
- Hold a focus group discussion (FGD) to help evaluate your local setting with regard to the Critical 9.

The selected lead institution should have the skills, independence and commitment to carry out a CRC.

### Assess Your Locality

To make an assessment of the suitability of the use of CRC in your locality, certain factors need to be considered before a final decision is made.

#### *Factors to consider – The Critical 9*

The “Critical 9” are factors important for successful implementation of the CRC. They include

1. Political Context
2. Decentralization
3. Security
4. Citizen’s Freedom to Voice
5. Presence and Activism of CSOs
6. Professional NGO Activity
7. Quality of Media
8. Leadership Orientation of Service Providers
9. Government Interest



### *1. Political Context*

The political context of a nation influences the scope and type of interactions between government and other sections of society (civil society, media, business and citizens).

Where citizens participate in the selection of political leadership and are able to influence government policies, the Citizen Report Card can offer a powerful mechanism for people to speak about their experience as the users of public services<sup>7</sup>.

When the means for citizens to voice their opinion (through elections, public meetings, and other ways) are less, or absent, political institutions and processes are rarely designed to use feedback from citizens.

- The CRC would be an unfamiliar mechanism. Governments would have to recognize the importance of citizen feedback. Citizens would have to become comfortable with openly providing feedback on government services.

If the state is likely to block the CRC effort, involve government in the process. The CRC can be used as an internal diagnostic tool to evaluate service delivery. Although the advocacy or "public voice" component will be minimal, this application of the CRC can still create a new mechanism by which government listens to and incorporates the perspective of the people.

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<sup>7</sup> The political system of a nation moulds the institutions and policies that govern society. It determines the degree of freedom enjoyed by average citizens.

## *2. Decentralization*

Many central/national governments have decentralized the responsibility of providing services. Although the aim of decentralization is to give more independence - both spending and policymaking — to local governments, the results have been mixed.

In some places, decentralization has led to improved government services<sup>8</sup>. In other places, decentralization has increased the misuse of funds and has failed to produce better quality services.

Within the context of the CRC, understanding the impact of decentralization is important. Who is now responsible for service provision? Efforts to improve services should aim at these institutions.

## *3. Security*

An open discussion of problems and issues can only take place when people feel secure.

Where there are strong institutions of law and order and the application of law is just, individual safety and property is usually secure. Where laws and their applications are weak, institutional and public mistrust makes the implementation of the CRC and distribution of findings very difficult.

Investigators conducting surveys and others involved in the CRC process should feel secure conducting the survey and disseminating both the positive and the negative aspects of the findings.

- Application of the CRC is only possible when the safety of those implementing the methodology is not at risk.

## *4. Citizens' Freedom to Voice Experience*

Related to the larger issue of security is the freedom to openly comment on government.

Can individuals within a state, regardless of whether they are poor or powerful, openly discuss their experience with public services?

- The CRC methodology is most effective where individuals can freely comment on the government without fear of punishment. Feedback is likely to reflect the true experience of the respondent.
- Where individuals fear punishment for commenting on the government, the reliability of collected feedback is in question. Respondents may give inaccurate answers or refuse to answer questions<sup>9</sup>.

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<sup>8</sup> Find out at which level of government, decisions regarding service delivery are made. Plan and direct your advocacy at this level.

### *5. Presence of Civil Society Organizations*

In many places, Civil Society Organizations (CSOs) make up a very important sector of society. An active civil society indicates the presence of high levels of citizen initiative and mechanisms useful to carrying out a CRC. They

- provide services or meet needs where the government has failed
- advocate for changes in laws, policies and systems and
- share important information with the general public.

The size and level of activity of civil society can serve as an indicator for the level of citizen engagement in public life. CSOs are important actors in the CRC process. Whether they lead the effort or participate in follow up activities, CSOs help to ensure the independence and use of findings. Strong networks among CSOs improve the possibility that findings will be distributed and translated into efforts to improve service delivery.

- An organized, highly active, neutral civil society is best suited to participate in various stages of the CRC methodology.
- Highly biased groups may change the findings to promote their own interests.
- The absence of civil society will limit options to distribute findings and follow up efforts related to advocacy and reform. However, consider if there are any local proxies for civil society. Sometimes semi-government organizations or other public entities may offer many of the benefits of civil society.

### *6. Professional Groups/ NGOs*

Organizations with a professional skill set are required during various stages of the CRC methodology<sup>10</sup>.

1. To ensure the quality of collected data, the organization should be
  - skilled in social science survey techniques
  - knowledgeable of local service provision
  - able to develop the sampling design and
  - experienced in overseeing fieldwork.
2. To complete the analysis of findings, the organization should be
  - skilled in collecting and interpreting data.
3. To make/create an impact, the organization should have
  - publicity, communication and advocacy skills.

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<sup>9</sup> During the survey, emphasize to respondents that individual respondent feedback will not be disseminated. Only the aggregated information from all respondents will be shared; there is no need for any respondent to fear retribution. In addition, the CRC findings should not be used to target an individual. CRC findings should share a complete picture—both good and bad—of how an agency provides services.

<sup>10</sup> Universities, think tanks and independent research organizations are organizations to consider when looking for local groups that can assist with implementation of the CRC methodology.

### *7. Quality of Media*

An independent media provides a natural check on government, business and other stakeholders in society. During the distribution of CRC findings, the media is critical. An independent media is best suited to reach a wide audience.

- An enthusiastic, independent local media increases the probability that dissemination will be timely and widespread and that there will be follow-up coverage on service quality issues.
- A government controlled or highly biased media may not support distribution, could bias the findings during distribution, or reduce the effect of CRC<sup>11</sup>.

### *8. Leadership Orientation of Service Providers*

For CRC findings to be effective, service providers must be open to external feedback and willing to make total improvements in service delivery. The leadership orientation of service providers shows their willingness to listen and respond to citizens, and the types of processes and protocol they support.

Where an environment supportive of change already exists

- direct citizen feedback can provide additional support for existing reforms and set off additional improvements.

Where service providers are not receptive to citizen feedback or interested in making internal improvements

- service providers may dismiss the CRC findings and
- impact from the CRC may be limited.

For CRC findings to be effective, service providers must be open to external feedback and willing to make on-the-ground improvements in service delivery.

Even when leadership is not immediately responsive, it is possible that the CRC may make an impact over time. Try to cultivate interest within the service provider; identify an authority figure who may be interested in the findings. Emphasize both the good and bad aspects of service delivery that the CRC reveals. Repeated CRC efforts may be required to spark the interest of leadership and to bring about improvements in service delivery. In this situation, the long-term commitment of the lead institution and other stakeholders is crucial to bring about change.

### *9. Interest of Government in Local Initiatives*

Although services are provided at the local level, the higher levels of government, such as the state or central governments, often have influence over local service providers. Higher

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<sup>11</sup> With a disinterested or a low-skilled media, try to spoon-feed the findings. In addition to a press note, prepare a media-friendly article of the findings that they can directly use in their dissemination. If the traditional media is not willing or is ill equipped to disseminate findings, consider other means to share information. Street plays and flyers/posters in public spaces have been used in the past to complement traditional media's dissemination efforts.

levels of government can apply pressure - both financial and otherwise – to start improvements in local service delivery.

- When higher levels of government are supportive of local efforts to improve services, they can push for reforms based on CRC findings. In addition, where local interest in the CRC is lacking, higher levels can create incentives or apply pressure to ensure that a CRC is carried out.
- When higher levels are disconnected or make trouble for local initiatives, it is more difficult to use CRC findings to implement improvements in service delivery. In addition, finding financial support to implement reforms could be challenging.

If there is limited support or interest in the higher levels of government, the CRC can still be effective if decision-making power is at least partially decentralized. Higher levels of government become critical advocates for change when the local government is non-responsive.

### **Making a Decision**

Assessing a location's fit to the CRC is a qualitative process. It is recommended to hold a focus group discussion with individuals who are knowledgeable about the local social-political setting to complete the assessment. This discussion could include representatives from government, civil society, academics and active citizens.

As an introduction to the Focus Group Discussion (FGD), provide participants with an overview of the CRC methodology and have them complete a Rapid Assessment Scorecard (Please see *Appendix 3: Rapid Assessment Scorecard*). The scorecard will familiarize participants with the Critical 9 and provide a starting point for the discussion.

Also, ensure that the facilitator of the FGD, and ideally a few other individuals who participate in the discussion, have a good conceptual understanding of the CRC methodology and, in particular, of the importance of the Critical 9. This information can be gleaned from modules 1 and 2.

#### *Points to Remember*

Prepare a set of questions to guide the FGD.

Remember: the purpose of this FGD is to have a focused discussion about local conditions and whether they are well suited for the CRC methodology. For help with drafting your questions, refer to Draft FGD questions (Please see *Appendix 4: Draft FGD Questions*).

#### *The Final Decision*

After evaluating a locality with regard to the Critical 9, conclude with a broad assessment.

- Would the locality benefit from the collection and dissemination of citizen feedback on public service provision?

- Are there individuals inside and outside of government who might use the CRC findings to work towards improvements?

If the FGD suggests that conditions are well suited to carry out a Citizen Report Card continue with implementation.

If the FGD suggests that conditions are less favorable, but considerable interest exists, consider undertaking an adapted version of the CRC, such as a pilot exercise.

- A pilot would cover one service and have a small sample size, but would still indicate whether a larger effort would succeed given local conditions.

### **Select Lead Institution**

A lead institution is the most critical factor to the success of the CRC process.

As discussed in module 1, there are three common types of lead institutions

- civil society organization (CSO)
- government body, whether it is an elected body, independent committee or government department and
- independent consortium (group), consisting of government officials, civil society representatives, academicians and the media.

In each case, the organization should consider whether it has the skills, resources, independence and motivation/ commitment to carry out a CRC.

#### *Qualities of a Lead Institution*

To conduct a CRC, the lead institution should be

- a credible part of the city or sector where the effort is started
- politically neutral
- committed to improvements in public services, over the long-term
- able to oversee survey-related fieldwork (though not necessarily able to carry it out) and interpret collected feedback
- willing to disseminate both the positive and negative findings and
- experienced or at least agreeable to work with multiple constituents (media, CSOs, government, etc.).

Many of the other skills involved in carrying out a CRC can be brought together externally, if not available within the lead institution. Through informal networks or formal partnerships, organizations or individuals can be brought into the group to fill in gaps where skills are lacking.

#### *The Independent Consortium as a Lead Institution*

Unlike a CSO or a government entity, an independent consortium is created with the purpose to carry out a CRC.

- Individuals with a wide range of skills and expertise, important to the CRC methodology, are invited to join the consortium.
- Collectively, the members of the consortium should satisfy the qualities of a good lead institution.
- The independence of findings is more likely—the differing motivation of each member provides a check against any one member's interest taking over the findings.
- More coordination is required since most members of the consortium will be based from different organizations.

### **Deciding on the Lead Institution**

To make the final decision about whether or not an organization should serve as the lead institution

- keep in mind the important factors discussed earlier and
- use the tool 'Assessing a Potential Lead Institution' (please see *Appendix 5: Assessing a Potential Lead Institution*) to evaluate an organization along some key criteria.

The final decision could be

- self-selection (a government body or CSO deciding it is qualified)
- an organization or individual (from government, civil society, a development agency, or a even a private citizen) identifying another qualified organization to carry out the CRC and
- an organization or individual deciding to create an independent consortium.

TOR for the Lead Institution

It is important and useful to prepare a Terms of Reference (TOR) for the lead agency. This is specially so when a consortium is the lead agency or a development agency is supporting a CRC (Please see *Appendix 6: TOR for Lead Institution*).

### **Summary**

- The success of the CRC methodology is related to the suitability of local conditions. It is very important to identify how local conditions might make implementing a CRC a challenge.
- The most important factor for the success of the CRC effort is a strong lead institution. The lead institution should be independent, a reliable local actor and committed to long-term change.
- An independent consortium can be a powerful lead institution that is able to draw upon a variety of skills from individuals working in the government, civil society, media, academia and so forth.



## Self Test 2

There are two types of tests, namely 'Content Test' and 'Approach Test'. You will be able to assess yourself about the module you just learnt, by completing these tests.

### CONTENT QUESTIONS

1. Which of the following political setups is the most favourable for a successful CRC implementation?
  - a.  Citizens elect political leaders and are able to influence government policymaking.
  - b.  Citizens elect political leaders, but elected representatives and public officials pay little attention to citizens.
  - c.  Citizens do not participate in elections and have little influence over government decision-making.
  - d.  Citizens do not participate in elections and do not feel comfortable giving their opinion regarding government.
  
2. Which of the following statements is true in connection with political decentralisation?
  - a.  Decentralisation limits the usefulness of the CRC as local governments are small political bodies.
  - b.  The CRC can be a powerful tool when local governments have a say in policy making and budgetary spending.
  - c.  Decentralisation does not necessarily play any role in the application of the CRC.
  - d.  Decentralisation ensures that CRC stakeholders will be bullied by the state government.
  
3. What do citizens need to have for effective implementation of a CRC?
  - a.  High levels of literacy
  - b.  Political awareness
  - c.  Ability to oversee survey-related fieldwork
  - d.  The freedom to voice their opinion regarding public services
  
4. What kind of media would you choose to partner with during the dissemination of the CRC findings?
  - a.  An enthusiastic national tabloid
  - b.  An enthusiastic and independent local news agency
  - c.  A government controlled media network
  - d.  An international news agency

## APPROACH QUESTIONS

### Case Study

Mehnat is a city of 1 million people in Garv, a developing nation located directly south of the equator. Mehnat has two extreme seasons: a hot and dry summer for nine months and a three-month rainy season. Water shortages are common during the summer and flooding is common during the annual rains.

Garv is a multi-party, democratic nation. Elections have been held every five years since independence in 1958. Over the past 10 years, there has been an effort to decentralize power to the state and local levels. Mehnat Municipal Government (MMG) receives 30% of its annual budget from the state and central governments. The remaining budget comes mainly from local property taxes, sales taxes and business permits.

The City is split into two zones: East and West. Basic public services are provided by MMG at the zonal level. The key services provided by MMG include drinking water, sanitation (garbage clearance and storm water drains), health care and roads. There is no commonly assessable alternative for these services.

In municipal government, the elected City Council often clashes with the executive branch that is responsible for service provision. The City Council is made up of 20 Councilors, each elected by residents of a particular ward. There are 20 wards in Mehnat, ten in each zone. The Council elects a mayor from among the elected Councilors. The Mayor and other Councilors serve four-year terms.

A Commissioner heads the executive administration. Deputy Commissioners lead the four departments responsible for service provision. Two of the Deputy Commissioners are progressive and reform-minded civil servants; the other two Deputy Commissioners are known for a managerial style that protects the current situation.

Two political parties dominate city politics. Following the recent municipal elections last month, the political party in power changed.

Corruption exists at various levels within the municipal government and, in general, the quality of services is poor. Drinking water is provided once in two days for two hours a day. The part of the City closer to the municipal water source receives water more frequently, while others sections of Mehnat complain of getting water only twice a week. The quality of water is poor; most families boil or filter water prior to use. Household trash is collected twice a week. However, street bins that serve as neighborhood trash containers usually fill up in two days. Trash-filled storm water drains quickly overflow during the annual rains. Public hospitals are understaffed and lack advanced medical equipment. Patients often wait several hours for non-life threatening treatment. Roads in the city are narrow and filled with potholes. Traffic congestion is widespread.

Twenty to twenty-five percent of city residents live in slum dwellings. Municipal service provision is unreliable and of poor quality in slums.

Citizens feel safe voicing their opinion throughout Garv and the media is independent. City newspapers in Mehnat devote one page to city-related events, including some coverage of municipal services and the MMG. Though citizens occasionally voice protest, the municipal government pays little heed.

A scattered network of civil society organizations exists in Mehnat. Most of the organizations have a very targeted role and are involved in serving disadvantaged groups in the City. There are several resident welfare groups that work to improve conditions at the neighborhood level.

### Scenario

The Municipal Development Bank, a reputed international development bank, sets up a country office in Garv to fund development schemes. The Bank appoints Eva as the personal assistant to the Chief Strategist in the Planning and Finance department.

From several reliable sources, the Bank receives reports of mismanagement in the Mehnat Municipal Government (MMG) Water Supply Department, for which it had sanctioned funds. To get a first hand report from the citizens, the Bank decides to sponsor a local Citizen Report Card (CRC) on the water supply services.

The responsibility falls on the Chief Strategist to supervise the CRC process. He asks Eva to identify a local lead institution to carry out the CRC.

After a bit of research, Eva finds out that Mehnat has a scattered network of civil society organizations that conduct various public awareness campaigns and that provide social services.

Eva has the option of choosing between two willing groups. A civil society organization; that is rich in experience and actively involved in the pet projects of the current government and an independent fellowship of resident welfare groups loosely organized and more knowledgeable about neighborhood level concerns.

### Questions

1. Which group should Eva choose as the lead institution?
  - a.  The civil society organization
  - b.  The network of resident welfare groups
  - c.  Either of the two groups -- both are equally eligible
  
2. After further research, Eva pushes the network of resident welfare groups to create an independent consortium to implement the CRC. Who should Eva and the resident welfare groups invite to join the independent consortium?
  - a.  The consortium should have a team of members consisting of government officials, civil society representatives, academics and delegates from the media.
  - b.  The consortium should not have members working in government agencies.

- c.  The consortium should not consist of people from Mehnat.
3. With respect to Mehnat, what serves as a great advantage towards the successful implementation of a reliable CRC?
- a.  The two extreme seasons; the nine-month summer and the three-month rainy season
- b.  The bi-zonal split of the city
- c.  The freedom for citizens to openly share their opinions and a secure law and order situation

For answers, please go to '**Answers to Self Tests**' given at the end of the Print Version.

**Congratulations**, you have completed Module 2!

Are you able to

- identify the local factors that are important to the success of the CRC
- apply your understanding of the Critical-9 to assess your locality's suitability to the CRC and
- identify a suitable lead institution to spearhead the CRC process?

If you have doubts regarding these topics, please review Module 2. If you feel comfortable with the content of Module 2, please proceed to Module 3 to define the scope of your CRC.

## Module 3: What Should Your CRC Examine?

### Objectives

The content in this module will help you define the scope of your CRC.

On successful completion of this module, you will be able to

- draft a statement of purpose for the CRC
- conduct Focus Group Discussions (FGDs) to identify the services and aspects of service delivery to include in the CRC and
- finalize the scope of the CRC based on feedback from the FGDs.

### Overview

Once you decide to conduct a CRC and have identified the lead institution, it's time to focus on the details of the Citizen Report Card. Defining the scope of the CRC requires identification of the services and aspects of service delivery to examine. The theoretical nature of this step can make it easy to rush through without sufficient consideration.

However, without due attention, following steps may result in a questionnaire that is mismatched from the issues facing your city/ town/ district or survey data that does not provide relevant citizen feedback.

Holding focus group discussions (FGDs) with local residents can help to identify the services and aspects of service delivery that should be included in the CRC.

### Defining the Scope of the CRC

Defining the purpose of the CRC guides every step of the process.

#### *Statement of Purpose*

A **statement of purpose** describes the reason and scope of a Citizen Report Card<sup>12</sup>.

The statement of purpose should start out by answering the following types of questions.

- What service(s) or sectors do you wish to cover?
- Do you want to focus on a single service provider or multiple services? The first time that you conduct a CRC there are several advantages to focusing on a single service or two services. (Please see *Appendix 7: How Many Services to Cover?*)
- Is there a government policy or program that you wish to assess?

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<sup>12</sup> The statement of purpose directly shapes the type of questions that are asked in the questionnaire, as well as the analysis and the interpretation of collected feedback.

The statement of purpose should also list the more specific objectives of the CRC. **Specific objectives** describe the aspects of service delivery, or of a policy, to be examined.

Specific objectives answer the following type of questions.

- What type of information do we need to gather?
- What aspects of service delivery (availability, access, quality of service, incidence and resolution of problems, interaction with staff, corruption) are important?

As part of defining your statement of purpose, you should determine how to measure the success of your CRC. One suggestion is to research and list the available information about service provision and quality. Then, identify the information that you hope to gather through the CRC. By recording what you know now and what you hope to know after carrying out a CRC, you can evaluate the success of the effort.

### *Drafting the Statement of Purpose*

The lead institution should draft a preliminary statement of purpose. As part of this process, the lead institution should identify the population of interest<sup>13</sup>.

Answer the following questions to help clarify the population and the sub-populations of the CRC.

- What is your population/community of interest?
- Will the Citizen Report Card survey be carried out in your own city / town / rural community?
- Do you also want to analyze service delivery by zone, ward or some other regional division?
- Are there subgroups in the population that are of particular interest to your study (slum households, females, elderly, etc.)?

Mapping out service delivery for the CRC population provides useful information to finalize the statement of purpose and for later stages of the CRC - from questionnaire design to dissemination and advocacy efforts.

Example:

- Is the central, state or local government the main service provider?
- Are services provided by a combination of providers from various levels of the government?
- Or has some portion of service delivery been contracted out to a private company?  
(Please see *Appendix 1: Who Provides Services*)

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<sup>13</sup> Holding a focus group discussion within the lead institution is a good way to start the process and to familiarize staff with the FGD process.

### *Sample Statement of Purpose*

This sample statement of purpose and listing of specific objectives is for a CRC in the city of Shakti. They provide a clear roadmap for the design of the survey instrument and the analysis of findings.

#### Measuring the Success of our CRC: Getting New Information

This Citizen Report Card will evaluate the quality of health services at public hospitals in the City of Shakti, with regard to a three-year old municipal policy that guarantees basic health services to the poor.

#### Existing Information Regarding Health Services in Shakti

- Examine the availability, accessibility and usage of state-authorized services for the poor in Shakti.
- Determine the quality of care provided, behavior of staff (doctors, nurses and others), locations and degree of corruption, quality of medicines, and overall satisfaction - separately for in and out patients.
- Using the above-mentioned indicators, also determine the quality of health services for poor women, children and elderly residents.
- Compare the quality of services across the three zones in Shakti.

#### What the CRC should tell us

- Publicly available information regarding public hospitals in Shakti is limited. The financial budgets of the two major hospitals are available for the previous financial year. In addition, there is a record of the number of people who visited the major hospitals last year: approximately 20,000 individuals. Of these users, it is estimated that 80% fall under the government's criteria of 'poor' and therefore qualify for the free basic services. With regards to the staff, all doctors and nurses must pass a state medical exam before joining a public hospital.
- By carrying out the CRC, we hope to gather detailed information about availability, accessibility and quality of free health services. We want to look for differences in the quality of services between women and men, between elderly and others, and between those who pay and those who qualify for free services. We also want to compare the quality of health services among different hospitals.

Thus, the above statement of the purpose identifies the scope and population of the CRC

- Service of interest: health care (public hospitals in Shakti)
- Population: the poor (as defined in Shakti's municipal policy)

The specific objectives clarify the important aspects of service delivery and identify key sub-groups in the population

- Service aspects: availability, accessibility, usage, service quality, staff behavior, corruption, quality of medicines and overall satisfaction.
- Sub-groups of interest: in-patients and outpatients; women, children and elderly residents.

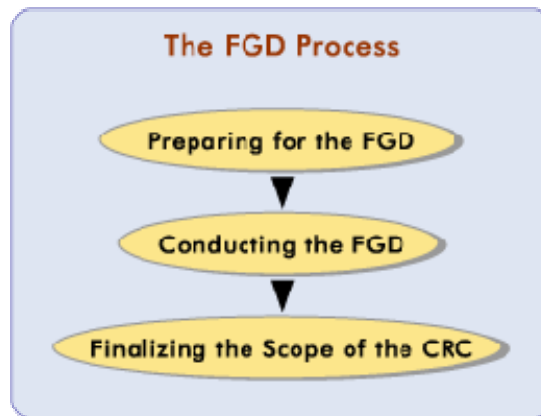
## Gathering Local Feedback: Focus Groups Discussions

Holding focus group discussions (FGDs) with citizens from the population of interest is an effective way to finalize the purpose of the CRC.

The feedback generated during FGDs should be used to revise the preliminary statement of purpose drafted by the lead institution and (later) to design the survey instrument.

Steps involved in the FGD process

- Preparing for the FGD
- Conducting the FGD
- Combining and assessing the feedback



### *Preparing for the FGD*

Lead institutions will have an idea about the type of CRC they wish to conduct. Based on this initial plan, the locations, participants and facilitators for the FGDs should be determined.

### *Participants*

Determining where to hold the FGDs and whom to invite should naturally flow from the preliminary state of purpose.

Separate FGDs should be carried out if

- subgroups in the CRC population have had vastly different experiences in service delivery.

The level of participation will improve by further dividing the population; for example, holding separate FGDs for women and men may increase the level of participation, especially from women in some places.

For **example**, for the three Citizen Report Cards carried out in Bangalore, India, separate FGDs were carried out in slum and non-slum areas. The experiences of the two subgroups



varied to such an extent that separate questionnaires and sampling designs were devised to collect feedback.

### *Facilitators*

An individual with good facilitation skills must be identified to guide the discussions.

A facilitator should be able to

- understand the overall CRC methodology and the general purpose of this CRC
- relate to and connect with participants and
- facilitate a discussion that does not lead to conflicts or get stuck on irrelevant topics.

### *Questions to Guide the Focus Group Discussion*

A short set of questions should be drafted to guide each FGD. Listed below are five questions that can be easily modified to suit your needs.

1. What services are particularly important to you?
2. For the purpose of a CRC, how would you rank their order of importance?

It is useful to rank the services in order to focus the remaining questions since it is very difficult to discuss numerous services in an FGD. For each top-ranked service

3. What are the problem areas related to this service?
4. Are there recent areas of improvement?
5. What aspects of service delivery are important to you and why are they important?

(Please see *Appendix 8: Conducting the FGD*)

### *An Example: An FGD on Health Services*

1. What health facilities are available in your community?
2. Which facility do you use most regularly? For what purpose?
3. What are the problems that you have experienced at this facility?
4. Are there any recent improvements in the health services provided at this facility?
5. What aspects in the delivery of health services are most important to you and why are they important (i.e. availability, access, quality of service, quality/availability of medical staff, quality/availability of medicines, affordability, bribes)?

## **Finalizing the Scope of the CRC**

### *Incorporating Feedback*

To finalize the statement of purpose, the feedback gathered during the FGDs should be synthesized with the interests and resources of the lead institution. Use the feedback from the FGDs to modify and perfect the statement of purpose. The final statement of purpose should include the most important feedback from FGD participants; for example, the

services included in the CRC should rank high in the participants' ranking of important services and the aspects of service delivery that participants identified should be included.

As stated earlier, the importance of a well-written statement of purpose cannot be overstated. It will be used to evaluate the success of the CRC and, during the CRC process, to shape the

- design of the survey instrument
- type of user feedback that is collected
- level of analysis
- policy implications and
- advocacy strategies.

### *Is it feasible?*

As part of finalizing the statement of purpose, it is useful to informally assess whether the financial and human resources available match the proposed CRC.

- What staff and financial resources are available to carry out the CRC?
- Will the lead institution be able to mobilize the additional resources that are required to carry out the CRC under consideration?

If the number of services to cover in the CRC should be reduced, one additional consideration is the responsiveness of leadership within the service agency. A reform minded leader, along with the 'cruciality' of the issue, greatly increases the possibility for successful follow up activities by the service agency.

## **Summary**

- Consider examining one or two services in your first CRC. This strategy gives you the opportunity to build expertise and confidence in the methodology. It also allows you to target available resources to produce a high quality CRC.
- Don't hold on too tightly to your preliminary statement of purpose. Use the information generated during FGDs to revise the objectives and/or population.
- If you discover very differing views within the same FGD, consider if there is a variation in service delivery (i.e. service delivery in slum versus non-slum areas) that you need to capture through separate FGDs.
- In some locations, holding separate FGDs for women and men can greatly increase the participation of women.
- Make sure there is clarity regarding the level of data analysis; this will have an effect on the sampling design. For example, do you want to present the findings at the state, city or ward level?

### SELF TEST 3

There are two types of tests, namely 'Content Test' and 'Approach Test'. You will be able to assess yourself about the module you just learnt, by completing these tests.

#### CONTENT QUESTIONS

1. Which of the following pieces of information is appropriate to include as a specific objective?
  - a.  The names of the heads of the public service agencies
  - b.  Aspects of service delivery to cover in the survey
  - c.  The number of users of a particular service
2. When deciding the services to cover in the CRC, which of the following is most important to consider?
  - a.  If internal evaluations have been carried out by the service provider
  - b.  If the leader of the service agency is reform minded
  - c.  The size of the institution providing public services
3. If you were the facilitator of an FGD, how would you proceed?
  - a.  Manage conflicts and pose only relevant questions
  - b.  Answer all questions
  - c.  Ensure that all participants are given the opportunity to share their opinion

#### APPROACH QUESTIONS

##### Scenario

Namaskara, a local non-government organization, has decided to undertake an independent assessment of drinking water services in the city of Mehnat. Namaskara has researched several options and decides to carry out a Citizen Report Card.

After an internal discussion, the organization drafts a preliminary Statement of Purpose:

"The Citizen Report Card will report on the state of the water services for the city of Mehnat. The local government has managed these services since 1995. Before 1995 the services were being managed by the Central Government.

We intend to gather findings on the availability of household water connections."

In order to finalize the statement of purpose, Namaskara holds a Focus Group Discussion (FGD). It invites 20 residents from slum and non-slum areas to participate.

On the day of the FGD, the facilitator from Namaskara makes everyone sit together. The residents from the slum areas are less cooperative than the residents from non-slum areas. The facilitator does not make arrangements for recording the discussions. After the FGD, the initial statement of purpose is released.

##### Questions

1. What would you have done differently, while conducting the FGD? (select all that apply)
  - a.  Nothing. The final statement of purpose was good and Namaskara has collected a lot of useful information.
  - b.  Conduct two FGDs, separately for slum and non-slum residents.
  - c.  Designate a scribe to take detailed notes during the FGD and/or electronically record the discussion.
  
2. The Executive Director of Namaskara sees the Statement of Purpose and finds it too general. She knows that most non-slum dwellers have a household water connection, while slum residents get their water from public water pumps. She asks the facilitator of the FGD to rewrite the preliminary statement based on feedback from the FGD. The facilitator drafts two new options.

Which option do you think that the Executive Director of Namaskara should select?

- a.  This Citizen Report Card will evaluate the quality of drinking water in the city of Mehnat, with special attention to the differences in water sources, availability, and quality between slum and non-slum areas. In addition, the CRC will collect user feedback on the satisfaction levels with staff of the Water Supply Department, problem incidence and resolution, areas of corruption, overall satisfaction with services
  - b.  This Citizen Report Card will evaluate the quality of drinking water in the city of Mehnat, with special attention to the differences in water sources, availability, and quality between slum and non-slum areas. Namaskara will design a questionnaire, interview approximately 2000 households and disseminate the findings
  - c.  Neither of the above options. The preliminary statement of purpose is better: The Citizen Report Card will report on the state of the water services for the city of Mehnat. The local government manages these services since 1995. Before 1995 the services were being managed by the Central Government
3. Which of the following options do you think best describes Namaskara's approach to creating the Statement of Purpose?
    - a.  It correctly drafted a preliminary statement of purpose, held FGDs, and released a Statement of Purpose.
    - b.  It was incomplete because it did not include the findings of the FGD into the Statement of Purpose.

For answers, please go to '**Answers to Self Tests**' given at the end of the Print Version.  
**Congratulations**, you have completed Module 3!

Are you able to

- draft a preliminary statement of purpose
- hold Focus Group Discussions and
- finalize the scope of the CRC using feedback from the FGDs?

If you have doubts regarding these topics, please review Module 3. If you feel comfortable with the content of Module 3, please proceed to Module 4 to begin planning for your CRC.

## Module 4: Planning for a CRC

### Objectives

The content in this module will help you plan for your CRC. On successful completion of this module, you will be able to

- decide on the staff required to carry out the CRC
- identify the key items to cost in the budget and
- prepare a schedule for the CRC process.

The following module discusses the major staffing, budgetary and scheduling decisions that a lead institution should make early in the CRC process.

### Overview

In undertaking a Citizen Report Card, several project management decisions require early attention.

Enough resources, both human and financial, must be brought together<sup>14</sup>.

- A team with a range of technical and advocacy skills is very important to carry out the CRC; this may require hiring staff or partnering with new organizations.
- Depending on the financial resources available, it may be necessary to redirect existing resources or raise additional funds.

A realistic time frame to complete the project should be agreed upon.

### Staff

A range of skills and knowledge areas is required to carry out the CRC.

The key areas include

- knowledge of local public service provision
- familiarity with the key stakeholders
- experience in social science survey methodology
- skills in the management of fieldwork and data
- ability to disseminate findings both orally and in written format and
- capability to work with a broad community (CSOs, media and service providers).

An initial assessment of the available resources will help identify the knowledge and expertise areas where additional resources should be organized.

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<sup>14</sup> A development agency can serve the very useful role of financially and technically supporting the implementation of a CRC.

Key people involved in carrying out the CRC include

- main technical team in lead institution
- other members of lead institution, including a political supporter who can help to ensure that the CRC findings are disseminated to the key stakeholders and used to make improvements in services and
- partners during the survey.

### *Technical Team*

Within the lead institution, a core technical team is required to manage the design of the survey instrument, the fieldwork, the data entry and analysis, and the completion of the written Citizen Report Card.

One-point person within the lead institution should be responsible for heading the CRC project. He/she should be

- familiar with local service delivery
- experienced in social science survey methodology (comfortable overseeing the survey design, sampling, fieldwork, data management and the written report) and
- able to coordinate and manage relationships among key stakeholders.

A minimum of one assistant, and for the busiest periods of work, two assistants, will prove useful for

- planning and running FGDs
- collecting background information during survey design
- supporting data collection and analysis and
- preparing drafts of the presentations and written reports.

Peak periods of coordination occur

- from the initial assessment of local conditions to the finalization of the scope of the CRC and
- during the dissemination and advocacy stages in the latter half of the CRC process.

During these periods, the core team will have to allocate time to ensure and manage participation from the necessary stakeholders.

### *Other Members of Lead Institution*

Along with the core technical team, the other members of the lead institution will need to assist in

- administrative tasks: fund-raising, budgets, etc
- quality management during survey-related work
- building networks and creating buy-in among CRC stakeholder - CSOs, government, service providers, and other organizations interested in public service provision
- preparing targeted dissemination materials and
- organizing follow-up advocacy and reform activities.

### **Quality management during survey-related work**

For example, regardless of whether the survey is carried out by a professional survey agency or an alternate arrangement, members of the lead institution should be available to monitor the quality fieldwork.

Other areas of assistance related to the survey preparation includes: editing and translating the questionnaire.

### **Preparing targeted dissemination materials**

Depending on the target audience (children versus adults, resident welfare groups versus service providers, etc.), several versions of the CRC will be required. Once the primary CRC report is written, other members of the lead institution can help to prepare targeted written documents, presentations, films, or other appropriate methods to disseminate the findings.

### *Partners for the Survey*

A large number of people are required to carry out the survey<sup>15</sup>. There are at least three ways to gather together the additional staffing requirement.

Depending on the level of financial resources and technical skills available, the lead institution can decide on the appropriate method.

- Lead Institution Staff. If there is enough staff in the lead institution to conduct the survey, use internal human resources.
- Volunteers. Form a group of volunteer investigators who are managed by staff from the lead institution. Although these individuals would require additional training on conducting interviews and probing respondents, the expenses incurred would be small.
- Professional survey agency. Outsource the fieldwork and data entry to a professional survey agency. (Please see *Appendix 9: Guidelines for Terms of Reference*)

In all of these options, the project leader will remain a central part of the process. He/ she will closely check every step of the field survey to ensure the accuracy and relevance of results.

### *Professional Survey Agency*

If the decision is made to hire a professional survey agency, care should be taken to select a well-qualified company. It should have experience in conducting social science surveys, a local presence and quality control measures in place.

Qualities to look for when hiring a Professional Survey Agency

- Does the agency have experience conducting social science surveys (as opposed to market surveys)?

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<sup>15</sup> A decision must be made whether to hire a professional agency for data collection or to form a team through volunteers and partnerships.



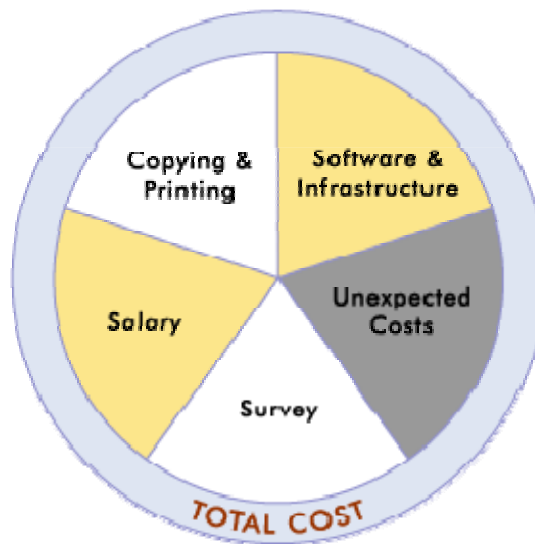
- Does the leadership team — the researchers and the field coordinator — have sound knowledge of sampling design?
- Are there organized field processes in place to ensure that the quality of data is being checked?
- Does the agency take from a group of skilled investigators, who have good probing skill and will be able to connect with the local population?
- Does the agency have a local presence? Are the field investigators local residents?
- Is the agency politically neutral?

## Finances

Costing in the CRC methodology includes both overhead and additional expenses. (Please see *Appendix 10: Budget Format*)

Key items to cost in the budget include

1. Survey (field work) related costs<sup>16</sup>. This cost depends on the location of the CRC; local survey agencies may be able to indicate the cost per interview.
2. Salaries (lead institution staff, technical consultants).
3. Copying and printing (material for dissemination and advocacy work).
4. Computing infrastructure and software (depends on how much of the data entry and analysis occurs in house).
5. Unexpected costs (i.e. the need to increase number of investigators or expand the number of households surveyed; unexpected delays; increased monitoring).



<sup>16</sup> Survey (fieldwork) related costs include: (1) Translation, retranslation and printing of questionnaire; (2) Training of investigator and piloting; (3) Investigator and supervisor fees; (4) Travel: local conveyance and (if required) outstation travel; (5) Others: equipment, gifts, renting venues (if required); (6) Data entry and generation of basic tables.

Even if financial resources are limited, productive partnerships with CSOs, concerned businesses, or local civic groups can help minimize costs.

Some examples include

- A local university statistics department could assist with the data collection and analysis.
- An associate CSO could provide volunteer investigators for the fieldwork.
- A business might provide printing and copying facilities.

## Schedule

The entire CRC process, from the initial focus group discussions to post-survey follow up activities, takes 6 months to 1 year. To plan your CRC schedule, consider your target date for the dissemination of findings. Then, work backwards from this date to develop a time plan for each stage of the process.

When preparing the CRC schedule, give some thought to

- possible external timing delays or biases (elections, rainy season) and
- internal timing considerations (staff leave, funding cycle).

To assist planning, a CRC Work Plan (please see *Appendix 11: CRC Work Plan*) is available to identify the dates and point people for each step in the process. Again freely modify the CRC Work Plan to suit your own needs.

Below is a general time guideline for a typical CRC. Please modify, keeping in mind your own strengths and local schedule.



## Summary

- Ensure that the project leader has the technical and management skills to oversee the design and implementation of a social science survey, the interpretation of collected feedback, and the writing of a formal report.
- If you are partnering with a professional survey agency, make sure that it has an experienced fieldwork coordinator, a local presence, good fieldwork procedures, and skilled investigators.
- Think creatively to minimize costs. For example, partnering with a statistics department at a local university is one way to get low-cost assistance for the technical steps in the methodology.
- When finalizing the CRC schedule, make sure that various external factors are taken into consideration: elections, rains, etc.

## SELF TEST 4

There are two types of tests, namely 'Content Test' and 'Approach Test'. You will be able to assess yourself about the module you just learnt, by completing these tests.

### CONTENT QUESTIONS

1. What main requirement should every member in the CRC technical team have?
  - a.  Huge funds
  - b.  Knowledge of local public service delivery
  - c.  Good relationship with the current government
  
2. What kind of expertise do professional survey agencies need to have? (Select all that apply)
  - a.  Experience in conducting social science surveys as opposed to market surveys
  - b.  Ability to organize follow-up advocacy and reform activities
  - c.  A local presence
  
3. Should the members of the lead institution be available to monitor the fieldwork carried out by external professional survey agencies?
  - a.  Yes
  - b.  No
  
4. What are the factors to consider while drafting a schedule for the CRC? (Select all that apply)
  - a.  Staff leaves and absences
  - b.  Rain interruptions
  - c.  Service provider strikes and boycotts

### APPROACH QUESTIONS

#### Scenario

Rut is the Director of the independent consortium (group) that is partnering with the Municipal Development Bank to carry out a CRC on drinking water in Mehnat. Though somewhat disorganized, the consortium is getting ready to implement the CRC. Rut has been assigned the task of structuring the consortium so as to match the expected personnel requirements.

She decides to divide the consortium into four sections

- Technical
- Administrative
- Quality management
- External partners

She plans to outsource fieldwork and data entry processes to a nationally well-known professional survey agency.

She designates administrative staff to prepare a draft budget to systematically utilize funds received from Municipal Development Bank to carry out the CRC.

### Questions

1. Whom should Rut designate in the Technical department?
  - a.  People with experience in social science survey methodology
  - b.  People with experience in budgeting and fund-raising activities
  - c.  Local celebrities actively involved in public awareness campaigns
  
2. With respect to the seasons in Mehnat, what must Rut and her team keep in mind to make sure that the survey is reliable and widely accepted?
  - a.  Surveys regarding water supply services should be carried out during extreme weather: drought or rains.
  - b.  Surveys regarding water supply services should not be carried out during seasonal extremes.
  - c.  A complete weather forecast for the entire CRC schedule should be sought for from the Meteorological Department of Garv.
  
3. Although the Municipal Development Bank is funding the CRC, the grant only covers 80% of the proposed budget. What steps should the administrative staff take to fill the gap in financial resources?
  - a.  Apply for additional funds from the Government of Garv.
  - b.  Suggest possible partnerships with local universities and seek funding from private sponsors.
  - c.  Apply for additional funds from the Mehnat Municipal Corporation.

For answers, please go to **'Answers to Self Tests'** given at the end of the Print Version.

**Congratulations**, you have completed Module 4!

Are you able to

- decide on the staffing requirements to carry out the CRC
- identify the key items to cost in the budget and
- prepare a schedule for the CRC process?

If you have doubts regarding these topics, please review Module 4. If you feel comfortable with the content of Module 4, please proceed to Module 5 to design the survey instrument.

## Module 5: Survey Instrument Design

### Objectives

The content in this module discusses how to design a survey instrument for your CRC.

On successful completion of this module, you will be able to

- gather useful information for questionnaire design
- explain the key parts of the survey instrument
- write questions for the questionnaire and
- code and sequence the questionnaire.

### Overview

This module discusses the key components and design of the survey instrument. Designing the survey instrument is carried out in many stages. The overall test is to develop a survey instrument that gets correct feedback on the areas given in the statement of purpose.

The people drafting the survey instrument should understand local service delivery issues and the technical components of a schedule/ questionnaire.

### Preparatory Work - Review the Statement of Purpose

The process of writing a survey instrument involves translating the statement of purpose into questions.

### Converting the Statement of Purpose into a Survey Instrument

Before you start designing the survey instrument, you should do some thinking and research about the subject of questions<sup>17</sup>.

Some suggestions to start the process include

1. Study the statement of purpose for the CRC (identified in Module 4).
2. Check whether the areas that need feedback have been listed.
  - Common areas of feedback include: access, usage, problem incidence, problem resolution, staff behavior, service quality, corruption, and overall satisfaction.

---

<sup>17</sup> In many instances, to write precise questions and/or answer options, additional information is required. Spending time to research the details of service provision during the early stages of the questionnaire design is likely to improve the quality of the survey instrument. The information gathered during focus group discussions can also provide useful details and raise overlooked issues-though not all of the information collected during the FGDs will convert into questions.

3. Those items that require feedback should be written in order of importance to the CRC. If the questionnaire becomes too long, items that are not very important may be left out.

- Use the feedback from the FGDs to help in this process.

4. Practice changing one or two top ranked items into questions. While writing the question, think about the type of information you want

- qualitative information (e.g. whether drinking water tastes good/bad) and/or
- quantitative information (e.g. distance traveled to water source).

5. Go through the question(s) that you have written.

- Will you be able to collect the feedback from this question and present interesting results?

### *Meet with Service Providers*

Meetings with service providers will help you to collect more details on service provision. You should involve the service providers in the CRC process right from the start. This will increase buy-in to the process. You should plan meetings with them early in the process.

During each meeting, inform agencies on the Citizen Report Card process and review their first reactions.

- Meet with the head of the agencies; if they are not available, the public relations officer is usually another good option.

Provide service providers with information on the CRC. Service providers may not initially see the value of the CRC. They may also question the lead institution's motivations and legitimacy<sup>18</sup>. Providing them with basic information like an overview of the CRC process may help to mitigate their fears.

- The basis of conducting the CRC
  - The usefulness of collecting independent citizen feedback on service delivery
- An overview of the CRC process
  - The major stages
  - Specify when input/assistance from service provider is useful.

### *Collecting information*

During the meeting, be sure to collect the information useful for designing the questionnaire.

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<sup>18</sup> For more activist organizations, this step may seem like partnering with the enemy! However, depending on the local setting, this meeting could greatly improve buy-in to the methodology and the possibility of collaborative reforms after the findings are released.

## Types of information to be collected

### 1. Subjects of particular interest to service provider

- Programs, new services or features of service delivery for which they would be interested in getting independent feedback.

### 2. Service delivery details

- Detailed information regarding service delivery that may help writing questions or answers options.

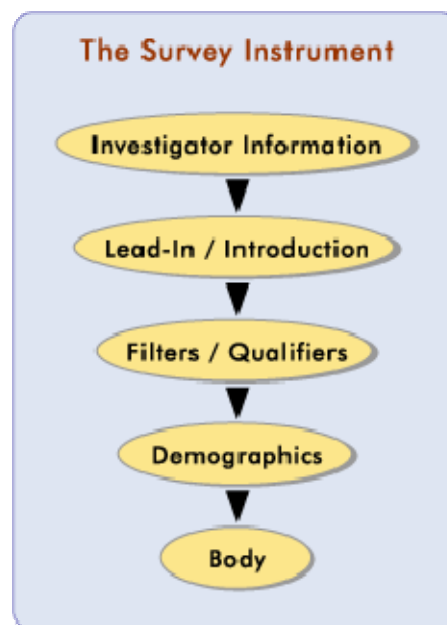
Example: How often does the water board provide water to the city residents?

It is important to keep in mind that some of the feedback collected in meeting with service providers or the earlier FGDs will not be suitable to convert into questions. Users of services may not be qualified to answer questions that require technical expertise or an above-average understanding of service delivery.

## Components of the Survey Instrument

Along with knowledge about local service provision, understanding the components of a survey instrument will help to design a good CRC questionnaire.

The survey instrument has five key parts: 1) investigator information, 2) lead-in/ introduction, 3) filters/ qualifiers, 4) demographics & 5) body.



### *Part 1: Investigator Information*

The first section of the survey instrument collects basic information about the investigator and the interview.

Examples of the information gathered in this part include

- name of investigator
- date of interview
- interview start time and
- interview end time.

### *Part 2: Lead-in/ Introduction*

The introduction provides the main information regarding the survey to the person answering the questions (respondent) at the start of the interview.

The investigator introduces himself/herself, explains the purpose of the interview and begins to create a relationship with the respondent.

#### **Example**

“Hello, I am Tara from PAC, an independent non-governmental organization. We are currently trying to understand the quality of health services in Bangalore. Could I please speak with an adult member of this household?”

This step is very important because it conveys the purpose and nature of the interview.

#### **What not to do during the lead-in!**

In a previous CRC, an investigator introduced himself by saying, “We are here to find out how bad public services are.”

This introduction immediately communicates a biased tone to the interview; let the respondent tell you about their experience with service delivery—not the reverse!

### *Part 3: Filter/ qualifier*

Qualifier or filter questions help to decide the respondent's suitability to answer a set of questions and/or the entire survey.

The first qualifier decides if the respondent meets the basic conditions to complete the survey instrument (the condition is usually whether anyone in the household has used the service(s) of interest in the past one year).

Qualifiers at the start of a section or sub-schedule help decide whether the respondent should answer further questions in that section of the questionnaire.



## Example

### *For a CRC on public hospitals*

"Have you, or anyone in your family, visited a public hospital in the past one year?"

- 1- Yes [continue with interview]
- 2- No [terminate interview]

### *Part 4: Demographics*

Demographic questions gather basic information about the respondent and/or the respondent's household.

Example: "What is your household annual income?"

Other types of demographic questions collect feedback on age, education level, size of household, gender, etc.

For CRCs, households are a common unit of analysis. Gather the household information (head of household, household income, address, etc) at the beginning of the questionnaire. Before asking questions on a particular service, gather additional demographic information on the respondent.

If there are multiple services being covered in the CRC survey, it is best to have the person who knows the most about a particular service answer that portion of the survey. For example, in a particular family, the female adult may answer a section on drinking water while a male adult may answer the section on public health facilities (or vice versa). A child may help her parent answer questions on a section regarding primary education.

### *Part 5: Body of the Survey Instrument*

The body of the survey instrument captures the key feedback related to the Citizen Report Card objectives. Multiple types of questions are included in the body of the survey instrument.

*Warm up questions* help activate the respondent's memory on a certain topic. These questions are very helpful at the beginning of a sequence of probing questions.

#### *Example*

"For what reason did you visit the maternity home?"

- 1- For a regular prenatal checkup.
- 2- For delivery.
- 3- For a post-natal check up.
- 4- Other (specify\_\_\_\_\_).

*Specific questions* capture the respondent's experience for detailed information sought in the CRC.

### *Example*

"Did you have to make any payments related to the delivery?"

1- Yes (go to next question)

2- No (skip next question)

"How much did you pay?" \_\_\_\_\_

Common categories of specific questions include: ease of access, usage, reliability, quality, corruption, and satisfaction.

## **Writing Questions and Answers**

The CRC questionnaire differs from internal government surveys; feedback should focus on areas of service delivery as experienced by users, instead of internal or technical processes. Listed below are some tips to keep in mind when writing questions and answers for the different parts of the questionnaire.

1. Consider if an open or closed-ended question is more suitable.
2. Decide on the most suitable way to evaluate each aspect of service delivery.
3. Where necessary, include time frames to collect relevant responses.
4. Specify units.
5. Select an appropriate scale.

### *1. Closed-ended or open-ended questions*

When writing questions and answers consider if an open or closed-ended question is more suitable.

#### Closed-ended questions

In this type of question, answer-options are provided to the respondent. These questions are pre-coded in the questionnaire, which makes data collection and data entry easier.

There are many types of closed-ended questions.

- yes/no
- scales (very satisfied, partly satisfied, dissatisfied)
- ranges (less than 1 km, 1-5km, greater than 5 km) and so on

Research is required to ensure that relevant answer-options are provided for closed-ended questions.

#### Open-ended questions

In this type of question, the respondent is left to answer the question as he or she wishes. When the scope of answers is uncertain, open-ended questions are very useful.

However, open-ended questions have their own drawbacks. Ambiguous responses may make it difficult to aggregate the responses for open-ended questions, and make it difficult to compare across users. Another drawback is that open-ended questions must be coded after the data is collected — increasing the time for data entry.

## *2. Suitable Way of Evaluation - Considering standards*

Give some thought to the most suitable type of question for evaluating each part of service delivery. Where standards for service exist, ask specific questions to check whether standards are being met.

### **Example**

If the service provider of drinking water has committed to provide water once a day, then include a specific question to test whether service is provided as required.

How often do you get drinking water?

- 1- More than once a day
- 2- Once in a day
- 3- Less than once a day

### *Create Standards*

When standards do not exist (the case in many countries), decide a suitable way to evaluate the quality of service delivery.

### **Example**

If you want feedback on the accessibility of the health centers, what is the best way to evaluate accessibility?

- Option1: How long does it take to travel to the health center that you most regularly visit? Follow-up question: And what is your mode of transportation?

The answer to this question may be difficult to compare across households, if different modes of transportation are used.

- Option 2: What is the distance (in kms) to the health center that you most regularly visit?

When the respondent answers this question, he/she needs to have a somewhat accurate sense of distances.

Both options provide useful information, but also create difficulties during the collection of feedback. Try to decide the type of feedback that would be more useful given the purpose of the CRC and the local setting.

Remember!

The best questions provide you with feedback that can be easily collected and from which you can draw interesting conclusions.

### *3. Include time frames to collect relevant responses.*

To avoid collecting outdated information, include a time frame when necessary.

For example, do you only want feedback from households that have used a service in the last one year? Or, do you only want feedback on satisfaction with staff behavior, if a household has interacted with staff in the past 1 year?

Make sure to specify the time frame in these types of questions.

#### *Example*

Have you or anyone in your household interacted with police in the past 1 year?

- 1- Yes
- 2- No

### *4. Specify units*

If you are asking a distance-related question or any other question where the unit of information ( e.g. distance in kms, weight in kgs, time in mins, etc.) affects the respondent's answer, make sure it is included in the question.

For open-ended questions, ask investigators to note down the unit of measurement for the answer provided (even when the unit is specified in the question). This provides a double check and allows for conversions when a respondent's answer is in a different unit of measurement.

#### **Example**

On an average, how many minutes do you wait to see a member of the hospital staff?  
\_\_\_\_ (note to investigator: write down the unit of time for the respondent's answer)

### *5. Appropriate answer scales*

There are multiple types of answer scales that are commonly used to collect feedback.

The type of answer scale used in a question affects the type of interpretation and presentation of findings that may follow. Large scales allow for more shades of gray, while simple scales provide findings that are easy to convey.

#### **Example 1**

In the third Bangalore CRC, a three-point scale was used.

Were you satisfied or dissatisfied with the quality of health services provided at the hospital facility?

- 1- Satisfied (Ask next question)
- 2- Dissatisfied (skip next question)

How satisfied were you?

- 1- Partly satisfied
- 2- Fully satisfied

## Example 2

How do you rate the reliability of public road transport service in your area/village?

- 1- Good
- 2- Average
- 3- Poor
- 4- Not applicable

## Coding and Organizing the Questionnaire

The coding of questions, the internal organization of sections, and the investigator commands are critical components of an easy to administer survey instrument.

To design an easy-to-administer survey instrument

- make sure each question and answer option is *uniquely coded* (e.g. numbering two different questions #1, even if they are located in different sections of the questionnaire, can lead to confusion during data entry and analysis)
- use sections, sub-schedules and grids to organize a lengthy questionnaire and
- ensure “skips,” “go to” instructions, and other investigator commands are correctly placed.

### *Uniquely coded questions*

- Make sure each question and answer option is uniquely coded.
- The object of coding is to give each question and answer option a unique number to allow for easy and accurate processing.
- For open-ended questions, during data entry, responses must be analyzed, grouped and post-coded.

### *2. Sections, sub-schedules & grids*

Use sections, sub-schedules and grids to organize a lengthy questionnaire. Within a particular service, sections, with headings, can be used to group types of questions that fall under a similar group.

In addition, if there are multiple services to cover in the survey, it is often helpful to have sub-schedules for each service.

If the same type of question is being repeated, a grid format can be used to save space in the questionnaire.

## Example

"Is the timing of the water supply convenient?"

Type of Water Source	Yes	No	Not Available
1. Piped water			
2. Public tap			
3. Hand pump			
4. Other source			

### 3. Investigator commands

Ensure "skips," "go to" instructions, and other investigator commands are correctly placed.

- Clear investigator instructions are very important for accurate and consistent data collection.
- Clear instructions at the start of the interview and at the beginning of each section help to ensure that the interview goes smoothly.
- Clear internal commands to skip questions or sections based on a respondent's answer help ensure that the questionnaire is correctly administered.

### Fine-tuning the Questionnaire

Bias is said to exist whenever some feature of the survey instrument or interview process leads to a response that does not match the respondent's true opinion.

Write the investigator's instructions specifically, clearly word the questions and put them in logical order. Include relevant response choices to reduce opportunities for bias.

In addition, CRC interviews usually take 30 minutes to 1 hour per household. Make sure to limit the number of questions to fit this time period. A longer interview time will likely frustrate the respondent!

After drafting the questionnaire, please revise it with the following thoughts in mind

- Cover all the stated objectives of the CRC.
- Have the questionnaire the shortest length possible. Resist the temptation to "pad" the questionnaire; only include those questions that will be analyzed!
- Use simple and explicit language.
- Include clear instructions for investigators; make sure "skip" commands are located where necessary.
- Make sure the flow or order of questions makes sense.
- Do you have too many open-ended questions? (Too many open-ended questions will make the data entry and analysis stages difficult!)
- Are users of services capable of answering the type of questions that are asked?
- Avoid double barrel questions, or questions that make an assumption about the respondent.

### **Example (of double barrel question)**

"If the water is of poor quality, what do you do?"

- 1- Go to a well
- 2- Ask a neighbor
- 3- Buy from a shop
- 4- Other (Please specify\_\_\_\_\_)

This question incorrectly assumes that the water quality is poor! Instead use a filter question.

### **Example**

In the past one year, have there been instances when the quality of water has been poor?

- 1- Yes (ask next question)
- 2- No (skip next question)

What did you do in these instances?\_\_\_\_\_

(Please see *Appendix 12: Sample Questionnaire*)

### **Summary**

- Spend enough time researching the details of service provision to ensure questions and answer-options are precise and accurate.
- Don't forget the statement of purpose! Make sure the survey instrument includes all of the services and aspects of service delivery that are listed in the statement.
- Check to see if the questionnaire is too long. Only include necessary questions; otherwise respondents may get frustrated during the interview.
- Clear investigator instructions are necessary throughout the survey instrument to collect accurate feedback.
- Don't bias feedback from respondents. Check to see if answer-options are appropriate and ensure that questions are not worded in a leading manner.

### **SELF TEST 5**

There are two types of tests, namely 'Content Test' and 'Approach Test'. You will be able to assess yourself about the module you just learnt, by completing these tests.

### **CONTENT QUESTIONS**

1. Which of the following statements do you think is true in the case of open ended questions? (Select all that apply)
  - a.  It is not necessary to record the unit of measurement in a respondent's answer for a distance related question – this may lead to confusion.
  - b.  Too many open-ended questions may lead to hassles during the analysis of responses.
  - c.  Responses to open ended questions should be post-coded.

2. Why does one include time frames for the questions?
  - a.  To speed up the response time of the respondents
  - b.  To avoid collecting outdated information
  - c.  To allow for the unique coding of each question
  
3. What should you avoid while posing closed-ended questions?
  - a.  Off-track choices
  - b.  Yes/No choices
  - c.  Varying number of choices for each question

## APPROACH QUESTIONS

### Scenario

The local public hospitals at Mehnat are administered and managed by the Mehnat Municipal Government (MMG). Som is head of the Budget Department at the MMG and oversees funding to public hospitals in Mehnat. From several reliable sources she comes to know of terrible mismanagement in the hospitals.

She calls for a meeting of the medical doctors of all the hospitals that fall under the control of MMG. After taking in all the viewpoints, she isn't quite satisfied with the commitment shown by them and suspects a hint of unprofessional attitude.

She decides to organize and implement a local level CRC to evaluate the satisfaction levels of the citizens using these public health care services.

She designates the in-house personnel of the Budget Department to carry their own tasks of

- planning and running FGDs
- collecting background information during survey design
- supporting data collection and analysis and
- preparing drafts of the presentations and written reports.

She also plans to outsource fieldwork and data entry process to a nationally renowned professional survey agency.

The process is launched by brainstorming the Statement of Purpose (SOP) and drafting a few questions for the questionnaire in-house.

Som and her staff decide not to hold FGDs. They finalize the Statement of Purpose and the survey instrument, using internal knowledge of public hospitals.

Below is the first page of the questionnaire:

CRC on Health Services in Mehnat

**Investigator Introduction:** Hello, I am \_\_\_\_\_(fill in with name) from Dharna, an independent professional survey agency. We are here to find out about the poor quality of public hospitals in Mehnat. Can I speak to an adult member of your household?



### Section 1:

1. How far is the public hospital?  
\_\_\_\_\_
2. On average, how long do you wait to see a member of the hospital staff?
  - a. Less than 10 minutes
  - b. 30 minutes to an hour
  - c. More than an hour
3. Were you satisfied or dissatisfied with the quality of health services provided at the public hospital?
  - a. Satisfied (Go to next question)
  - b. Dissatisfied (skip next question)
4. How satisfied were you?
  - a. Partly satisfied
  - b. Fully satisfied

### Questions

1. Which of the following statements is true about the investigator introduction in the sample questionnaire?
  - a.  It is a good example of an introduction. The investigator introduces him/herself, the agency, and the purpose of the visit.
  - b.  It is a poor example of an introduction. It sets a biased tone for the interview.
  - c.  It is a poor example of an introduction. The respondent should not disclose the survey agency that he/she represents.
2. In the sample questionnaire, what things are missing? (Select all that apply)
  - a.  Question number 1 should be a filter question asking whether any member of the household has used public hospital services in the past 1 year.
  - b.  Skips and other key investigator commands
  - c.  Specification of the unit of measurement in the open-ended question. As the question currently stands, respondents could give a distance (meters, km, miles) or a unit of time (5 minutes, 30 minutes).
3. What do you think Som should do to improve the questionnaire?
  - a.  Hold FGDs with users of public hospitals and have a meeting with the officers the public health service department to collect detailed information on hospital services
  - b.  Use more open ended questions
  - c.  Outsource fieldwork and data entry process to professional survey agencies

For answers, please go to '**Answers to Self Tests**' given at the end of the Print Version.

**Congratulations**, you have completed Module 5!

Are you able to

- gather useful information for the design of the survey instrument
- explain the key parts of the survey instrument
- write clear and precise questions and
- code and sequence the survey instrument?

If you have doubts regarding these topics please review Module 5. If you feel comfortable with the content of Module 5, please proceed to Module 6 to prepare for the survey.

## Module 6: Pre Survey Preparation

### Objectives

The content of this module will help you prepare for the field survey, providing an overview of the steps required to prepare for the survey. On successful completion of this module, you will be able to

- develop a sampling plan based on the purpose of the CRC
- decide on the number and organization of field staff and
- carry out the pilot survey.

### Overview

With a draft questionnaire complete, it's time to prepare for the survey process. Knowledge of sampling and experience in conducting surveys is very important. You must ask for external help from a skilled social scientist.

Steps required to prepare for the survey

- *Sampling design*: Decide on the sample size and the sampling method.
- *Fieldwork procedures*: Decide upon the staffing requirements and the organization of field units to apply the sampling design in the selected time frame.
- *Finalizing questionnaire*: Pilot, revise, and (if needed) translate questionnaire.

### Sampling Design

The sampling design depends on the purpose of the CRC and the population of interest. The CRC aims to gather feedback from population of interest. However, to collect feedback from the entire population is extremely costly and can take a lot of time.

Another option is to collect information from a sample of the population. Sampling, when carried out correctly, gathers feedback from a sample that is *representative* of the larger population.

There are several other types of sampling designs that can be used depending on the population and information to be collected. To select and apply the correct design for your CRC, previous knowledge of statistics and experience in developing a sampling plan is necessary. You must consult an expert on sampling techniques (please see *Appendix 13: Examples of Sampling Design*).

*Steps to draft a preliminary sampling design*

1. Define the population.
2. Select the unit of analysis.
4. Identify subgroups in the population (or the desired level of analysis).

5. Select the sample size.
5. Determine the sampling frame.
6. Select proper sampling method.

*Step 1: Define the population.*

The population is the group being studied. While defining the scope of the CRC, you identify the population for the CRC.

**Example**

For a CRC on maternity homes, women who have recently delivered a baby or who are pregnant are the *population*.

*Step 2: Select the unit of analysis.*

Depending on the purpose of the study, the units of analysis may be

- households
- individuals and
- organizations or groups.

For most CRC studies, households are the unit of analysis. Most public services (drinking water, electricity, sanitation, etc) are delivered at the household level. In the case of households, decide who within the household can provide feedback (i.e. usually any adult member of the family).

*Step 3: Identify subgroups in the population.*

The usefulness of CRC findings to some extent depends on getting the experience of important subgroups in the population (e.g. slum & non-slum). These subgroups were initially identified in the statement of purpose.

To create a sufficient sample size, the subgroups must be clearly identified and kept in mind during the sampling design.

**Example**

The three Bangalore CRCs were designed to find out the differences in service quality between slum and non-slum households. Feedback was collected separately from the two subgroups using specially prepared questionnaires and sampling designs.

In the 2003 Bangalore CRC, the subgroups were further divided. For example, slum households were divided into the type of slum (authorized, unauthorized, relocated, etc.). Within each subgroup, a chosen number of households were sampled.

*Step 4: Select the sample size.*

Deciding on the number of households to include in the survey depends on the level of statistical precision that you require for the findings. Any survey can give only approximate results; to calculate the best sample size for your CRC, choose the desired level of

confidence or degree of accuracy required for your results. Most surveys desire a confidence level of either 90 or 95%.

- There is no simple rule regarding sample size that can be used for all surveys.
  - Up to a certain point, increasing the sample size improves the quality of your findings.
  - Beyond a certain sample size, increasing the number of respondents will not improve the accuracy of the findings to a great extent.
  - Use of the Probability Proportionate to Size (PPS) method ensures that the sample is self-weighting. For example, if authorized slums account for 25% of the total slum population, authorized slum households should make up 25% of the sample size for slum households.
- Based on PAC's experience with Citizen Report Cards, a sample size of 300-350 households is ideal for each service<sup>19</sup>.
- Consult an experienced social scientist to calculate an ideal sample size for your survey.

*Step 5: Determine the sampling frame.*

The *sampling frame* is created to help identify all the members of the population, such that they have a chance of being sampled.

For most CRCs, the sample frame is a listing of the households in the geographical area that includes the population of interest.

Determine the sampling frame using one of the following methods

- Use the data from a recent census.
- Conduct a listing exercise (if the census data is not available). The geographic areas to be sampled can be identified and field investigators can study the areas to develop a list.
- If developing a list is too difficult, plan for random selection of households upon arrival in a location. This option requires additional training of the survey staff.

*Step 6: Select a proper sampling method – Probability sampling.*

For most Citizen Report Cards, the importance of selecting the appropriate sampling method cannot be minimized.

- Probability sampling ensures that each unit of analysis in the population has an equal chance of being selected.
- The advantage of probability sampling is that sampling error can be calculated. Sampling error is the degree to which a sample might differ from the population.
- The common probability sampling methods include random sampling, systematic sampling and stratified sampling (Please see Appendix 14: Probability Sampling Methods).

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<sup>19</sup> In the 2003 Bangalore Report Card, approximately, 600 general and 800 slum households were interviewed. In addition, around 600 households were surveyed in the outlying areas of the City, in order to compare service delivery between city and suburban areas.

## Staff

Regardless of who carries out the survey, there is a need to mobilize a field staff. Before beginning fieldwork, some initial fieldwork decisions can be made. Devote time to decide the number and organization of field staff.

### *Number of field staff*

The staff resources required for carrying out the survey links directly to

- sample size
- time taken to complete a single questionnaire and
- available time to complete all the fieldwork.

The team size is calculated by dividing the sample size by number of available days and the productivity per investigator (the average number of questionnaires that can be completed by one investigator in one day).

### **Example**

If a CRC has a sample size of 2000, a 20 day timeline for data collection, and questionnaire that allows each investigator to complete 5 interviews per day, then 20 investigators are required ( $2000/20/5= 20$ ).

For a strict time frame, more investigators can be hired to survey multiple areas within the locality at the same time.

### *Organization of field staff*

The key members of the field staff include a field coordinator, field supervisors and interviewers/investigators.

The field coordinator

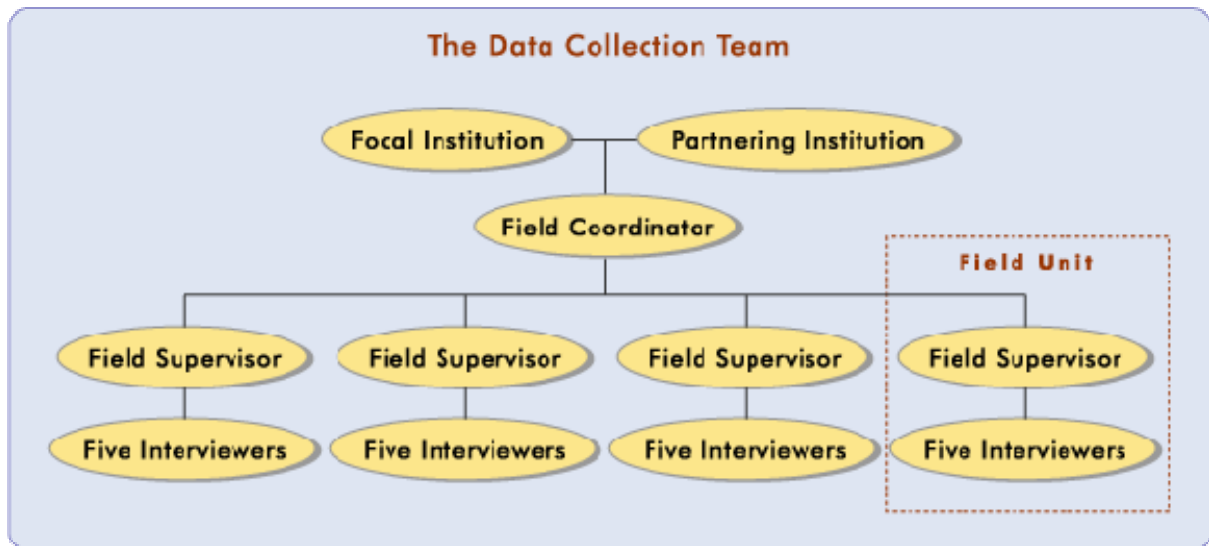
- manages all aspects of the survey
- has strong managerial skills
- understands the entire fieldwork process and
- regularly reports to the staff of the lead institution.

The supervisor

- leads a team of 4-5 investigators and accompanies them on their initial interviews
- performs necessary quality checks during the fieldwork process and
- keeps in regular contact with the field coordinator.

The investigators/ interviewers conduct the survey. An individual field unit or groups of field units can be distributed as necessary throughout the survey area, depending on the sampling design.

### *The Data Collection Team – An Example:*



### Finalizing the Questionnaire: Translation

Before finalizing the questionnaire, translate the survey instrument into the local language and conduct a pilot survey.

- Depending on the language(s) spoken by the CRC population, the original survey instrument may need to be translated into a secondary language.
- To ensure that the meaning of each question is accurately captured in the translation, the translated questionnaire should be retranslated into the primary language (by someone other than the initial translator).
- The retranslated questionnaire should be compared to the original questionnaire to ensure the quality of translation.

### Finalizing the Questionnaire: Pilot Survey

Pre-testing the questionnaire in the form of a 'pilot survey' is a very important quality check (please see *Appendix 15: Tips on Carrying out the Pilot*)

Piloting reveals problems related to

- the respondent's ability to understand the questions (the wording of questions and answers)
- flow and internal arrangement of questions
- the length of the questionnaire and
- weaknesses in the investigator instructions (e.g. missing skip commands, unclear grids/formatting).

The time spent on piloting and revising the questionnaire can significantly improve the quality of the survey instrument.

The pilot exercise should include 10 to 15 interviews within the area where the actual survey is to be carried out.

### *Pilot Team*

An ideal pilot team consists of 2 or 3 individuals.

- One person to conduct the questionnaire and
- the other two individuals to observe the interview and note down observations.

### *Pilot Exercise*

A simple “problem/ no problem” rating can be used to assess the quality of each question. Points to keep in mind include

- Can the respondent easily understand the question?
- Can the respondent answer the question with the response options provided? Or should more answer options be provided?
- Are there open-ended questions that should be changed to closed-ended questions (or vice versa)?
- Are more questions required to collect the desired information?
- Are there questions that can be deleted? Are there questions that are insensitive, unnecessary (fail to provide useful information for analysis)?

### *Post –Pilot Debrief*

- Following the pilot, feedback should be collected from the interviewers on the questionnaire.
- Each question should be reviewed to determine whether it should be **revised**, **relocated** or **removed**.
- More questions should be added if required. Include only those questions that will provide data that is important to the analysis and interpretation of findings.

## **Summary**

- Before finalizing the sampling design, decide on the level of analysis that is required to ensure that you get an adequate sample size.
- You must consult an expert on sampling design.
- Conduct a thorough pilot to make sure that the survey instrument is easy to manage and is able to collect the desired type of feedback.

## **SELF TEST 6**

There are two types of tests, namely 'Content Test' and 'Approach Test'. You will be able to assess yourself about the module you just learnt, by completing these tests.



## CONTENT QUESTIONS

1. Satish carried out sampling on a population that had subgroups, each of a different size. These subgroups required separate analysis. Which of the following methods do you think Satish used to obtain his data?
  - a.  A table of random generators
  - b.  A computer random number generator
  - c.  Probability proportionate to size (PPS)
  
2. An NGO carried out the fieldwork to gather data for a survey. It selected a person and assigned her the responsibility to carry out quality checks within a survey unit during the fieldwork. Which of the following people do you think best fulfilled the requirement?
  - a.  A field investigator
  - b.  A field supervisor
  
3. Where should the pilot exercise be carried out? ?
  - a.  in a locality that is close to the location of the institution carrying out the fieldwork.
  - b.  In a locality which is part of the sample area or a locality that is very similar to the are where the survey will be done.
  - c.  In a location that is close to the lead institution. .

## APPROACH QUESTIONS

### Scenario

After finalising the statement of purpose and designing a questionnaire, Namaskara, the NGO in Mehnat (introduced in module 3), begins to prepare for the field survey. In the following section you will read 3 passages that describe the pre-survey preparation conducted by Namaskara.

Please read each passage and answer the question that follows.

### Questions

1. Namaskara wants to find out whether the people of Mehnat are satisfied with the quality of water services. It is not planning to record if respondents are from slum or non-slum areas. Given the conditions in Mehnat, choose the option that you think best describes Namaskara's approach.
  - a.  Namaskara is planning to use stratified sampling and is therefore following an incorrect approach
  - b.  Namaskara is planning to use stratified sampling and is therefore following a correct approach
  - c.  Namaskara is not planning to use stratified sampling, and is therefore following an incorrect approach

2. Within each of Mehnat's 20 wards, houses are arranged in blocks. Each block has 14 lanes. In order to take a sample, it has been decided that the first three houses of each lane will be considered for the survey. Only odd numbered blocks will be considered. Which of the following options do you think best describes Namaskara's sampling strategy?

- a.  It is not random and is therefore a good approach
- b.  It is not random and is therefore a bad approach
- c.  It is random and is therefore a good approach

3. Namaskara carries out a pilot to ensure the quality of the questionnaire. The following observations are made during the pilot exercise:

- i. Respondents understood a question about the promptness of the service provider in different ways. The question asks, "Are you satisfied with the time taken to attend to you?" Some respondents thought this question was asking about the amount of time that a service provider devoted to them. Other respondents took the question to mean how long did the provider take to initially respond to them (promptness).
- ii. It was found that only 1 person out of 15 answered in the affirmative when asked whether they had ever witnessed an incident of bribery.
- iii. The filter question on the type of water source (i.e. household connection vs. hand pump) was missing.

How would you best proceed to improve the questionnaire?

- a.  Remove the first two questions and add a filter question on the type of water connection.
- b.  Rephrase the question on "time taken to attend" to make it more accurate. Delete the bribery question. Add a filter question on the type of water connection.
- c.  Rephrase the question on "time taken to attend" to make it more precise. Review and revise the question on bribery; is there a way to get the same information without using the word bribery? Add a filter question on the type of water connection.

For answers, please go to 'Answers to Self Tests' given at the end of the Print Version.

**Congratulations**, you have completed Module 6!

With the help of a professional social scientist, are you able to

- develop a sampling plan based on the purpose of your CRC
- determine the number and organization of field staff and
- carry out the pilot?

If you have doubts regarding these topics, please review Module 6. If you feel comfortable with the content of module 6, please proceed to Module 7 to carry out the survey.

## Module 7: Carrying out the Survey

### Objectives

The content of this module will assist you during the survey process. On successful completion of this module, you will be able to

- manage the survey process
- train investigators
- carry out the sampling design
- collect survey data and
- perform quality checks.

Thus, the module discusses the training of investigators, carrying out the sampling plan and performing quality checks during data collection.

### Overview

With a piloted questionnaire and a preliminary sample design in hand, conducting the actual survey requires managing and coordinating field processes.

The field coordinator plays an important role at this stage. He/she ensures that the key stages of the survey process are well carried out. The key stages include

- training of investigators
- implementation of sampling design and
- quality checks during interviews.

In addition, a professional survey process requires the lead institution to check the quality of the data being collected and to ensure that necessary operational changes are made to correct any weaknesses.



## Training of Investigators

During a 2 to 3 day training exercise, potential investigators are introduced to the details of the CRC survey and a subset is selected to participate in the actual fieldwork. The key stages of the training include

- introductory briefing
- mock interviews and
- training of selected investigators.

### *Introductory Briefing*

It is crucial that investigators understand the larger purpose of the survey and become familiar with every question in the survey instrument. The introductory briefing usually takes a day to a day and a half depending on the length of the questionnaire. The pool of potential investigators should be introduced to

- an overview of CRC methodology
- purpose of this specific CRC and the investigators' role in the project and
- the details of the survey instrument.

A conceptual understanding of the CRC methodology is important. Investigators should understand the purpose of the lead institution and the larger goal to help improve public service delivery.

In addition, the purpose of this CRC and the important role of the investigator should be explained. Discussing the purpose of this CRC will provide investigators with important background information to accurately carry out interviews.

Someone familiar with the questionnaire should lead the group through the detailed review of each question. He/she should ensure that the investigators are comfortable with the flow and content of questions. Time should be given to explain any doubts regarding the survey instrument.

### *Mock Interviews*

After the introductory briefing, each potential interviewer is asked to complete a mock interview. Mock interviews serve two purposes. They identify the good investigators and further familiarize the investigators with the details and flow of the questionnaire.

Depending on the investigator's performance during the mock interview, he/she is given a rating. (Please see *Appendix 16: Investigator Rating Form*) Some of the qualities to consider when rating investigators include

- familiarity with the area
- language capability
- ability to relate to target audience
- intelligence
- availability for the entire duration of fieldwork and
- integrity/honesty.

The top rated investigators are selected to take part in the CRC survey<sup>20</sup>. This portion of the training usually takes a day.

### *Additional Training of Selected Investigators*

A more detailed training occurs with the selected investigators. This portion of the training usually takes half a day to a day.

The selected investigators should understand the different actions that can bias data collection.

An overview of the sampling design should be shared with the investigators; the agreed process for household selection should be clearly communicated to supervisors and investigators.

Some points to be highlighted during this session include

- reminding the investigators that inaccurate data will be collected if
- the questionnaire is not accurately administered
- the respondent's answers are not correctly recorded and
- the sampling design is not being carried out
- discussing the process of building a relationship with respondents and mention that a complete investigation of respondents may be necessary to get feedback on a question
- explaining how the investigator can use his/her knowledge of the questionnaire to provide respondents with explanations or examples if they have difficulty understanding a question and
- stressing that proper carrying out of the sampling design is necessary to ensure that the collected sample is representative of the population.

After the formal training, the field units (1 supervisor and 4-6 investigators) should be formed and given time to discuss the daily fieldwork procedures.

## **Carrying out the Survey – Execute Sampling Design**

With a selected and trained field staff and a preliminary sampling design in hand, the surveying process can begin.

To carry out the sampling design

- the field units should be taken to the correct location
- the supervisor should know the number of households to interview in a location and
- the households to be interviewed should be either pre-selected using a sound sampling method or, if specified in the sampling design, systematic sampling with a random start should be carried out.

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<sup>20</sup> If the pool of investigators are of poor quality, and the required number of investigators do not pass a minimal threshold score, additional investigators may need to be trained and tested.

When a listing of households is available

- the households to be interviewed are usually pre-selected
- the field supervisor ensures that the investigators follow the sampling design and
- a standard procedure is followed when a questionnaire cannot be administered to a household (i.e. the investigator is told to continue to the very next house as a replacement, and then to continue with the original sampling pattern).

When a listing exercise is not possible

- the first activity on arrival in a location is to study the area and decide on a plan to select households.

For example, if it is decided that there are 250 houses in the sampling area and 10 houses are to be sampled, as per probability proportionate to size (PPS), then systematic sampling can be carried out to interview every 25th house from a random starting point (e.g. the post office or polling booth or elementary school).

### *Rotation and Boosters*

#### Rotation of Services

When several services are covered in a CRC (making the interview too long), devise a method to rotate the services such that households do not respond to every service.

- It is best to only rotate those services that are commonly used (for example, drinking water).
- Rotation of less frequently used services (for example, police) may lead to inadequate sample sizes for these services.

#### Booster Surveys

The field coordinator should regularly check on the number of respondents for each service and other pre-specified subgroups of interest (different categories of people, geographical representation) to ensure that the target sample size is being reached. When a service lacks the minimum number of respondents, booster surveys are required.

- Booster surveys involve the intentional (non-random) sampling of households to reach a minimum sample size.
- Depending on the service, decide on an appropriate method to identify respondents for the booster surveys.
- Going to the offices of service providers and approaching customers is one way to complete booster interviews.
- Sometimes a respondent will not feel comfortable providing feedback on a service at/near the office of the service provider. In that case, ask the respondent if it is possible to interview him/her at home.

### **Quality Checks**

During the interviews, each team supervisor and the field coordinator should perform quality checks to ensure reliable and accurate data collection. Ideally, the data entry operator should enter collected data at the same time as an additional chance to check for quality.

There are four major types of quality checks

- Accompanied interviews
- Spot checks
- Back checks
- Final scrutiny of schedules

#### *Accompanied Interviews*

To ensure that the survey process is unbiased and carried out properly, the supervisor should accompany each investigator and observe several interviews in progress.

A good rule of thumb is to have at least 10% of the interviews observed through *accompaniment*.

#### *Spot Checks*

Surprise visits during an interview that is in progress, or spot checks, by the field coordinator also serve as a good quality control measure.

#### *Back Checks*

- The field coordinator should randomly select 30% of the completed questionnaires and perform *back checks*.
- Back checks involve selecting a few key questions and confirming the respondent's response for these questions.
- The purpose is to ensure that the information marked in the schedule reflects the true opinion of the respondent. This can be done through a house visit or phone call.
- Usually 25%-30% of the interviews are back checked.

#### *Final Scrutiny of Schedules*

Field supervisors should check questionnaires before leaving an area, and at the end of each day by a pre-selected scrutiny team.

#### *Scrutiny in the field*

- Once an interview has been completed further scrutiny is required to ensure that the information marked in the questionnaires is correct.
- The field supervisor should carefully check through every completed questionnaire to ensure that the questionnaires are filled in accurately. This should occur daily before leaving a field area.
- If gaps are found or answers appear inconsistent, the supervisor should request the investigator to go back to the household and correct the mistake.

#### *End-of-day Scrutiny*

After the questionnaires have been checked for quality in the field, a trained team should complete *100% scrutiny* of the questionnaires.

The same group of individuals should complete this second level of scrutiny for every questionnaire to ensure uniformity and accuracy of the process.

They should pay particular attention to make sure that

- all required questions are answered
- "skips" and other investigator instructions are followed and
- responses make sense and are not internally inconsistent with each other.

### *Simultaneous Data Entry*

Simultaneous data entry during the survey period creates a final opportunity to notice unreasonable answers or missed questions in time to correct an error.

Questionnaires collected one day can be entered the next day.

- If mistakes are found during data entry, ask for an explanation from the investigator.
- If required, send the investigator back to the household to correct the error.

### **Summary**

- Keep in mind the danger of an eager volunteer serving as an interviewer. During the interview he/she may bias the answers.
- Make sure the interviewers understand the Citizen Report Card objectives and clearly communicate them to respondents. This will help to avoid misrepresentation of the result of the project.
- When conducting a Citizen Report Card that includes numerous services, rotate questionnaires for commonly used services (i.e. drinking water) to shorten the total interview length. For less frequently used services (i.e. police), interview all respondents who have used the service.

### **SELF TEST 7**

There are two types of tests, namely 'Content Test' and 'Approach Test'. You will be able to assess yourself about the module you just learnt, by completing these tests.

### **CONTENT QUESTIONS**

1. How should you make the investigator become comfortable with the flow and content of survey questions?
  - a.  Conduct mock interviews. And, ask each investigator to do a detailed review of each question to avoid misinterpretation.
  - b.  Ask each investigator to administer the survey to one household and in the process become familiar with the questions.
  - c.  As long as the questions are read exactly as written, the investigator need not have much knowledge about the questionnaire.



2. If the questionnaire cannot be administered to a particular household, then what do you do?
- It is left to the judgement of the investigator to decide who should be interviewed next.
  - The investigator has to be informed about the standard procedure to be followed.
3. It is a good practice to do the following:
- Data entry should be entered only after the fieldwork has been completely finished.
  - Enter the data from the questionnaires collected one day, on the following day.
  - Monitor 1% of the interviews through accompaniments.
4. Based on the interview rating form detailed below, who do you think will be selected?

S. No.	Name of Investigator	Grasping Power (0-3 Rating)	Communication skills (0-3 Rating)	Attentiveness (0-3 Rating)	Personality (0-3 Rating)	Mock call (0-3 Rating)	Total Score (0-15)
1	A	0	1	1	1	1	4
2	B	1	0	1	2	1	5
3	C	2	2	2	1	2	9

- Investigator B will be given special training and reconsidered to be a part of the investigator team
- Only Investigator C will be selected
- Both Investigator B and C will be selected

5. Two of the questions in the questionnaire related to sanitation:

Question 1

"Is there garbage clearance facility in your locality?"

1- yes [go to next question]

2- no [skip to question 6]

Question 2

How often do they clear the garbage in your locality? \_\_\_\_\_

During the end-of-day scrutiny, the field supervisor realizes that the answers in one

schedule appear contradictory. In spite of the answer to the first question being 'yes' there was no answer written in question 2. How should the field supervisor solve this problem?

- a.  Assume the answer for question 2 is "never" and goes ahead with the data entry
- b.  Changes the answer in question 1 to "no"
- c.  Request the investigator to return to the household and confirm the answers to questions 1 and 2

## APPROACH QUESTIONS

### Scenario

After the success of the pilot CRC on public hospitals in Mehnat, Som, head of the Budget Department in MMG decides to carry out a CRC on the services that the municipal government provides: health, sanitation, water and roads. She decides it would be best to appoint a professional survey agency to carry out the survey.

As a general practice, the survey agency conducts a training program for the investigators prior to the actual survey. Based on what was taught during the training, the investigators carry out the sampling design.

- In one of the questions in the questionnaire, the investigator is asked to select the type of dwelling that the respondent lives in based on 4 pre-coded answer options. Some of the houses in the locality are barrack-style huts and the investigators are unable to decide which answer option includes this type of dwelling.
- During the investigation, many respondents were very eager to know if the problems they faced like clogging of open drains, etc. would be solved. The investigators answered their questions by guaranteeing that the government would give money to desilt drains and address their other problems.
- Some respondents could not understand the actual meaning of certain questions in the questionnaire. The investigators solved this problem by spending time to provide examples and explanations for those questions.

To shorten the interview time, the investigators rotated services, such that each respondent provided feedback on two services. It was observed that very few of the respondents availed medical services provided by the government hospital.

At the time of data entry it was noted that questions were left blank. This suggested that the final scrutiny of the questionnaires did not occur.

### Questions

1. Based on how the investigators conducted the survey, what was probably overlooked during the training of investigators?
  - a.  The investigators were not given clear instructions as how to identify the various types of dwelling units.

- b.  The process for household selection was not clearly communicated to the investigators.
- c.  The investigators were not taught the right way to handle situations when the respondent has problems understanding a question.
2. Was the applied method of rotating services the most appropriate?
- a.  No. Rotation of services should not be adopted to collect information about the government hospital facilities or other infrequently used services
- b.  Yes. Irrespective of the small number of users of public hospitals, rotation was the correct method to collect data.
- c.  Yes. Simply supplement the collected data with booster surveys.
3. Do you agree with the way that investigators promised that the government would allocate money to desilt drains and to address other problems?
- a.  Yes. In order to create a good rapport with the respondent, investigators have to answer in this manner.
- b.  No. Investigators should not make promises but re-explain the purpose of the survey.
- c.  No. Investigators should instead share their personal opinions about service provision.

For answers, please go to '[Answers to Self Tests](#)' given at the end of the Print Version.

**Congratulations**, you have completed Module 7!

Are you able to

- oversee the survey process
- ensure adequate training of investigators
- make certain that the sampling design is well-executed and
- ensure that quality checks are carried out?

**If you have doubts regarding these topics, please review Module 7.** If you feel comfortable with the content of Module 7, please proceed to Module 8 to begin data entry, analysis and interpretation.

## Module 8: Data Entry, Analysis and Write Up

### Objectives

The content in this module discusses how to manage and analyze the collected survey responses.

On successful completion of this module, you will be able to

- oversee data entry
- generate the basic data tables
- interpret the findings and
- write the main CRC report.

### Overview

Starting the data entry process soon after the survey begins, creates an opportunity to identify irregularities and to correct them while the fieldwork is in progress. The data entry, analysis and interpretation process collects and translates the survey responses into the official CRC findings.

The Statement of Purpose is a useful guide during this process. It provides a focus for data analysis and outlines both the level and type of analysis that is required.

It is during this stage that the CRC process produces an actual "report card": the CRC main report.

### Data Entry

The questionnaire responses have to be entered into a database. If a professional survey agency has been hired, then it is likely to complete this activity.

- The pre-coded questions can be directly entered.
- For open-ended questions, similar answers should be grouped into categories and manually coded.

Data can be entered and analyzed using one of a variety of data management software that is available. A basic spreadsheet program like Microsoft Excel can generate cross tabulations and basic linear regression models. The results from commonly available programs often provide enough statistical understanding for the CRC findings.

Computer programs dealing specifically with statistical analysis are also available. Although these packages are more expensive, they are often easier to use when managing large sets of data<sup>21</sup>. A few examples

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<sup>21</sup> The drawback of using computer programs dealing specifically with statistical analysis is that most of these packages are very costly. Before investing in one, compare the capability of the software package with the level of analysis that is required.

- Statistical Package for the Social Sciences (SPSS)
- Statistical Analysis System (SAS)

### *Accuracy Check*

The data that has been entered into the central database should be checked for accuracy. This step is very important, anyway, whether data entry takes place in-house or if it is outsourced.

- Randomly select a set of questionnaires and crosscheck the written responses with those entered in the database.
- Run frequencies and means on specific questions to confirm the accuracy of entered data.

Once the data is entered and crosschecked, it is ready for analysis. Depending on the sample size and length of the questionnaire, the data entry stage can take two to four weeks.

### **Generating the Findings**

With the creation of a database of citizen responses, it is time to generate the findings.

To generate the findings

- analyze the collected data
  - Produce the basic analysis tables.
  - Create relevant cross tabs to make further conclusions.
  - Perform any additional levels of analysis.
- interpret the findings.

### *Categories of CRC Findings*

There are several categories of findings that are common across Citizen Report Cards.

They include

- **Estimates on aspects of service delivery**
  - The average number of hours that water is supplied.
  - The average number of times that a service provider is contacted to fix a problem.
- **Comparisons across services**
  - Comparing the overall level of satisfaction across service providers (water, electricity, health, sanitation) in a city.
  - Comparing the incidence of corruption across service providers in a locality.

- **Comparisons across localities**
  - Evaluating the percentage of residents who have door-to-door garbage clearance in the East zone of a city in comparison to the West zone.
  - Comparing the incidence of flooding between two types of slums (i.e. authorized and unauthorized) in a city.
- **Comparisons over time**
  - Tracking the change in satisfaction with the quality of drinking water in a town over a five-year period using data from two CRCs — one at the beginning of the five-year period and one at the end.

### *Tips for Analysis of Data*

- *Have one person complete the basic analysis.* It is best if one person is given the job of analyzing data to keep continuity and accuracy of the process. In case there is doubt regarding the type of tables to generate, it is useful to review the original objectives of the Citizen Report Card.
- *Use booster data correctly.* If booster data was collected for a service, only a subset of the initial survey questions is applicable. Making conclusions about usage or the incidence of problems will produce incorrect findings. Since the collection of booster data was not part of the random sampling, this data should not be used to make conclusions on proportions in the population.
- *Have an adequate "N" (sample size).* Make sure that you have a sufficient number of responses for each question. Don't waste time carrying out an analysis strategy unless there is a sufficient number of responses.
- *Check to see if weighting is required.* Before generating the basic data tables, it is useful to run basic demographic tables.
  - If the generated tables are in line with the population or sub-population(s) of interest, then proceed with further analysis.
  - If the demographic data of the sample varies from the demographics of the population, then some weighting will be required.

### **Basic Analysis Tables**

The basic analysis tables consist of collected responses for each question for the population or for subgroups of interest (e.g. by zone, gender, slum-type etc.).

### **Methods to analyze data**

Simple techniques are used to analyze data.

- Averages (e.g. average amount paid as a bribe)
- Data ranges (e.g. income)
- Frequencies (e.g. percentage of users who are satisfied with a service)

Data can also be analyzed using more technical analytical tools. The techniques that are used should match the objectives of the Citizen Report Card<sup>22</sup>.

*An Example*

Tabular Analysis from 3rd Bangalore CRC (general or non-slum households)

Processed data is presented in a tabular format for each question as shown in the sample table.

Question: How is the quality of water?	West		South		East		Total	
	N	%	N	%	N	%	N	%
<b>Clear</b>	41	97.6	90	95.7	86	100	217	97.7
<b>Muddy/ dirty</b>	1	2.4	4	4.3	0	0	5	2.3
<b>Total</b>	42	100	94	100	86	100	222	100

Note: "N" stands for the number of respondents.

The table lists data from the entire sample, as well as for sub-samples by Bangalore's municipal zones (West, South and East). The data processing matches with the objectives of the Third Bangalore Citizen Report Card; the findings were to be presented at the citywide level as well as at the zonal level, since many municipal services are not controlled centrally, but by the zonal management.

*Cross Tabulations*

After producing the initial tables, it is useful to spend time making cross tabulations for areas of special interest.

Cross tabs examine the relationship between two or more variables in order to better understand a phenomenon. Cross tabulations are easy to do using any basic database package, and create a powerful tool for further analysis of citizen feedback.

*Example*

For a CRC on public health services, generating a cross tabulation on the overall satisfaction and the type of health facility visited provides information about the differences in user satisfaction across the different types of health facilities.

<sup>22</sup> The three Bangalore Citizen Report Cards have largely relied on averages, weighted averages, frequencies and projected figures. Recently, econometric models have been used to measure relationships between satisfaction and factors that influence the same.

*Example*

<b>Typical Cross tab output</b>			
	<b>Had a problem-- piped water</b>	<b>No problem-- piped water</b>	<b>Total</b>
<b>Satisfied with overall quality of service</b>	<b>16.7% (41)</b>	<b>92.7% (306)</b>	<b>60.3% (347)</b>
<b>Dissatisfied with overall quality of service</b>	<b>83.3% (204)</b>	<b>7.3% (24)</b>	<b>39.7% (228)</b>
<b>Total</b>	<b>100% (245)</b>	<b>100% (330)</b>	<b>100% (575)</b>

The numbers in parenthesis is the number of respondents.

*Interpretation*

Interpretation requires the ability to translate aggregated data into interesting and relevant measures of service delivery. Interpretation is the process of translating the findings into diagnostic statements. The interpretation stage is important because it is then that the Citizen Report Card becomes tangible.

Interpreting the data tables can be undertaken by any number of people who have a good understanding of the purpose of the CRC.

- Adding many points of view at this stage can greatly improve the overall effect of the findings.

Consider both the audience and purpose of the CRC to help direct the interpretation process.

- In some instances, recommendations, or suggestions for improvement, are made based on the interpretation of findings.

**Example**

In the Third Bangalore Report Card, among the non-slum (general) households who visited the water supply board, 71% were completely satisfied with the behavior of staff.

This is an objective statement of findings based on a direct question in the survey. At the interpretation stage, this percentage is further examined. Is 71% high, medium or low? A conclusion is made: A high percentage of non-slum respondents who interacted with the water supply board staff were completely satisfied with the behavior of staff (71%).



## The “Citizen Report Card”

As part of the interpretation process, a report or extensive summary of the findings should be written. The major output from the interpretation stage is the main CRC report. The process of interpreting data and writing the main report is critical to collect important findings from the aggregated data.

- During this stage, a decision is made regarding which findings should be highlighted and emphasized.
- As will be discussed in module 9, relevant information can be extracted from the main report and organized into different formats for the various target audiences (i.e. service providers, civil society organizations and residents welfare groups).

Ensure that the main report includes both the positive and negative findings (especially if your local partner is a government body, there may be a desire to suppress negative findings). Urge the local lead institution to present a holistic picture of the findings in the main report and in the subsequent dissemination efforts.

## Sections of the CRC Main Report

An effective CRC report is well organized, clearly written, and concise. The Citizen Report Card main report should include

- Executive Summary
- Survey Objectives
- Methodology and
- Major Findings.

The main survey report will range from 15-25 pages in length, depending on the number of services and figures (Please see *Appendix 17: Sample Main Report: Participatory Service Delivery Assessment on Drinking Water and Primary Education in Zanzibar*).

### *The Executive Summary*

The executive summary is the start of the report.

- It presents a brief version of the purpose, methodology, and major findings of the CRC.
- It should contain a list of recommended actions suggested by the findings.
- It is usually one or two pages in length.

This section should be able to stand alone and serve as a summary document for media, citizens and other interested parties.

### *Survey Objectives*

This section conveys the reason for doing the survey and how the findings are expected to inform follow-up planning, decisions, or actions by various actors. The statement of purpose for the CRC provides a good starting point for this section.

### Methodology

This section explains the following questions

- How was information gathered?
- When was the information collected?
- What was the response rate?
- What is the confidence level of the findings?
- What is the margin of error?

The objective of this section is to present a complete, accurate, and honest description of research methods employed.

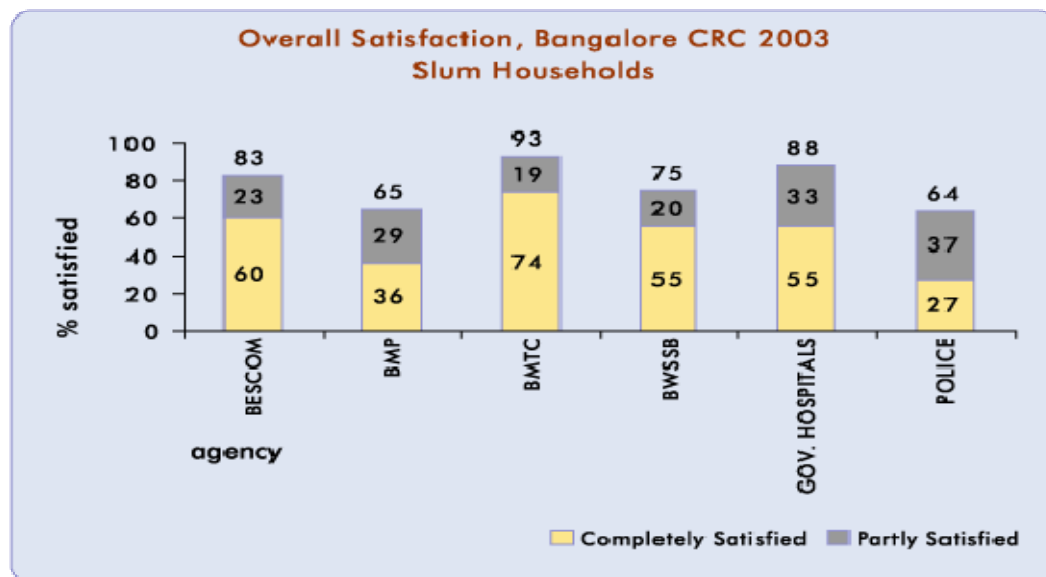
### Major Findings

This section summarizes the results and presents them in order of importance and interest to the audience<sup>23</sup>.

- Tables should be used to summarize the key findings.
- The most interesting results should be highlighted with appropriate graphics.
- The findings should include areas of good and poor performance<sup>24</sup>.

### Examples of Major Findings

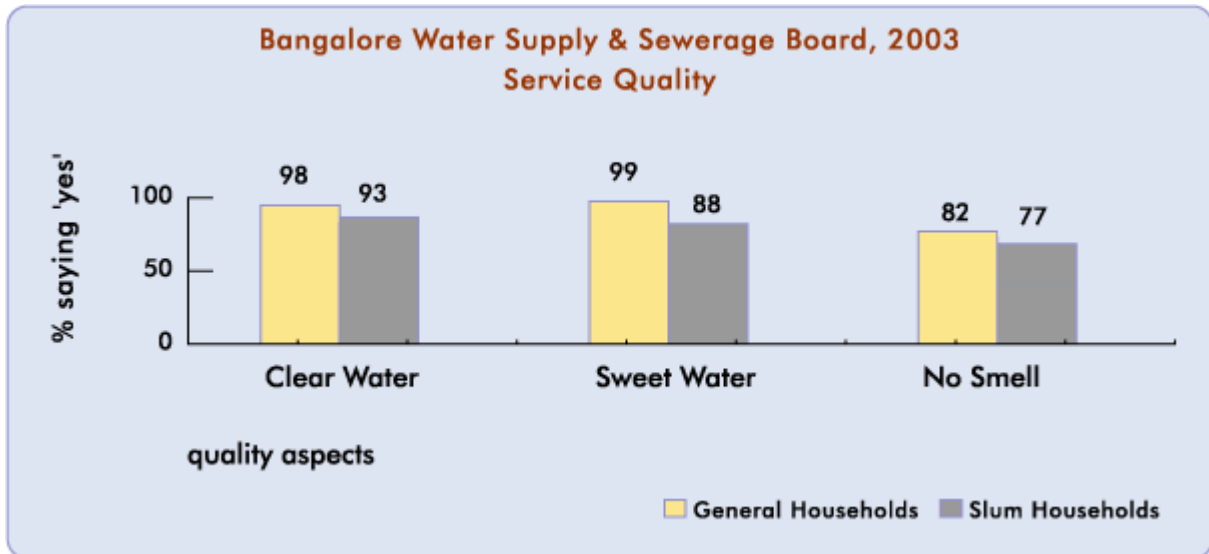
#### Example 1



<sup>23</sup> In the 2003 Bangalore Citizen Report Card Study, the findings included information on access, usage, service quality, staff behavior, problem incidence, corruption, citizen's awareness, overall satisfaction, and a look at changes in service delivery over time (by comparing the findings across three Citizen Report Cards).

<sup>24</sup> Include both the good and poor aspects of service delivery. Let the findings speak for themselves. Resist the temptation to give a positive slant due to internal political pressure!

## Example 2



### *Implications of the Findings*

This section answers the question “so what?” and discusses the conclusions that can be drawn from the findings.

- The conclusions that are made should be based on the facts obtained, moderated by an understanding of the limits of survey research.
- This section can suggest how changes in processes or how the introduction of training or new procedures could improve service delivery.

Limit the desire to give recommendations *beyond what the findings suggest*. Remember that service providers have considerable expertise and knowledge about services; they may be better suited to make extrapolations based on the findings.

### **Summary**

- Be careful in your analysis of booster data; otherwise your findings will be biased.
- Don't waste time carrying out an analysis plan unless you have ensured that there is a sufficient number of responses for the questions of interest.
- The main report serves as a important complete document of the CRC findings.

## SELF TEST 8

There are two types of tests, namely 'Content Test' and 'Approach Test'. You will be able to assess yourself about the module you just learnt, by completing these tests.

### CONTENT QUESTIONS

1. An NGO needs to analyse the data that it has gathered through a CRC survey. Which of the following programs would be best?
  - a.  The SAS (Statistical Analysis System) tool must be used.
  - b.  The SPSS (Software Package for the Social Sciences) must be used.
  - c.  The complexity of the desired analysis must be measured and a matching tool must be used.
  
2. An NGO carried out a CRC on drinking water services in a city. It wants to disseminate the CRC findings to the public. At what stage do you think it will be most appropriate to do so?
  - a.  Immediately after the data entry has occurred.
  - b.  After the data entry has been verified, the findings can be disseminated.
  - c.  The data should be analysed and interpreted; then the findings should be shared with the public.
  
3. An NGO is carrying out a CRC. A staff member is writing the main report. She has written about the purpose of the CRC. Which section of the report should this information be placed in?
  - a.  The Objective Section
  - b.  The Methodology section
  - c.  The Major Findings Section

4. A CRC was carried out in Bhubhaneshwar, Orissa in the 2004. The following table contains the cross-tabulated data for two questions regarding drinking water service. The data is from slum households and the value in parenthesis is the number of respondents.

**Question 1.** On the whole, are you satisfied/dissatisfied with Municipal drinking water services?

**Question 2.** Did you have any problem with piped water?

Which of the following conclusions can be drawn from the cross-tabulation?

	Had a problem with piped Water	No problem with piped Water
Satisfied with overall quality of service	16.7% (41)	92.7% (306)
Dissatisfied with overall quality of service	83.3% (204)	7.3% (24)
Total	100% (245)	100% (330)

- a.  The majority of slum residents who were satisfied with the overall quality of drinking water services had a problem with their piped water connection.
- b.  The majority of slum residents who were dissatisfied with the overall quality of drinking water services had a problem with their piped water connection.
- c.  There seems to be no correlation between the overall satisfaction with drinking water services and whether a household had a problem with its piped water connection.

## APPROACH QUESTIONS

### Scenario

Som, head of the Budget Department at the MMG, assigns two of her senior analysts to quality check and analyse the data collected and entered by the professional survey agency.

Listed below are the data tables that were created using the feedback on public hospitals. As Table 1 illustrates, it was observed that very few respondents used medical services provided by the government hospital. In order to collect a sufficient number of responses on the details of government hospitals, 150 booster surveys were carried out (see Table 2 for collected data including boosters).

Please review the tables and answer the questions that follow.

### Questions

1. The following two tables contain data that was collected from the non-slum areas:

**Table 1:**

<b>Table 1:</b> Have you or anyone in your family used government hospital services in the past one year?		
	Total (n)	Percentage
Yes	20	6.7%
No	280	93.3%
Total	300	100%

**Table 2:**

<b>Table 2:</b> Have you or anyone in your family used government hospital services in the past one year?		
	Total (n)	Percentage
Yes	170	37.8%
No	280	62.2%
Total	450	100%

What is the percentage of city households that used government hospital services in the past one year?

- a.  23%

- b.  7%
- c.  38%

2. The following tables list feedback on satisfaction with staff behavior at government hospitals for slum and non-slum residents.

Table 3 (slum):

<b>Table 3 (slum):</b> Were you satisfied with the behavior of doctors?		
	Total (n)	Percentage
Yes	250	62.5%
No	150	37.5%
Total	400	100%

Table 4 (non-slum):

<b>Table 4 (non-slum):</b> Were you satisfied with the behavior of doctors?		
	Total (n)	Percentage
Yes	200	44.4%
No	250	55.6%
Total	450	100%

Across the city (including both slum and non-slum residents), what is level of the satisfaction with the behavior of doctors at public hospitals? [Remember! Residents living in slums account for 25% of Mehnat's population.]

- a.  49%
- b.  53%
- c.  63%

For answers, please go to '**Answers to Self Tests**' given at the end of the Print Version.

**Congratulations**, you have completed Module 8!

Are you able to

- oversee data entry and generation of the basic data tables
- interpret the findings and
- write the main CRC report?

**If you have doubts regarding these topics, please review Module 8.** If you feel comfortable with the content of Module 8, please proceed to Module 9 to plan the dissemination of the CRC.

## Module 9: Dissemination of Findings

### Objectives

This module outlines the key considerations to disseminate the CRC findings. On successful completion of this module you will be able to:

- Plan and carry out a dissemination strategy

### Overview

The dissemination of the findings of the pilot Citizen Report Card is extremely critical to derive the maximum benefits from the effort. The usefulness of the Citizen Report Card will be quite limited if findings are not shared and used to bring about improvements in public service delivery. The scope of dissemination relates directly to the objectives of the CRC. The target audience should be informed of the findings within a time frame meaningful for follow up action. The design of an effective and focused strategy depends on a series of important steps:

### Planning a Dissemination Strategy

Setting aside a few hours to develop a dissemination strategy will help to ensure that findings reach the intended audience.

Four basic tasks are pursued:

- Identifying the target audience/stakeholders;
- Deciding the channels/network and specific activities to reach the audience;
- Focusing on project management considerations;
- Understanding the role of strategic communication.

Please see *Appendix 18: Dissemination Plan* to help guide the process.

### Identifying a Target Audience

The key question to consider here is: “with who should we share the findings to satisfy the objectives of this CRC study?”

The following could be the key audience:

- Public service providers
- Civil Society Organizations (regional, national & international)
- Media- print, radio & TV (regional & national)
- General Population
- Government (at higher levels and regional levels)
- Donors / Supporters

*Public Service Providers/Concerned Ministries:* Findings are shared with each service provider covered in the CRC. Experience suggests that a face-to-face meeting with service

providers creates an opportunity to get direct feedback on the findings and generates buy-in to the overall process (useful for follow-up activities). The sector specific reports are relevant here. The emphasis in these meetings is not one of fault finding or finger pointing but underlining key diagnostic pointers, which will help the agency/department/ministry to come out with specific reform measures.

*Civil Society Organizations (CSOs):* Findings are shared with CSOs, particularly those working in areas related to public service delivery, to create an informed network of local organizations. These organizations are good partners to work with during advocacy and follow-up activities.

*Media:* During and after the main release of the CRC, the media is targeted to further disseminate the findings. Over the long term, the media is seen as means to increase general coverage and understanding of public service provision. Usually an attempt is made to push for more regular coverage of service delivery to create additional pressure on providers. One effective strategy from experience is to get a leading newspaper to cover the findings with a detailed write-up on one sector at a time; if this is carried out on a weekly basis, the CRC will be in the media light for 4-5 weeks at a stretch.

*General Population:* The public should be aware of the findings; an informed general public generates demand for reforms. PAC has been using the concept of “Open Houses” as effective conduits to reach out to the public. Open Houses are public events, usually organized in town halls, where agency heads are invited to respond to the report card findings and answer questions from the public. The distinctive contribution of these open forums was to engage the service providers in active public dialogues as opposed to the closed personal meetings with officials that were customary in all agencies. In Bangalore, for instance, some of the service providers began to take a cue from this and organized their own forums where the civil society groups were invited to dialogue on the problems being faced by them. The electricity board, the Water and sanitation board and even the police have worked with such forums. The interactions between organized civic groups and the service providers have grown significantly in the past decade.

*Government:* State level governing bodies, commissions or other higher-level bodies can be important allies in improving public services. These government entities have direct or indirect influence over financing and decision-making related to service delivery at the local level. At the same time, sharing the relevant findings with regional or local level authorities may be extremely useful for making on-the-ground improvements in service provision. In many city report card studies, separate presentations are made to zonal officials to highlight particular problems of the zones.

*Others:* Much of the financial resources to support an effort like the CRC are privately donated. The individuals and organizations that support the CRC effort—both financially and intellectually—are usually very interested in a formal presentation of the findings.



## Methods of Dissemination

After identifying the target audiences, the next question to address is, "What is the best method to share the findings?" The decision of how to disseminate the findings depends on the purpose and scope of the Citizen Report Card.

The answer usually includes:

- Pre-launch presentations,
- Media conference,
- Press Note
- Post-launch presentations,
- Creative opportunities

*Pre-launch Presentations:* Hold a meeting with the leadership of the sectors selected for the study to discuss the findings before the public release. This will give providers an opportunity to discuss the findings. Experience suggests that sharing the findings through individualized presentations customized to each service provider generates useful feedback (Please see *Appendix 19: Example of Pre-launch Presentation*). Following the presentation, service providers can clarify parts of the findings and provide explanations to interpret results more accurately. In addition, the leadership may independently decide to disseminate CRC findings within the organization and use the information for internal decision-making.

Providing a customized written document of the findings often help to facilitate an internal dissemination and use of CRC findings (Please see *Appendix 20: Example of Written Report*).

*Media Conference:* The media is very important to the wide-scale dissemination of findings. The first step towards working with the media is to hold a formal press conference to release the CRC findings. Regional and local newspapers, along with the major newspapers, TV and radio stations, are invited to help increase the reach of dissemination. As a practice, PAC does not encourage giving any particular paper an exclusive "scoop" – all are intimated at the same time. Formal presentations are kept short; the methodology is explained briefly, a major emphasis is on highlighting the key findings, and discussing relevant policy pointers

*Press Note:* The press note is usually a brief document, ideally not more than 1-3 pages and highlights the following points:

- Who was surveyed, when they were surveyed, the method of contact, and the size of the sample
- The services and aspects of service delivery that were covered
- The key findings
- Problem areas of particular importance
- Suggestions for improvements
- Basic information about the organization that carried out CRC

(Please see *Appendix 21: Example of a Press Note*)

(Please see *Appendix 22: Example of Press Tables*)

*Post-launch Presentations:* Following the major release of findings, presentations are often made to interested groups like the planning commissions, oversight bodies, regulatory agencies etc.

*Creative Opportunities:* Creative techniques can enhance traditional dissemination methods. Theatre, artwork, songs, puppet shows, film and other creative methods can often capture the attention of a broad cross-section of the population. A group in Bangladesh used street-theatre to communicate major findings from a report study to the public!

### Project Management Considerations

At this stage in the CRC methodology, a team with public relations skills is very useful.

- Presentations to service providers, press and other stakeholders are best made by senior staff who have been involved in the CRC design and have a good understanding of the methodology.
- Presenters should have strong communication skills and be able to connect the findings to the interests of the audience.
- Often a two-person team is necessary to ensure that the presenters have the required experience and knowledge.

Before dissemination, staff with good data interpretation, presentation design and written skills must be available to put together the presentations and associated written documents. Depending on the number of public services covered in the CRC, this step could take the time of 1-2 staff members for at least 1-2 weeks.

### Communication interventions at each stage of the CRC:

Stage of CRC	Communication Activity	Objectives	Target audience / stakeholders
Planning a CRC	Workshops	Sensitizing stakeholders who are part of the CRC implementing team to create a shared understanding of the CRC concepts and applications	Peer CSOs (who are part of the implementing team), survey groups & Expert Panels
Pre-launch phase	Workshops	Sharing and vetting the findings with the peer CSOs & Expert Panels	Peer CSOs (who are part of the implementing team), & Expert Panels
Dissemination	Press conferences, press releases	Disseminate the findings from the CRC	General Public
Post-launch presentations	Targeted presentations	Explore policy advocacy and wider implications of the	CSO networks, professional bodies etc.

		findings with specialized groups	
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### How communication can multiply the effect of CRC findings:

CRC Stage	Impact of Sharing of Information
Planning	Created a shared understanding of the rationale, objectives and potency of CRCs. Underscored the transparency of the entire effort. Assisted stakeholders to understand and unbundled the tasks involved.
Pre-launch phase	Ensured quality checks and endorsed the veracity of findings. Enabled stakeholders to plan in advance media strategies.
Dissemination	Raised awareness on critical issues in public services. Credible and objective findings created a shift in public information from the anecdotal to the evidential. Issues like corruption that hitherto existed in the realm of the abstract became an objective benchmark.
Post launch	Customized information packages enabled focused advocacy efforts with critical and influential groups.

### Some Tips for effective dissemination & follow up!

Throughout the dissemination process, attention should be given to present the findings in an unbiased manner. Based on past experience with Citizen Report Cards, listed below are a few pointers:

- *Presenting information in a holistic manner.* It is important to highlight the good and bad areas of performance. A complete picture--both the successes and failures--must be shared! Effective communication in a CRC is both a "pat" and a "slap"!
- *Allowing for shades of gray.* Descriptions, such as waiting time and proportion of users who are completely satisfied, make it possible to present feedback in different shades of gray—instead of a simple good/bad or yes/no. Remember that the Citizen Report Card captures the subjective experience of users in an objective manner.
- *Conveying findings in a value-neutral manner.* Let the findings speak for themselves instead of using descriptive adjectives or value-laden or biased language.
- *Selectively comparing across services.* Although there are major differences between services, a comparison across providers on comparable criteria puts pressure on poor performers. This comparison creates peer pressure and develops into a substitute for the market.
- *Using a question-answer format to present findings.* Past experience has shown that using a question-answer format during presentations is an easy way for the audience to digest information. For example, during a presentation, instead of listing statistics about various aspects of drinking water services, ask the question: "In

what areas do drinking water services need to improve?” A set of bulleted comments for service aspects where citizens gave poor ratings could follow. In addition, if the questionnaire included any direct questions about areas for improvement, these findings could be included.

### **Examples of how the Media has Reacted**

The print media in Bangalore played an unusual role by adding their weight to the pressure for better services. In 1994, all that the newspapers had done was to publicise the negative findings of the report card or other similar critical assessments. Investigative reports on civic issues were few and far between. But the scene changed since then as some of the newspapers decided to devote more space to public service problems and related civic issues. Some of the newspapers sought PAC's advice and technical inputs for their new initiatives. One newspaper began a series of reports on the different wards of the city, highlighting their problems and focusing on their elected corporators. Another leading newspaper began a series of investigative reports on corruption in maternity homes in Bangalore, taking a lead from a report card finding.

This was followed by another innovative campaign that newspapers seldom undertake. A leading newspaper organised interactive meetings in different parts of the city where citizens were invited to voice their specific area related problems in the presence of senior officials from a selected group of public agencies. A large number of public officials were thus exposed to the issues of the localities and stimulated to respond with answers. These meetings, of course, received much publicity in the newspaper. The remedial actions taken were also subsequently reported in the press. This public process clearly put increased pressure on the agencies to be more transparent and accountable and to deliver on their promises.

In a recent case in Sri Lanka, an awareness creation workshop on report cards was broadcast live to various rural communities through community radio and within hours, people started calling back asking for more details and also pointing to the need to have such independent assessments.

The “glare effect” created by the media using the report card findings have put the performance of public agencies under a public scanner. This certainly created an impetus for change and also, to a certain extent, brought in an element of strong public opinion for reforms (Please see *Appendix 23: Examples of News Clippings*).

### **Summary**

- Meeting with service providers prior to the major public release is a good opportunity to create buy-in and get feedback.
- Impress upon the service providers the usefulness of the findings; the positive and negative findings provide useful information for policy-making.

- Along with identifying organizations, thought should be given about whom to target within an organization.
- During dissemination it is important to provide a balanced picture of service provision--both the good and the bad should be shared.
- The media is a very powerful actor during dissemination. It can increase coverage of service provision and ensure that the findings reach the general public.

## SELF TEST 9

There are two types of tests, namely 'Content Test' and 'Approach Test'. You will be able to assess yourself about the module you just learnt, by completing these tests.

### CONTENT QUESTIONS

1. Language is particularly important for dissemination to stakeholders.
  - a.  True
  - b.  False
2. Which of the following is true while disseminating the findings?
  - a.  It is not effective to have face-to-face contact with the target audience as you will reach fewer people.
  - b.  Choose one type of media to disseminate findings. Coordination will be easier.
  - c.  Look for views of the key stakeholders from the start of the project; they are more likely to buy-in to the methodology and support you during the dissemination of findings.
3. Ideally, the press note, one of the methods of dissemination, should not
  - a.  Have any graphics to highlight the technical information
  - b.  Mention suggestions for improvement
  - c.  Be a lengthy document

### APPROACH QUESTIONS

#### Scenario

The independent consortium working with the Municipal Development Bank is partnering with the Information, Education & Communication (IEC) Task Force for dissemination of the CRC findings. The IEC Task force holds a series of meetings and develops an action plan for dissemination.

The following 4 passages describe how IEC proceeded with the dissemination of findings. Please read each passage and answer the question that follows.

### Questions

1. The Task Force felt that the best way to raise public awareness was to project the findings in a sensational manner. Given the general dissatisfaction with services, it made sense to highlight the negatives and use these findings to mobilise public opinion. It was also decided to target the findings towards the Head of the Water Supply Department; the Task Force felt that targeting individuals and shaming them in public would lead to immediate reforms.

How do you think the Task Force should have proceeded?

- a.  In addition to the bad feedback and shaming the Head of the Water Department, the Task Force should have mentioned the good feedback from citizens.
- b.  The Task Force should not have targeted the Head of the Water Supply Department, but instead should have collaborated with the Department and highlighted both the good and bad feedback.
- c.  The Task Force should have highlighted the bad feedback to the Water Supply Department so that it could take necessary action. They should have put the positive findings in the English newspaper.

2. The Task Force focused their dissemination efforts on the public service provider and the general public; these were the two groups that were identified as major stakeholders.

Was the Task Force's approach right?

- a.  Having multiple dissemination means like CSOs, government, donors and a media helps to ensure that the findings reach a greater audience
- b.  The Task Force did the right thing by not bringing in the government, as state level governing bodies do not have any influence in decision-making related to service delivery at the local level
- c.  The Task Force was right about limiting the findings to the two groups since only these two groups will raise awareness, influence decision-making and take necessary actions

3. The IEC Task Force decided that dissemination should occur only through newspapers. Since the IEC Chairman was a close acquaintance to the Editor of an English daily, the Task Force gave this newspaper the opportunity to break the story. However, the decision was not agreed upon by everybody. Some members of the Task Force believed that the English newspaper was politically colored (favoring the current political party) and had a very limited circulation. This differing opinion was dismissed due to the Chairman's closeness to the Editor.

It was decided that the Main CRC Report (25 pages) would be handed over to the Editor

of the paper. The Editor and her team were expected to write a story from the main report. Though there was a suggestion from one Task Force member that it would be ideal to draft a short summary for the press, it was refused on the grounds that the Editor was in the best position to decide what aspects need to be covered and highlighted.

Is it likely that the English newspaper will present accurate information about the CRC?

- a.  Yes. The editor will be able to follow the technical language in main report and summarize the information to give a clear picture of the CRC findings.
- b.  No. The editor is likely to leave out key findings and/or present a politically biased version of the CRC findings.
- c.  Yes. The fact that the newspaper favors the current political party will not affect the reliability and objectivity of the coverage.

4. It was decided that there should be an element of surprise in the dissemination strategy. The Head of the Water Department was caught absolutely by surprise with the release of the CRC findings; she had no earlier knowledge of the findings.

Was the Task Force correct to adopt this dissemination strategy?

- a.  Yes. The Department will be co-operative and will come forward to explain the schemes it plans in the future.
- b.  Yes. This method enables the Department to follow up with questions, which will make the questionnaire more precise.
- c.  No. This method will make the Department very angry and unlikely to cooperate in future.

For answers, please go to '**Answers to Self Tests**' given at the end of the Print Version.

**Congratulations**, you have completed Module 9!

Are you able to

- plan and execute a dissemination strategy?

If you have doubts regarding this topic, please review Module 9. If you feel comfortable with the content of Module 9, please proceed to Module 10 to plan a strategy to improve services.

## Module 10: Advocacy for Improving Services

### Objectives

This module discusses ways to use the CRC findings to improve services. On successful completion of this module, you will be able to:

- Plan a strategy to improve services, based on the CRC findings

### Overview

Citizen Report Cards differ from other “user feedback surveys” in that the process is incomplete without a planned and strategic dissemination and advocacy effort. In many ways, a CRC is blending the science of surveys with the art of advocacy. CRC-related advocacy falls into two categories:

- Strengthening the “*voice*” of citizens. “Voice” refers to the needs and opinions of citizens. Voice speaks of the demand side—citizen groups, civil society, media and other external groups that use, or desire to use, public services.
- Increasing government “*responsiveness*” to citizen needs. “Responsiveness” refers to the receptivity of service providers to external feedback, as demonstrated through changes to internal structures, procedures and processes.

The key is to connect these two enabling concepts.

### What is Advocacy

- **Effecting** changes in policy & practice
- **By** organizing public opinion & participation
- **Through** influencing policy makers & implementers
- **In** favor of larger public interests
- **Using** democratic means

### Planning an advocacy strategy

An effective advocacy strategy should have the following components:

- **Understanding & Influencing stakeholders:**

Effective advocacy requires a good and clear understanding of who the critical stakeholders are and what would be their influence and importance. Two tools that can assist in this regard are

- The Stakeholder Matrix
- The Impact Matrix



Previous lead institutions that have used one or both of the tools have found them useful for clarity on whom to target and to understand the potential impact of advocacy activities.

### Stakeholder Matrix

- This tool requires you to identify CRC stakeholders, their interests, and assess whether the proposed actions are likely to support or challenge stakeholder interests.
- The blank template and an example of a Stakeholder Matrix (please see *Appendix 24: Stakeholder Matrix*) is available.

A major step in strategizing the use of the CRC survey findings is to conduct a stakeholder analysis. As a first step, a stakeholder matrix is constructed to identify CRC stakeholders, their interests, and assess whether the proposed actions are likely to support or challenge stakeholder interests. A example adapted from a previous CRC exercise is illustrated below - (a plus sign (+) indicates that proposed actions will support an interest, a minus sign (-) indicates if proposed actions will challenge an interest and a (?) indicates uncertainty of response).

### A SAMPLE STAKEHOLDER MATRIX

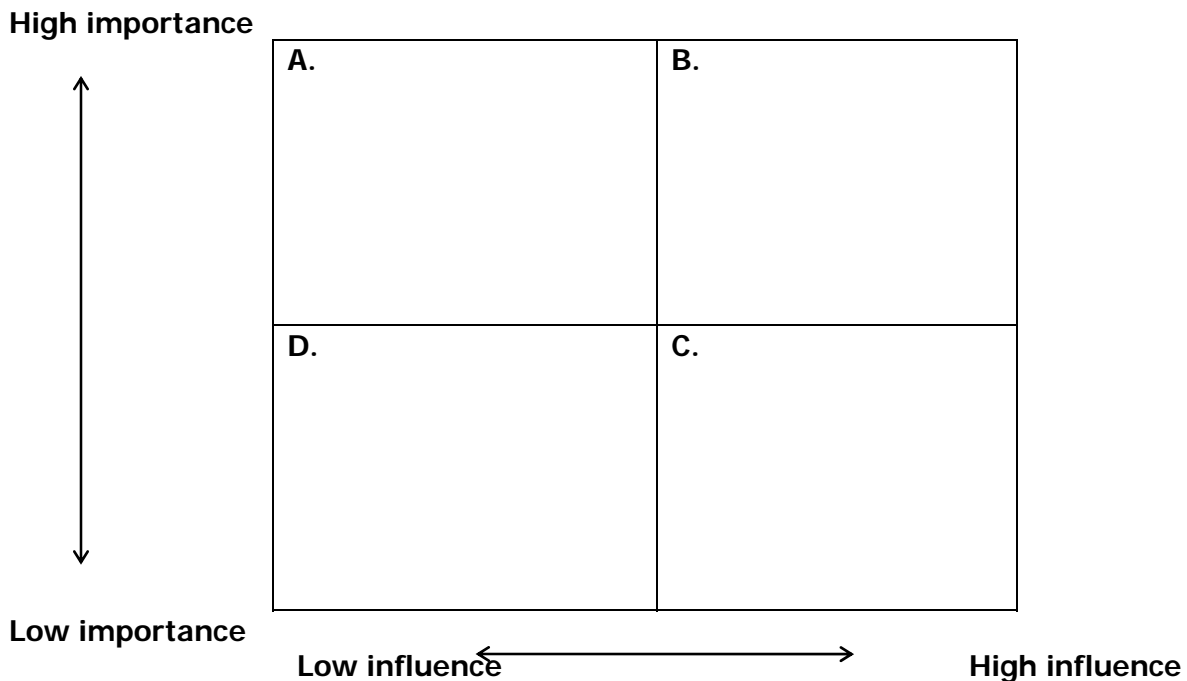
Stakeholder group	Interest	How project affects particular interest
1. The urban poor	Better access to services	(+)
3. Women	Better social inclusion & security	(+)
4. Agency officials	More accountability	(?)
5. Political leaders	Better relations with community	(+)
6. Local Elites	Maintaining power base and patronage	(-)

### Impact Matrix

- This tool involves the classification of stakeholders by their level of importance and influence in order to clarify who you should target to make the most impact.
- The blank template of an Impact Matrix

A blank format to plot the impact relations is discussed below:

### A SAMPLE IMPACT MATRIX



**Explanatory Notes:** Boxes A, B and C contain key stakeholders of the project – those who can significantly influence the project, or who are most important if the project objectives are to be met.

**Box A:** Stakeholders of high importance to the project, but with low influence. This implies that they will require special initiatives if their interests are to be identified and protected.

**Box B.** Stakeholders appearing to have a high degree of influence on the project, who are also of high importance for its success. This implies that the Lead Agency will need to construct good working relationships with these stakeholders in order to ensure an effective coalition of support for the project.

**Box C.** Stakeholders with high influence, who can therefore affect project outcomes but whose interests are not the target of the project. These stakeholders may be a source of significant risk and they will need to be consulted during project monitoring and management.

**Box D.** Stakeholders in this box, with low influence on, or importance to project objectives may require limited monitoring or evaluation, but are of low priority. They are unlikely to be the subject of project activities or management.

- **Identifying Critical Incentives:** There are number of incentives that could provide entry points for key players related to service delivery (service providers, higher level government authorities, and civil society) to utilize CRC findings to bring about improvements in services:

#### *Service Providers*

As the institution accountable for service provision, the service provider is the key player in any plan to improve services. Whether the required improvements involve improving the quality of a product (i.e. providing more stable voltage or cleaner water) or redesigning the system of billing, the service provider must change processes and procedures.

Service providers can utilize the CRC findings to:

- Redesign service delivery processes.
- Respond to the unique needs of various segments of the population.
- Design back-end improvements (computerization, training of staff, etc.)
- Support the creation of local venues and opportunities for increased consultation and participation from citizens
- Ask for additional resources to change policies or improve implementation.

#### *Higher-Level Authorities*

CRC findings provide higher-levels of government with reliable performance information that can be used to put pressure on service providers. Government institutions involved in budgetary distribution or that are senior in the line-of-command (including policymakers) can use the finding to

- Design incentives to reward well performing service providers.
- Monitor the usage of public funds and compliance to existing standards; link financial support to performance indicators.
- Reallocate resources to remedy shortcomings in service provision.

#### *CSOs, Consortiums & Citizens*

CSOs and Consortiums can use CRC findings to prioritize and *advocate* for specific improvements in service delivery. Advocacy is the mobilization of public opinion and citizen participation to effect changes in policies and practices for the larger public good. The CRC provides considerable details on the public's opinion!

#### *Development Agencies/Donors*

Although not a local actor, development agencies can use the findings to

- Provide policy advice to policymakers and push for relevant improvements in services.
- Shape the evaluation processes for projects and programs supported by development agencies.
- Prioritize capacity-building support that may be required locally.
- Benchmark the quality of service provision before and after a new policy or scheme is introduced.

### Planning for Service Improvements: A Template

A key challenge before any public service agency following the CRC survey is how to take the path from “symptoms” to “reforms”. The following steps describe a tested way of ensuring institutional ownership and commitment to examine the findings from the CRC as diagnostic pointers and use them to create an institutional consensus to identify reforms and responses.

#### Step 1. From symptoms to diagnosis

A good starting point in designing reform measures is to have a collective introspection within organizations to examine key findings and pointers provided by the CRC as symptoms for diagnosis. To use a medical analogy, when a physician conducts checks the temperature and blood pressure of a patient, she is looking for the symptoms of the illness. She then uses the test results to do an expert diagnosis of the patient’s condition. The remedies she prescribes are guided by the findings of her diagnosis. She will consider different options and dosages before deciding on her prescriptions. Similarly, information provided by a report card can be a useful aid to diagnosis and a springboard for further probes into the problems identified in the service ratings. For example, the ratings of the different dimensions of a service are very similar to the symptoms that a doctor is able to read from her test results. If an agency gets a low rating on “the time to attend to a user with a problem”, it means that people are made to wait long at a counter or in an office. A low rating implies that many who seek assistance or advice are not getting it within a reasonable time period.

List out all the major findings from the CRC and brainstorm within the agency ( a small representative group will be ideal) to identify possible root causes. Make sure that you get the participation from all levels of the organization.

Round 1.From Symptoms to Diagnosis	
Key finding (Symptoms)	Possible reasons (Diagnosis)

## Step 2. From Diagnosis to Reforms


The next step could involve generating doable measures to address the symptoms (and the underlying causes). At this point, it may be useful to identify institutional constraints to give the reform options a reality check. Timelines may also be drawn to prioritize the reform measures and ensure compliance.

Round 2. From Diagnosis to Reforms				
Key finding (Symptoms)	Possible reasons (Diagnosis)	Suggested measures	Expected risks / barriers	Timeline

## Step 3. Creating a Consensus on the Reforms

The third and last stage involves creating a broader organizational consensus on the institutional responses identified. This would involve presenting the response mechanisms to a wider audience within the agency to garner support and commitment. At this stage, be open and receptive to new ideas also!

Round 3: Generating a Consensus on the Reforms				
Key finding	Suggested measures	Comments on the suggested measures	Other doable ideas	Required resources



## Improving Services – A long-term commitment

Although the CRC survey and follow-up consultations can be completed within several months, a three to five year commitment is necessary to bring about real improvements in service delivery. CRCs rarely result in immediate improvements in services.

The institutionalization of CRCs creates a basis to build up organized external pressure on agencies to improve services. However, institutionalization requires the long-term commitment of a local supporter. Regular CRCs offer a current opinion of the people with regards to service provision and identify areas for improvement and measures that can lead to greater cost-efficiency.

A wide range of activities can be initiated following a CRC to stimulate public participation and encourage public agencies to respond proactively.

- Building awareness on collective issues of importance.

The CRC findings can be used to shift the focus from individual issues of concern to collective issues of importance. Publicly sharing this information—that is, disseminating specific findings to increase the awareness of widespread service related problems—is a natural extension of the initial, more comprehensive dissemination of CRC findings. During these efforts local champions – individuals both inside and outside of government supportive of reform – can be identified. Some examples of measures to improve awareness include: media campaigns, community radio shows, open houses, inter agency workshops and campaigns/ efforts to promote good citizenship.

- Lobbying to influence policy and planning

CRC findings provide a credible database of information from which citizens can lobby for changes in policy and planning. For effective lobbying, the identification of civil society critics or constituencies of service users that have the skills and connections to generate external pressure is extremely important. Examples of lobbying efforts include: meetings between citizen groups and the leadership of service providers and pressuring elected representatives through letters, meetings and other organizing efforts to work on specific areas of reform.

- Monitoring and evaluating

CRC findings can be used to monitor a range of service aspects (usage, reliability, corruption), staff quality and overall service delivery. In addition, CRCs can help evaluate specific programs and track changes in service quality over time. These uses of the CRC should be identified at the outset while defining the scope of the CRC and shape the subsequent steps in the survey methodology.

In addition, there are several types of measures that can work to increase the impartiality, magnitude and responsiveness of service providers.

- Participatory Planning

CRC findings create a natural mechanism to bring a variety of stakeholders together to increase citizen participation in local level planning and decision-making. Several types of forums are conducive for increasing citizen participation in planning. For example, citizens have participated in budgetary analysis, as well as in a planning committee for budgetary allocations.

- Consultations on Citizen Needs

Public meetings and other one-time consultations offer an interface for citizens, service providers and other stakeholders to discuss citizen needs. The consultation may be the first time that local residents and government officials involved with service provision are jointly discussing key problems and generating solutions. The challenge during these meetings is to keep the focus on collective issues of concern. A strong facilitator can prove useful to steer the conversation. Meetings can focus on one service or bring together related services, with overlapping concerns.

- Setting Public Standards

Many service agencies do not have quality standards to which they agree to adhere to; by taking citizens' needs and expectations into consideration, agencies can develop a citizen's charter or another public expression of the minimal service quality to which they will adhere.

- Creating Incentives, Sanctions and Controls within Service Provision

Behind the backdrop of service delivery is a system of incentives, sanction and procedures that shape the front-end operations. Offering incentives –such as linking citizen satisfaction to performance indicators for public servants—increases the likelihood that staff will respond to citizen needs. With incentives the goal is to link the client or citizens' perspective to the performance assessment of those involved in service delivery. In particular, efforts should be made to identify and support champions of reform through trainings, awards and leadership programs.

At the same time sanctions or reprimanding poor performers—those caught collecting bribes or performing poorly in other regards—creates a culture where good performance is valued and detractors are punished. In the Indian state of Maharashtra, a CRC is being carried out at the panchayat level. Based on the user feedback of public service delivery, the panchayats will be ranked and given an allocation of state funding.

- Changing Service Ethos and Organizational Culture

At the core of any existing pattern of service provision is the ethos and culture of the service agency. Working to alter this culture to better serve citizens is a major challenge. Staff trainings, awards, leadership programs and changes in incentives and punishments (as mentioned in the previous item) can help to change the pattern of service provider responsiveness. Keep in mind that coordinated change is required at all levels of the organization- both vertically and horizontally.

- Increasing Accessibility

Along with venues for participatory planning and other venues for citizens to influence government, citizens often require a reliable venue to ask service delivery and billing related questions. Creating avenues by which citizens have continued and reliable access to service providers—to complete routine transactions and clear up basic inquiries—greatly increases the accessibility between the provider and user of services.

- Establishing new rights

The CRC provide citizens with a new right—the right to information related to the quality of public service delivery --and arms them with the ability to use the information to work towards improvements in service provision.

## Summary

- Post-survey activities must be adapted to local conditions. While this module introduces important concepts and efforts to improve services, it cannot offer a specific model suited to your local conditions. Your challenge is to use the conceptual and practical tools in this module to design a plan applicable to local needs.
- CRC-related advocacy falls into two categories: strengthening the “voice” of citizens or increasing government “responsiveness” to citizen needs. Many of the activities discussed in this module work at the same time to improve both voice and responsiveness. The lead institution and other stakeholders both inside and outside of government can use these methods.
- The institutionalization of CRCs creates a basis to build up organized external pressure on providers to improve service delivery. However, institutionalization requires the long-term commitment of a local supporter.

## SELF TEST 10

There are two types of tests, namely 'Content Test' and 'Approach Test'. You will be able to assess yourself about the module you just learnt, by completing these tests.

### CONTENT QUESTIONS

1. What do you term the process of mobilizing public opinion and citizen participation to effect changes?
  - a.  Dissemination planning
  - b.  Survey
  - c.  Advocacy
  - d.  Service
2. What tool would help you to identify CRC stakeholders, recognize their interests, and assess whether the advocacy actions that you have planned are likely to support or challenge their interests?
  - a.  Stakeholder Analysis
  - b.  Impact Matrix
  - c.  Reform
  - d.  Responsiveness
3. Which tool would you use if you want help determining where you should target your advocacy activities to make the most impact?
  - a.  Stakeholder Analysis
  - b.  Impact Matrix
  - c.  Reform
  - d.  Responsiveness



## APPROACH QUESTIONS

### Scenario

Namaskara, an NGO carrying out an independent CRC on drinking water, meets with other civil society organizations in Mehnat to brainstorm on advocacy and reform measures following the release of the CRC findings. The Save Mehnat Forum (SMF) is formed to lead advocacy and reform activities related to the CRC.

The following 4 passages describe the various strategies that SMF adopts. Please read each passage and answer the question that follows.

### Questions

1. Unlike Namaskara's approach during the survey process, SMF strongly believes that little systematic planning is required for advocacy. Once the findings are disseminated, SMF believes that they will take on a life of their own. Thus, SMF waits, ready to respond immediately to whatever emerges from the CRC findings.

What is wrong with SMF's approach?

- a.  SMF should carefully plan its advocacy and not assume that others will automatically follow up on the findings.
- b.  SMF should persuade the opposition political party to use the findings to put pressure on the political party in power.

2. After further reconsideration, Save Mehnat Forum (SMF) decides that advocacy will consist of a small spurt of highly visible activities. SMF organizes a huge rally of local residents, followed by a sit-in before the municipal government.

What do you think could be improved about SMF's approach to advocacy?

- a.  SMF needn't gather the support of the local residents; instead SMF should conduct the sit-in and demonstration all by itself.
- b.  SMF should try to work directly with the Water Department. However, if the service provider is unresponsive, sit-ins, demonstrations and other more confrontational methods are powerful options.
- c.  SMF should solve the drinking water problem itself and then force the municipality to adapt such methods.

3. SMF plans to confront the ruling municipal government. SMP persuades an opposition politician to raise issues from the CRC during the next City Council meeting.

What is wrong in this approach?

- a.  SMF should not have opposition leaders present the CRC findings.

- b.  SMF should have the opposition leaders confront the ruling party in a more creative way and not simply present the findings at a Council meeting.

4. SMF invites 'Zero Tolerance'- a prominent national level NGO to organize the advocacy campaigns. Zero Tolerance' is a very successful group, primarily working in the area of Human Rights, and is specially known for its highly emotional approach. Zero Tolerance operates out of city located 230 kms west of Mehnat.

What is wrong in this scenario? (Select all that apply).

- a.  SMF should not contact another NGO and instead address the issue itself.  
b.  Zero Tolerance may not be the best option since it is a national level NGO and not familiar with the situation and people in Mehnat.  
c.  Zero Tolerance may not be the best option since it is known for its highly questionable approach, this may prevent more neutral organizations and individuals from participating.

For answers, please go to '**Answers to Self Tests**' given at the end of the Print Version.

**Congratulations**, you have completed Module 10!

Are you able to

- plan a strategy to use the CRC findings and
- identify methods to improve services?

If you have doubts regarding this topic, please review Module 10.

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Learning Tool for CRC on Drinking Water and Sanitation: <http://www.watsan-crc.org>

## Frequently Asked Questions (FAQs)

### Q 1: What is a Citizen Report Card (CRC)?

The CRC is an assessment of public services from the point of view of users. Basically it is a "report card" on service provision by government agencies. Unlike an opinion poll, the CRC includes only feedback from individuals who have used a particular service. As a result, the CRC takes the experience of users instead of just views from the general public. The CRC process involves gathering and disseminating citizen feedback, as well as follow-up efforts, to facilitate improvements in service delivery.

CRCs provide something that has been previously absent in many locations around the world; creating a mechanism to collect feedback from the average user of services to push for improvements based on the feedback.

### Q 2: What skills does the lead institution require?

The lead institution requires a range of project management, social science research, and advocacy skills. In addition, the lead institution should be independent and a well-respected member of the local community. The public should believe in the integrity of the CRC findings that are prepared by the lead institution.

### Q 3: Will conducting a CRC improve the quality of public services in my locality?

Carrying out a Citizen Report Card doesn't ensure improvements in public services. For example, if a majority of respondents to a CRC survey report that municipal water quality is poor, the service provider will not necessarily work to improve the quality of water.

Although Citizen Report Cards do not improve service delivery in and of themselves, the dissemination and advocacy efforts related to CRC findings can work to trigger reforms. For improvements to occur, the local service provider, and sometimes citizens, must make larger procedural and attitudinal changes.

### Q 4: Should the lead institution be local?

A local lead institution allows for better meeting with key stakeholders and a greater probability that the scope of the CRC and the findings will relate to basic realities. In addition, a local lead institution, well networked with government and civil society, is better equipped to disseminate findings widely and promote advocacy. Finally, with a local lead institution buy-in is easier.

However, there may be instances where due to a shortage of independent and reliable local institutions, an external organisation leads or triggers the effort.

### Q 5: Is it okay for a service provider to carry out a CRC?

Usually not, since it is best that a neutral entity conduct the citizen report card. The independence of the organisation leading the effort is critical to the reliability of the

findings. Although knowledge of service details and policy schemes positively supports service providers with information to design a targeted CRC, during the preparations of findings the introduction of biases is likely.

When service providers collect feedback from citizens it is usually confidential information for internal analysis and policymaking. Although the information may be well used by the service provider, it would exclude the public from the ability to use the data and hold the agencies to account for areas of weak performance.

As the entity that must eventually implement reforms, the service provider is in an all-important position to use CRC findings to improve service delivery. Therefore, if a service agency is interested in the CRC methodology it could consider asking an independent organization to take up the effort; an independent body within government, or a non-partisan and independent commission could be created, to conduct the CRC.

### **Q 6: Who in a locality is best qualified to carry out a CRC?**

To conduct a CRC, an organization should be

- a) a reliable part of the city or sector where the effort is launched
- b) neutral
- c) committed to long-term change
- d) skilled in understanding survey techniques and quantitative analysis (this can be partially outsourced)
- e) experienced in working with multiple constituents.

CSOs or an independent consortium are most likely to satisfy the combination of independence, commitment and skills to carry out a Citizen Report Card.

## Glossary

**Accompaniment** - During the survey period, the field supervisor accompanies each investigator and monitors several interviews in progress. A good policy is to have at least 10% of the interviews monitored through accompaniment.

**Advocacy** - Advocacy is the mobilization of public opinion and citizen participation to effect changes in policies and practice for the larger public good. Advocacy, as part of the CRC methodology, has occasionally led to conflict, but rarely adversarial in nature. This pattern has emerged from a belief that improvements in service delivery require collaborating directly with service providers.

**Back Checks** - Back checks involve selecting a few key questions and confirming the respondent's response for these questions. The purpose is to ensure that the information marked in the schedule reflects the true opinion of the respondent. This can be done through a house visit or over the phone. The general policy is to perform back checks on 30% of the schedules.

**Boosters** - Booster surveys involve the intentional (non-random) sampling of households to reach a minimum sample size; boosters are carried out when the minimal sample size is not attained through the sampling design. Depending on the service, an appropriate method must be determined to identify respondents for the booster surveys.

**Citizen Report Card (CRC)** - The CRC is an assessment of public services from the point of view of local users. Unlike an opinion poll, the CRC survey includes feedback from those who have interacted with an agency or used a particular service. As a result, the CRC captures the experience of users instead of views from the public. The process involves gathering and disseminating citizen feedback, as well as follow-up advocacy efforts, to facilitate improvements in public service delivery.

**Civil Society Organization (CSO)** - CSOs consist of a range of institutions that work, broadly speaking, to improve political, social or environmental conditions. CSOs are distinct from government and business. Unlike most businesses, the bottom line is not financial. Non-governmental organizations (NGOs), trade unions, charities, resident welfare associations (RWAs), community based organizations (CBOs), professional associations, academia, organized religious groups, and cooperatives are examples of civil society. CSOs, and NGOs in specific, are common lead institutions for CRCs.

**Closed-Ended Questions** - Type of questions where answer options are provided to the respondent. These questions are pre-coded in the questionnaire, which makes data collection and data entry easier. There are many types of closed ended questions: yes/no, scales (very satisfied, partly satisfied, dissatisfied), ranges (less than 1 km, 1-5km, greater than 5 km) and so on.

**Critical 9** - The nine factors that are important to consider when assessing a locality's suitability to the Citizen Report Card methodology.



**Cross Tabulations** - Cross tabs look at the relationship between responses. For example, for a CRC on public health facilities, generating a cross tabulation on overall satisfaction versus the type of health facility visited may provide useful information about the differences in performance across types of facilities. Cross tabulations are easy to perform using any basic database package, and create a powerful tool for further analysis of citizen feedback.

**Demographics** - Demographic questions gather basic information regarding the respondent and/or the respondent's household. Types of demographic questions collect feedback on age, education level, size of household, gender etc.

**Field Coordinator** - The individual responsible for managing and operationalizing the field survey process. At the top of the survey team hierarchy, he/she is in regular communication with team supervisors and is responsible for ensuring that systems to check the quality of data are in place.

**Filters/ qualifiers in survey schedule** - Qualifier or filter questions help to determine the respondent's eligibility to answer a set of questions.

**Focus Group Discussions (FGD)** - Focus groups are organized small group discussions. They are 'focused' because persons in the discussion share a similar quality (e.g. live in the same locality or have knowledge of the city) and because the discussion aims to gather information on a focused topic guided by a set of questions. The small group nature of the FGD allows for in-depth probing.

**Frequencies** - A frequency distribution is calculated by totaling the number of responses in each answer category. Frequency distributions are usually expressed in percentages. For example, if 55 out of 330 respondents state that they are satisfied with the quality of drinking water, the percentage equivalent is that 16.7% of respondents are satisfied with drinking water quality.

**Independent Consortium** - An institution set up by government, civil society or a donor to lead the CRC process. Its members come from civil society, government, citizen welfare groups, media and other entities committed to improving the quality of public services

**Inter Agency Workshops** - A platform for different service providers to discuss common challenges and share best practices. Although it may appear unlikely that a phone company could learn from a public transportation provider, experience suggests otherwise. Especially in a shared environment of resource constraints and a culturally similar workforce, Inter Agency Workshops create an opportunity for building local capacities through a local sharing.

**Investigator** - Conducts surveys according to the sampling design. The investigator should have strong probing skills and be able to relate to the respondent.

**Investigator Briefing** - Training session for potential investigators. Investigators are introduced to the details of the CRC study, walked through the questionnaire and conduct mock interviews.

**Investigator Information in Survey Schedule** - The first section of the survey instrument collects basic information about the investigator and the interview. Examples of the information gathered in this part include name of investigator, date of interview, interview start time, interview end time.

**Lead-in/ Introduction to Survey Schedule** - The introduction provides information to a member of the household to start the interview. The investigator introduces him/herself, communicates the purpose of the interview and begins to establish a relationship with the respondent. This step is very important because it communicates the purpose and tone of the interview.

**Lead institution** - The lead institution is the organization that manages and drives the CRC process. The lead institution could be a CSO, government body or independent consortium.

**Media Campaigns** - Media Campaigns involve the use of print, television and radio media to spread the CRC findings to reach a wide audience. Along with a straightforward dissemination of findings, media campaigns involve working with the media to increase coverage and investigations of issues related to service delivery. The goal is to promote the on-going coverage of public service delivery through stories, editorials and further investigations and create a backdrop to support other advocacy efforts.

**Mock Interviews** - Practice interviews conducted by each investigator in the pool of potential investigators, during the investigator briefing. Mock interviews are observed by field coordinator and other qualified judges. Each potential investigator is given a rating and the final selection of investigators is carried out

**Open-Ended Questions** - Type of question where the respondent is left to answer the question as he or she wishes. When the scope of answers is uncertain, open-ended questions are very useful. However, vague responses make it difficult to compile responses and make comparisons across users. Another drawback is that open-ended questions must be coded after the data is collected - increasing the time for data entry.

**Pilot** - Pre-testing of the questionnaire through 10-15 interviews to identify problems with the wording and internal sequencing of questions, as well as the time taken per interview and gaps in the questionnaire. The time devoted to piloting and revising the questionnaire can significantly improve the quality of the survey instrument.

**Population** - The population is the group being studied.

**Probability Proportionate to Size (PPS)** - A means to determine the number of interviews to conduct in a given area. For example, if sampling is to occur in an area that accounts for 5% of the total population, 5% of the sample size will be drawn from that area.

**Public Affairs Centre (PAC)** - PAC is a non-profit and neutral organization dedicated to improving the quality of governance in India. PAC's focus is primarily in areas where the public can play a proactive role in improving governance. PAC undertakes and supports research on public policy and services, disseminates research findings, facilitates citizen

action support for collective action and provides advisory services to state and non-state agencies. One of PAC's pioneering efforts has been the development of the Citizen Report Card.

**Public Service Provider** - A public service provider is a government entity that provides services (water, health care, transportation, education) to the residents of a locality. The service provider could be a local body or have authority granted at the state or central level. In many municipalities, public services are provided by both local and state agencies.

**Quality Checks** - A variety of methods to ensure that data used to generate findings represent the stated opinion of respondents. During the field survey, the field coordinator and team supervisors are continuously checking on the quality of collected data. The team supervisor accompanies each investigator on several interviews to ensure quality and consistency of fieldwork. 30% of all survey is back checked to ensure that the recorded responses match the respondent's opinion. Prior to data entry each schedule is studied. After data entry, the data must be crosschecked to ensure accurate entry.

**Questionnaire** - A survey instrument in which the respondent completes his/her own survey form. An external interviewer does not administer the survey.

**Schedule** - The technical name for a survey instrument in which an investigator completes and administers the survey. In most CRCs, the survey instrument is technically a schedule, not a questionnaire.

**Scrutiny of Survey Schedule** – After the questionnaires have been checked for quality in the field, a trained team should complete 100% scrutiny of the questionnaires. A group of trained individuals should pay particular attention to make sure that: 1) all required questions are answered 2) skips followed 3) responses make sense and are not internally contradictory.

**Simple Random Sampling** - Each unit of analysis is assigned a number and numbers are randomly selected using a table of random numbers, a computer random number generator, or some other device that can generate random numbers. The benefit is that this method is easy to execute and to explain to others. The negative side is that representation from important sub groups may be missing.

**Spot Checks** - Surprise visits made by the field coordinator during an interview in-progress to ensure that the survey process is unbiased and carried out properly.

**Stakeholder Analysis** - Simple tool to help lead institution identify CRC stakeholders, recognize the interests of each stakeholder, and assess whether the advocacy actions are likely to support or challenge the stakeholders interests.

**Statement of Purpose** - Describes the objective of the Citizen Report Card: the services and aspects of service delivery that are being covered.

**Stratified Random Sampling** - The population is divided into subgroups that require separate analyses, and a simple random sample is taken within each subgroup.

**Survey Unit** - Consists of a group of investigators (usually 4-6) and a supervisor. A survey unit moves as a group to each locality to conduct fieldwork. The investigators report to the supervisor and the supervisor reports to the field coordinator.

## ABBREVIATIONS

ADB	Asian Development Bank
ADB I	Asian Development Bank Institute
AEH	All Electric Homes
BDA	Bangalore Development Authority
BESCOM	Bangalore Electricity Supply Company
BMP	Bangalore Mahanagara Palike
BMTC	Bangalore Metropolitan Transport Corporation
BSNL	Bharat Sanchar Nigam Limited
BWSSB	Bangalore Water Supply and Sewerage Board
CMC	City Municipal Council
CRC	Citizen Report Card
CSO	Civil Society Organization
IEC	Information, Education and Communication
FGD	Focus Group Discussion
KPTCL	Karnataka Power Transmission Corporation Limited
MMG	Mehnat Municipal Government (as given in the case studies)
NGO	Non Government Organization
PAC	Public Affairs Centre
PDS	Public Distribution System
PPS	Probability Proportionate to Size
RTO	Regional Transport Office
SAS	Statistical Analysis System
SMF	Save Mehnat Forum (as given in the case studies)
SOP	Statement of Purpose
SPSS	Statistical Package for the Social Sciences
TMC	Town Municipal Corporation
TOR	Terms of reference
TV	Television
UNDP	United Nations Development Programme

## APPENDIX 1: Who Provides Services?<sup>25</sup>

Governments are the main providers of services. At the same time it is becoming more common for services to be contracted out to the private sector.

### Providers of services

- Central government
- State/ provincial government
- Local government
- Private sector
- NGOs

A community may get different services from different providers. A town may receive education, drinking water and electricity services from the state government, sanitation services from a private company, and health care from the central government.

In some instances, citizens share a portion of the responsibility for service provision. For example, with regards to education, parents may be involved in the allocation of school funds or the hiring of teachers.

Questions to Consider:

- Who provides services in your area?
- Have any services been contracted out to the private sector?
- Are private citizens or citizen groups involved in service provision?

### **Key Relationships in Service Provision**

There are three key actors in service delivery: service providers, citizens and policymakers. The relationships among these actors are important to consider when working to improve services.

*Citizens and Service Providers.* Although citizens directly interact with service providers, they often feel helpless in influencing changes in service provision. The lack of a competitive market in service provision makes it difficult for citizens to hold service providers accountable.

*Citizens and Policymakers.* In theory, citizens could communicate with policymakers, who then in turn could change policies or apply pressure on providers. However, the means of communication between users of services and policymakers are often few or ineffective. In addition, policymakers may not be interested or equipped to influence service providers.

*Policymakers and Service Providers.* Even when policymakers are interested in bringing about improvements in services, they may not have the ability to do so. Well-intentioned and knowledgeable policymakers may be able to make policy-level changes, but still lack the resources or leverage to bring about on-the-ground implementation of policies.

The CRC can provide citizens, policymakers and service providers with a user-based diagnosis of service provision and a starting point to collectively improve services.

<sup>25</sup> "Overview" in **World Development Report 2004** (World Bank: Washington D.C.).

## APPENDIX 2: Steps that Require Assistance

Carrying out a Citizen Report Card will require assistance. Depending on the skills available within the lead institution, the type of assistance that is required will vary. However, it is likely that during five points in the CRC methodology most lead institutions will require assistance.

### Stages that require assistance

1. Writing the questionnaire
2. Developing the sampling plan
3. Carrying out the survey
4. Generating the basic data tables
5. Finalizing the main report

### Writing the Questionnaire

Translating the objectives of the CRC into a clear and well-sequenced set of questions requires prior experience designing questionnaires. The lead institution should seek formal assistance from an experienced social scientist.

If the lead institution has prior experience conducting surveys, request an expert to review the completed draft of the questionnaire. If the lead institution has no experience designing surveys, then work with an expert from the start of the survey design process.

The expert could be from an NGO, academia or the government. He/she should have prior experience designing social science surveys and some understanding of service delivery issues.

### Developing the Sampling Plan

Consulting a sampling expert is a must. The lead institution can help collect the required information to develop a sampling plan. Data about the population of interest and key subgroups, along with their geographic distribution, is required. Try to find a listing of households from a recent census or study.

Sampling experts usually have an MS in statistics or a Ph.D. in a social science field (statistics, economics, political science, etc.). But most importantly, they should be experienced in designing sampling plans for social science surveys. Ask the Statistics Department at a nearby university for some potential contacts.

### Carrying out the Survey

The survey process requires additional staff: investigators, field supervisors and a field coordinator. The role of each member of the survey team is detailed in module 6.

The lead institution will have to decide whether it wants to hire a professional survey agency to provide the survey staff or to create a survey team from a combination of hired and volunteer staff.

### **Generating Basic Data Tables**

Data entry is a monotonous task that requires precision and attention to detail. Someone experienced in organizing and managing large sets of data is required to complete this task.

Graduate students in statistics or a data entry company are two possibilities. Or, if you are hiring a professional survey agency for the fieldwork, ask them to also enter the data and generate the basic data tables.

### **Finalizing the Main Report**

Ideally, someone in the lead institution with strong data interpretation and writing skills should write the main report. Circulate a draft of the main report to a few skilled writers and researchers in the field to improve the quality of the final product and to ensure the findings are clear.



## APPENDIX 3: Rapid Assessment Scorecard

In considering whether to adapt/ adopt the CRC methodology, it is important to assess whether the local setting is suitable. The Public Affairs Centre (PAC), Bangalore, has identified several factors that are critical to the success of the methodology. The following scorecard looks at these factors.

*Instructions:* Please read the scorecard carefully. For each criterion, select the response that best matches your locality.

<b>For each criteria, pick the condition that best matches your locality</b>					
<b>TOPICS/CRITERIA</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>0</b>	
<b>1 Political Setting</b>	Democratic, multi party	Democratic, single party	Non-democratic, non-dictatorial	Dictatorship	
<b>2 Decentralization</b>	Local political bodies have high degree of financial and policymaking power	Local government has some ability to allocate financial resources and influence policies	Very little financial and policy making power has devolved to local level	Central government controls spending and decision-making at local level	
<b>3 General Security</b>	Strong institutions and policies of law and order; residents generally feel safe	Nearly all residents safe, some random violence	Nearly all residents safe, some random and targeted violence	Unsafe; targeted and random violence common	
<b>4 Citizen's Freedom to Voice Experience</b>	Tradition of public criticism regarding government; no fear of retribution	Freedom to criticize exists, but rarely exercised.	Freedom to criticize exists, though citizens fearful of harm if they dissent.	No freedom to criticize government.	
<b>5 Presence and Activism of Civil Society Organizations</b>	Active non-partisan groups	Well organized, highly politically active groups	Reasonably organized, docile groups	Unorganized, docile groups	
<b>6 Professional NGO Activity</b>	Multiple well organized non partisan NGOs	Multiple well organized partisan NGOs	Very few reasonably organized NGOs	No NGO activity	
<b>7 Quality of Media</b>	Non partisan, proactive and highly receptive	Non-partisan, lacks initiative and moderately receptive	Non-partisan, lacks initiative, and difficult to access	Government controlled	
<b>8 Leadership Orientation of Service Providers</b>	Leadership proactively seeks feedback and participation	Leadership recognizes feedback and responds	Leadership recognizes feedback but does not respond	Leadership unwilling to recognize collective feedback	
<b>9 Interest of Higher Levels of Government in Local Initiatives</b>	Aware of and involved in progressive reforms	Aware but uninvolved	Disconnected with local initiatives	Disconnected and disruptive of local initiatives	

## **APPENDIX 4: Draft FGD Questions**

Listed below is a draft set of FGD questions based on the Critical 9. It may be necessary to revise them to better suit your locality.

1. How would the political institutions in your state support or hinder the CRC methodology?
2. What types of policies and spending decisions related to service delivery are made at the local level?
3. How safe is your locality? Would organizations feel safe conducting the CRC?
4. Can citizens voice their opinion regarding the government? Do individuals fear retribution for openly critiquing government?
5. Is there an active civil society in your locality? Are organizations networked? Are there independent, non-partisan CSOs?
6. How does your locality fare in terms of professional organizations?
7. Is your local media independent? Does it cover issues related to public service delivery? Would it cover CRC findings and present them in an unbiased manner?
8. What is the attitude of service providers? How open are they to citizen feedback?
9. What is the relationship between the higher levels of government and decentralized initiatives in your locality? Could this leadership become a potential advocate for change?

## APPENDIX 5: Assessing a Potential Lead Institution

Depending on your proposed lead institution (whether it is a civil society organization, government body or independent consortium), proceed to the appropriate set of questions.

For a proposed **Civil Society Organization**:

1. Is your organization a credible part of the city/sector where the CRC is being launched?  
 YES  NO
2. Is your organization politically non-partisan?  
 YES  NO
3. Is your organization committed over the long-term to improvements in public services?  
 YES  NO
4. Would your organization be able to oversee survey-related fieldwork (though not necessarily carry out) and interpret findings?  
 YES  NO
5. Is your organization experienced in working with government, media and other NGOs/CSOs?  
 YES  NO

To view answers, proceed to the footnote.<sup>26</sup>

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For a proposed **Government body**:

1. Are you a recognized actor in the locality where the CRC is being conducted?  
 YES  NO
2. Are you considered politically non-partisan? Would local citizens believe in the credibility of the CRC findings?  
 YES  NO
3. Are you committed to facilitate improvements in public service delivery?  
 YES  NO
4. Would you willingly disseminate findings (both the positive and negative)?

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<sup>26</sup> If you answered "no" to any of the questions: To compensate for areas where the proposed lead institution lacks skills/outlook, consider partnering with another organization or setting up an independent consortium that includes locally-based individuals from a variety of backgrounds.

YES  NO

5. Do you have the skills to oversee survey-related fieldwork (though not necessarily carry out) and interpret findings?

YES  NO

6. Are you open to working with service providers, media and CSOs?

YES NO

7. Are you empowered at the local level with decision-making related to service delivery?

YES  NO

To view answers, proceed to the footnote.<sup>27</sup>

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For a proposed **Independent Consortium**:

1. Would the members of the Independent Consortium be recognized as credible actors in the locality where the CRC is being conducted?

YES  NO

2. Would the Consortium be viewed as politically non-partisan?

YES  NO

3. Could the Consortium effectively disseminate findings (both the positive and negative)? Would local citizens believe in the credibility of CRC findings?

YES  NO

4. Would there be members on the Consortium who could oversee survey-related fieldwork (though not necessarily carry it out) and interpret findings?

YES NO

5. Would the Consortium members include a spectrum of representatives (government, media, CSO)?

YES  NO

To view the answers, proceed to the footnote.<sup>28</sup>

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<sup>27</sup> If answered “no” to any of the questions. Consider partnering with another organization, seeking a well-qualified CSO to spearhead the effort or setting up a consortium of individuals from a variety of backgrounds who are well-grounded in local happenings.

<sup>28</sup> If answered “no” to any of the questions. Consider changing the composition of the independent consortium; seek well-qualified individuals from a variety of backgrounds who are well grounded in local happenings. Individuals from outside the locality could also serve as advisors to the consortium in areas where skills are lacking.

## **APPENDIX 6: TOR for lead Agency**

### **A Request for Proposal for a Lead Agency to Implement a Citizen Report Card in \_\_\_\_\_ city**

#### **Background**

The Community Improvement (CIP) is an international partnership with an overall mission to help the marginalized gain sustained access to improved public services.

In this context, CIP has embarked on an 10 month project with the following objectives:

- To create larger scale and more direct links with citizens
- To deepen citizens understanding of water sector reform and water and sanitation issues
- To use Report Cards as a city-level strategy for strengthening informed citizen voice in public service reform and management
- To use the results of the Report Cards to carry out advocacy and press for reform measures for improved services for the urban poor

As part of this initiative, it is decided to pilot a Citizen Report Card project in the city of \_\_\_\_\_. In line with CIP's objectives, it is also decided to identify a Lead Agency to coordinate this pilot intervention at the local level and facilitate the full participation of a number of other institutions, with the support of CIP.

CIP also intends, through a separate competitive process, to engage a professional social survey firm to work with the Lead Agency.

#### **Citizen Report Cards: A Profile**

Evolved from the pioneering experience of Bangalore and disseminated in many countries such as the Philippines, Vietnam, Ukraine, Ethiopia and Tanzania, the Citizen Report Cards (CRC) is an international best practice tool for improving service delivery. By means of collecting citizen feedback on the quality and adequacy of public services from actual users, CRC provides a rigorous basis and a proactive agenda for communities and local governments to engage in a dialogue to improve the delivery of public services.

The Citizen Report Card (CRC) is a simple but powerful tool to provide public agencies with systematic feedback from users of public services. CRCs elicit feedback through sample surveys on aspects of service quality that users know best, and enable public agencies to identify strengths and weaknesses in their work. CRCs entail a randomised sample survey of the users of different public services (utilities), and the aggregation of the users' experiences as a basis for rating the services. CRCs facilitate prioritization of reforms and corrective actions by drawing attention to the problems highlighted. CRCs also facilitate cross-fertilization of ideas and approaches by identifying good practices. Citizen Report Cards are a powerful tool when used as part of a local or regional plan to improve services.

## **Scope of the Assignment**

The Lead Agency will work in partnership with CIP in carrying out this assignment. During the term of this assignment the Lead Agency will undertake the following tasks:

### ***Pre Survey Period (2 months)***

- Provide a team of professionals having relevant experience in research & advocacy on public utilities
- Identify local partners/stakeholders and form a collaborative working group to facilitate relevant advisory support to the initiative, this group will form the city-level consortium described above
- Call, host and facilitate regular meetings of the consortium
- Help organize and participate in an orientation workshop on CRCs to get familiarized with the concept and methodology of the approach
- Working with the other members of the consortium, take the lead in organizing three Focus Group Discussions (one each with poor communities, middle income communities & women) to identify critical issues in public services. Guidelines and protocols for the Focus Group Discussions will be provided by CIP
- Facilitate the provision of inputs from the city-level consortium to the survey instrument, and participate (as the representative of the city-level consortium) in the finalizing of the survey instrument.
- Working with the social survey firm, assist in the translation of the survey instrument into local languages as required
- Working with the Social Survey Firm, participate in the design of the sampling framework and the selection of the sample households

### ***Survey Period (2 months)***

- Participate, as observers, in the briefing of survey enumerators by the Social Survey Firm
- Participate in and assist with the pre-testing of the questionnaire
- Provide support to ensure quality of the field survey; specific training on this will be provided at the orientation workshop and a manual will also be provided for this purpose.

### ***Post Survey (Analysis and Report Writing Period) – (2months)***

- As a representative of the city-level consortium, participate in the design of the analytical framework
- Assist in monitoring the data entry
- Carry out a series of quality tests (a Process Audit) to ensure compliance with the field survey protocols; specific training will be provided to carry this out by CIP a process audit
- At the city-level, take the lead in drafting and finalizing the city Report Card; at the national level participate in drafting and finalizing the final summary report

### ***Dissemination of the Findings and Advocating for Service Improvements***

- Plan and disseminate the findings locally (this may include holding workshops with different stakeholders, presentations to utilities, and Regulatory Agencies, giving out press releases etc.)
- With CIP's support, and using the results of the Report Card, undertake active advocacy for the urban poor

Interested organizations may submit a formal proposal along the following lines:

#### Technical Proposal

1. Comments on the ToR illustrating the agency's understanding of the ToR
2. Description of the agency, including
  - a. experience of 1) handling similar studies 2) undertaking advocacy projects and 3) working with collaborative groups
  - b. Audited financial reports for the last 3 years
3. Resumes of the team members and proposed organizational profile

#### Financial Proposal

1. Price for carrying out the assignment with detailed breakdown

#### Evaluation of Proposals

The technical proposal will be evaluated using the following criterion.

<b>S. NO</b>	<b>EVALUATION CRITERIA</b>	<b>MARKS</b>
1	Comments and understanding the scope of Work	40
3	Previous Experience (last 3 years) in handling similar assignments	40
4	Resumes of the team leader and core team members	20
	<b>Total</b>	<b>100</b>

## **APPENDIX 7: How Many Services to Cover?**

When carrying out a CRC for the first time, it is advisable to focus on a few services. You will then have more time to:

- Build the technical skills to produce accurate findings and
- Develop the relationships necessary to bring about improvements in services.

Although covering more services does create the opportunity to compare findings across service providers within a locality, creating competition ultimately depends on a reliable set of findings.

First, focus on perfecting the CRC process for 2-4 services. Increase the number of services in subsequent CRCs.



## APPENDIX 8: Conducting an FGD

Focus groups are organized small group discussions. They are "focused" because

- persons in the discussion share a quality (e.g. live in the same locality or have knowledge of the city) and
- the discussion aims to gather information on a focused topic guided by a set of questions.

The small group nature of the FGD allows for in depth probing.

Points of advice to keep in mind while conducting an FGD

1. Try to limit the size of the group to 8-12 participants. The group size can go up to 20, but then someone with very good facilitation skills is required to manage the process.
2. Each group should have a facilitator. The facilitator should be able to relate to and connect with participants and be able to facilitate a discussion that does not lead to conflicts or get stuck on irrelevant topics. The facilitator should understand the overall CRC methodology and the general purpose of this CRC. At the start of the FGD, the facilitator should communicate the purpose of the FGD.
3. Each group should have a recorder/scribe. If the participants are literate, it is often useful to record key points on a flip chart that is visible to the entire group. Along with a scribe who can record general comments, using a tape recorder is also advisable to ensure that all the feedback is captured.
4. Prepare a set of questions to guide the FGD. Remember: the purpose of an FGD is to have a focused discussion! However, remain flexible and allow for the introduction of new, relevant topics that you may not have considered.
5. Try not to put individuals with vastly diverging experiences in within the same group. When variations are likely (like in the case of discussing service delivery with residents from slum and non-slum areas in the City of Bangalore) hold separate FGDs to adequately capture the disparate experiences. Consider whether separate focus groups for women and men would improve participation.
6. Give participants a time frame for the activity. FGDs usually take 1½ to 2 hours.

## APPENDIX 9: Guidelines for Terms of Reference

When hiring a survey agency or an expert, the lead institution will have to draft a *Terms of Reference*, or agreement of understanding between the lead institution and the new partner.

Listed below are some guidelines to keep in mind:

1. Specify the expected outputs (i.e. the number of completed questionnaires) and the quality expectations for each output.
2. Clarify the timeline and schedule for completion for each output.
3. List the processes involved to complete each output (i.e. the type and frequency of quality checks during the survey).
4. Identify the personnel requirements (i.e. the organization and number of field staff).
5. State the mode and frequency of communication between the lead institution and the new partner; identify a point person in each organization.
6. Provide the breakdown of all expenses and the method and timeframe for payments. It is advisable to pay in installments (at least two). Give the final installment only after satisfactory completion of all the listed outputs.

Given below is an example of a TOR for a survey agency

### **A Request for Proposal for a Social Research / Survey Agency to Implement a Citizen Report Card in \_\_\_\_\_ city**

#### **Background**

The Community Improvement (CIP) is an international partnership with an overall mission to help the marginalized gain sustained access to improved public services.

In this context, CIP has embarked on an 10 month project with the following objectives:

- To create larger scale and more direct links with citizens
- To deepen citizens understanding of water sector reform and water and sanitation issues
- To use Report Cards as a city-level strategy for strengthening informed citizen voice in public service reform and management
- To use the results of the Report Cards to carry out advocacy and press for reform measures for improved services for the urban poor

As part of this initiative, it is decided to pilot a Citizen Report Card project in the city of \_\_\_\_\_. In line with CIP's objectives, it is also decided to identify a Social Research / Survey Agency to carry out a field survey.

## **Citizen Report Cards: A Profile**

Evolved from the pioneering experience of Bangalore and disseminated in many countries such as the Philippines, Vietnam, Ukraine, Ethiopia and Tanzania, the Citizen Report Cards (CRC) is an international best practice tool for improving service delivery. By means of collecting citizen feedback on the quality and adequacy of public services from actual users, CRC provides a rigorous basis and a proactive agenda for communities and local governments to engage in a dialogue to improve the delivery of public services.

The Citizen Report Card (CRC) is a simple but powerful tool to provide public agencies with systematic feedback from users of public services. CRCs elicit feedback through sample surveys on aspects of service quality that users know best, and enable public agencies to identify strengths and weaknesses in their work. CRCs entail a randomised sample survey of the users of different public services (utilities), and the aggregation of the users' experiences as a basis for rating the services. CRCs facilitate prioritization of reforms and corrective actions by drawing attention to the problems highlighted. CRCs also facilitate cross fertilization of ideas and approaches by identifying good practices. Citizen Report Cards are a powerful tool when used as part of a local or regional plan to improve services.

### **Scope of the Assignment**

The survey will limit itself to the users of public services in \_\_\_\_city. An important task for the proposed survey is to determine the level of disaggregation required. For the purpose of the proposed survey, the following levels of estimation are proposed:

The suggested sample sizes and their proportionate break-ups are as follows for the selected cities:

A list of tentative indicators for the survey is given below:

### **Research Tasks for the Survey Agencies**

In order to fulfill the study objectives the selected firm has to perform the following tasks:

1. Provide two senior professionals with adequate experience in the relevant field for to coordinate the entire assignment
2. Submit a proposed fieldwork plan in an initial inception report and obtain approval from CIP
3. Mobilize adequate number of field survey investigators to ensure that the field survey gets completed within the time schedule
4. Appoint one supervisor, with adequate experience in handling field surveys, for each team
5. Working closely with the Lead Agency and the consortium of stakeholders, pretest the questionnaire proposed by the consortium, prepare a field test report, and finalize the survey in collaboration with the consortium.

6. Translate the questionnaire (with assistance from the Lead Agency) and print the required number of copies
7. Arrange a five day briefing session in which all the firm's team members will be trained by representatives from CIP side. The number of team members participating in this briefing should be more than the required number of investigators for the survey. The final selection of investigators should be carried out by the firm in consultation with the client.
8. Work with CIP to develop a sampling plan, and provide a detailed note on the sample spread
9. Undertake the household interviews, with 10 % back checks for household interviews and 100 % spot checks for household interviews. The quality of the survey will also be monitored by a panel of consultants from CIP.
10. Document the listing exercises for the specified services
11. Undertake data entry and cleaning , with appropriate scrutiny and quality checks
12. Finalize the tabulation plan in consultation with the client.
13. Carry out data analysis using suitable statistical software.
14. Generate top line findings
15. Provide a final report indicating problems encountered and how they were handled, notes on the data, anomalies etc.

The selected firm will submit the following deliverables to the client

1. Inception Memo including workplan
2. Weekly Progress Report - field check formats in specified formats
3. Detailed sampling plan
4. Listing of all the users at specified localities
5. Soft Copy of the data in SPSS Format or other software format as agreed by CIP
6. Soft Copy (in excel Format) and Hard Copy of the analysis tables
7. Soft Copy and Hard Copy of the Top Line Findings
8. Final Report outlining problems encountered, notes on the data etc.

Interested firms may submit a formal proposal along the following lines:

#### Technical Proposal

- Comments on the ToR, indicating the firm's understanding of the ToR
- Proposed methodology for carrying out the tasks
- CVs of the proposed senior professionals and field team leaders and proposed organizational structure
- Description of the firm including
  - a. Experience of handling similar studies
  - b. Detailed descriptions of previous projects
  - c. Audited financial statements for the last 3 years

#### Financial Proposal

- Proposed price with detailed breakdown

### Evaluation and Comparison of Bids

The technical proposal will be evaluated using the following criterion.

<b>S. NO</b>	<b>EVALUATION CRITERIA</b>	<b>MARKS</b>
1	Comments and understanding the scope of Work	10
2	Proposed Methodology to carry out the assignment	40
3	Previous Experience (last 3 years) of the firm in handling similar assignments	20
4	CV of the team leader and core team members	30
	<b>Total</b>	<b>100</b>

The technical proposal is expected to include the following chapters inter-alia,

## APPENDIX 10: Budget Format

### CITIZEN REPORT CARD BUDGET (sample)

Category	Value
<i>Salaries</i>	
Project lead	0
Project assistants	0
Technical Consultants	0
Field Staff	-
Field Coordinator	0
Field Supervisors	0
Investigators/ Interviewers	0
Others	0
<i>Sub total</i>	0
<i>Survey Related Costs (not including salaries)</i>	
Translation of questionnaire	0
Retranslation of questionnaire	0
Printing of questionnaire	0
Piloting	0
Training of Investigators	0
Travel: local conveyance or outstation	0
Equipment	0
Renting venues	0
Gifts (if required)	0
Data entry	0
Other	0
<i>Sub total</i>	0
<i>Dissemination and Advocacy</i>	
Copying and printing	0
Renting venues	0
Other costs	0
<i>Sub total</i>	0
<i>Other</i>	
Computing infrastructure	0
Software	0
Unexpected costs	0
<i>Sub total</i>	0
<b>Total</b>	<b>0</b>

## APPENDIX 11: CRC Work Plan

The chart below lists the major tasks related to carrying out a Citizen Report Card. Please make additions and modifications to the list based on the specifications of your CRC. For tasks that require multiple steps, it might be useful to list and assign dates for the intermediary steps.

<b>TASK</b>	<b>TIME REQUIRED (DAYS/WEEKS/MONTHS)</b>	<b>TO BE COMPLETED BY</b>
1. Focus group discussions		
2. Defining the scope of the CRC		
3. Initial meetings with service providers		
4. Decision regarding outsourcing (survey fieldwork, data entry, etc.)		
5. Draft of questionnaire		
6. Translation and re-translation of questionnaire (if required)		
7. Pilot questionnaire		
8. Finalize questionnaire		
9. Develop sampling design		
10. Training of investigators		
11. Field interviews		
12. Final scrutiny of questionnaires		
13. Data entry		
14. Data analysis		
15. Report writing		
16. Dissemination		
17. Advocacy activities		

## APPENDIX 12: Sample Questionnaire on Drinking Water Services

Name of Investigator: \_\_\_\_\_ Starting Time: \_\_\_\_\_  
Date: \_\_\_\_\_ Ending Time: \_\_\_\_\_

### Investigator Introduction:

Hello, my name is \_\_\_\_\_, and I work for \_\_\_\_\_, a Social Science Survey Agency that is collecting information on drinking water services in \_\_\_\_\_. May I speak to an adult member of your household? (*Modify the introduction to sound as natural as possible.*)

*Instruction to investigator: please use pencils and circle the code where applicable and write the answers in legible handwriting in the spaces provided for responses.*

### Section I. Demographic Questions

- 1 What is your name? \_\_\_\_\_
- 2 Gender of respondent  
1- Male  
2- Female
- 3 What is your age?  
----- years
- 4 Location/ Address: \_\_\_\_\_
- 5 Type of family  
1-Nuclear  
2-Joint/ extended
- 6 a. Number of adult males in the household  
\_\_\_\_\_
- b. Number of adult females in the household  
\_\_\_\_\_
- c. Number of male children  
\_\_\_\_\_
- d. Number of female children  
\_\_\_\_\_
- 7 How many members in the household are employed?  
\_\_\_\_\_
- 8 What is the monthly household income?  
1- <1000 Rs  
2- 1001-2500 Rs  
3- 2501-5000 Rs  
4- 5001-10000 Rs  
5- > 10000 Rs

### Section II. Drinking Water

#### General

- 9 Which of the following sources of drinking water are available in your neighborhood? (Multiple responses are possible)  
1- Bore well/ hand pump  
2- Public tap  
3- Community well  
4- Household water supply (piped)  
5- Other
- 10 Which of the following sources of drinking water does your household use? (Multiple responses are possible)  
1- Bore well/ hand pump  
2- Public tap  
3- Open well  
4- Household water supply (piped)  
5- Other



- 11 What is your main source of water? Single response
- 1- Bore well/ hand pump (skip to q. 12)
  - 2- Public tap (skip to q.18)
  - 3- Open well (skip to q.28)
  - 4- Household water supply/ piped (skip to q. 32)
  - 5- Other specify ----- (skip to Q36)

Bore well/ hand pump

- 12 How far (in meters) is the bore well/ hand pump that you use? \_\_\_\_\_
- 13 How long (in minutes) does it take to fetch water and return home? \_\_\_\_\_
- 14 Who fetches water most often ?
- 1- Adult male
  - 2- Adult female
  - 3- Male child
  - 4- Female child
- 15 Has the bore well / hand pump broken down in the past one year?
- 1- Yes
  - 2- No (skip to q. 36)
- 16 How frequently has the bore well/ hand pump broken down during the past one year?
1. Once a week
  2. Once a fortnight
  3. Once a quarter
  4. Once in six months
  5. Once a year
- 17 Is the bore well/ hand pump fixed promptly when it breaks down?
- 1- Yes
  - 2- No

**GO TO QUESTION 36**

Public tap

- 18 How far (in meters) is the public tap that you use? \_\_\_\_\_
- 19 How long (in minutes) does it take to fetch water and return home? \_\_\_\_\_
- 20 Who fetches water most often?
- 1- Adult male
  - 2- Adult female
  - 3- Male child
  - 4- Female child
- 21 What is the frequency of water supply?
- 1- More than once a day
  - 2- Once a day
  - 3- Once in two days
  - 4- Once in three days
  - 5- Once a week
  - 6- Other
- 22 Is this frequency sufficient for your needs?
- 1- Yes (skip to q. 24)
  - 2- No
- 23 How often would you like to get water?
- 1- More than once a day
  - 2- Once a day
  - 3- Other
- 24 On the days that you get water, how many hours do you usually get water for? \_\_\_\_\_

- |    |   |   |
|----|---|---|
| 25 | Has the public tap broken down in the past one year?  | 1- Yes<br>2- No (skip to q. 36)   |
| 26 | How frequently has it broken down?                    | 1- Once a week<br>2- Once a fortnight<br>3- Once a quarter<br>4- Once in six months<br>5- Once a year |
| 27 | Is the public tap fixed promptly when it breaks down? | 1- Yes<br>2- No   |

**GO TO QUESTION 36**

Open well

- |    |  |  |
|----|--|--|
| 28 | How far (in meters) is the open well from which you get water?     | _____  |
| 29 | How long (in minutes) does it take to fetch water and return home? | _____  |
| 30 | Who fetches water most often?                                      | 1- Adult male<br>2- Adult female<br>3- Male child<br>4- Female child                               |
| 31 | What is the frequency of cleaning the well?                        | 1- Once in a quarter<br>2- Once in six months<br>3- Once a year<br>4- Not cleaned in the last year |

**GO TO QUESTION 36**

Household water supply (pipied)

- |    |  |   |
|----|--|---|
| 32 | What is the frequency of water supply?                                       | 1- 24 hour supply (skip to q. 36)<br>2- More than once a day<br>3- Once a day<br>4- Once in two days<br>5- Once in three days<br>6- Other |
| 33 | Is this frequency sufficient for your needs?                                 | 1- Yes (skip to q. 36)<br>2- No   |
| 34 | How often would you like to get water?                                       | 1- More than once a day<br>2- Once a day<br>3- Other  |
| 35 | On the days that you get water, how many hours do you usually get water for? | _____   |

**CONTINUE TO QUESTION 36**

Common Questions

- |    |  |                                 |
|----|--|---------------------------------|
| 36 | Is the quantity of water that you receive (from your main source of water) adequate? | 1- Yes<br>2- No                 |
| 37 | Is water available (from your main source) throughout the year?                      | 1- Yes (skip to q. 39)<br>2- No |
| 38 | Which months do you face scarcity? Multiple  | 1- January                      |

response	2- February 3- March 4- April 5- May 6- June 7- July 8- August 9- September 10- October 11- November 12- December
39 Generally, how does the water smell?	1- No smell 2- Foul smell
40 Generally, does the water have a taste?	1- Yes 2- No (tasteless)
41 Generally, what does the water look like?	1- Clear 2- Cloudy/ dirty
42 Do you pay for water?	1- Yes 2- No (skip to q. 45)
43 How much do you pay a month?	
44 Are the bills that you receive accurate?	1- Yes 2- No
45 Have you made a complaint related to your drinking water service in the past one year?	1- Yes 2- No (skip to q. 48 )
46 To whom did you complain?	
47 What was the result of the complaint?	1- Prompt action taken 2- Delayed action taken 3- No action taken
48 Overall, are you satisfied with your drinking water service?	1- Satisfied 2- Dissatisfied (skip to q. 50)
49 What is the extent of your satisfaction?	1- Complete (skip to q. 51) 2- Partial (skip to q. 5)
50 What are the reasons for your dissatisfaction? (list up to three)	
51 Have you paid a bribe for any service related to drinking water in the last one-year?	1- Yes 2- No (interview complete)
52 For what purpose have you most recently paid a bribe?	1- To get a connection/ to access water supply 2- To finish repair work 3- Other
53 How much did you pay?	
54 Was the bribe demanded (or did you pay on your own)	1- Demanded 2- Paid on my own
55 Did the work get done after paying the bribe?	1- Yes 2- No

**(Interview Complete)**

## **APPENDIX 13: Examples of Sampling Design**

### **A. MAJOR CITY: Bangalore, India 2003 Report Card**

Bangalore is a city of 6 million people. Approximately 20% of the City's residents live in slum dwellings. The Bangalore Mahanagara Palike, or the municipal corporation, has divided the city into three zones: East, South and West. The city is also split into 100 wards, or local political units. Town Municipal Corporations (TMCs) and City Municipal Corporations (CMCs) make up the political units in the suburban areas surrounding Bangalore.

Separate sampling plans were developed for general (non-slum) and slum households. Approximately 600 general and 800 slum households were interviewed to ensure an adequate number of responses. For the first time, sufficient sampling within each municipal zone was planned to allow for zone-wise analysis. A suburban sample of 600 was also selected with the goal of comparing service delivery between city and suburban areas.

For general households, 10 wards were identified in the west and south zones and 11 wards were selected in the east zone. Ward-wise data from the 2001 census was used to determine the number of households to sample in each ward. To identify which households to interview in each ward, the ward boundaries (for the 31 selected wards) were outlined on a street atlas of Bangalore. Each ward was further divided into areas and areas were selected for sampling. Within the selected areas, all of the streets were listed. A suitable proportion of streets in these areas were selected using random numbers.

For slum households, information from the Slum Clearance was used to generate a list of all of the slums in the City. The slums were listed and categorized by type of slum (undeclared, declared, notified, handed over to the BMP, resettled and identified) and by zone. Forty slums from the BMP area were selected. The number of households to interview in each slum (given the sample size of 800) was arrived at using Probability Proportionate to Size (PPS).

### **B. MEDIUM-SIZED TOWN: Bhubaneshwar, India 2004 Report Card**

Bhubaneshwar is the capital city of the Eastern state of Orissa in India. Approximately 40% of the city's more than 650,000 residents reside in 145 slums. A Southeastern railway track separates the eastern and western sections of the city; 17 wards fall in the east region and the west region consists of 30 wards.

Separate sampling designs and questionnaires were developed for slum and non-slum households. Non-slum households had an approximate sample size of 900. The slum sample size was over 630 households.

## **Non-slum/ General Households**

For non-slum households, the city was divided into the East and West regions. The sample size of approximately 900 households was split between the two regions according to the population of the region (335 households in East and 582 households in West). The Bhubaneswar Municipal Corporation supplied a list of the wards and the number of household in each ward. Within each region, the wards were arranged in descending order based on number of households and the cumulative frequency was calculated (% of households in a ward with respect to region).

To select the wards within each region, the total number of households for the region was divided by the sample size for the region. This calculation provided a reference household number ( $r$ ). Starting with the first ward in the list (the largest in the region), the ward with the  $r$ th household was selected, then the ward with the  $2r$  household, and then the  $3r$  household and so on, until approximately 20% of the wards in each region (6 from West and 4 from East) were chosen.

The number of households to sample within each selected ward was calculated by using Probability Proportionate to Size (PPS); the sample of 335 households in the East was distributed across the 4 selected wards and 582 households in the West was distributed across the 6 selected wards. By using PPS, the sample included more households from the larger wards and fewer houses from the smaller wards.

## **Slum Households**

Based on the Bhubaneswar Municipal Corporation listing, the 145 slums were divided into authorized (46) and unauthorized (99) slums. The study covers 10% from each category; 5 authorized slums and 10 unauthorized slums were selected. By applying PPS at total sample of 634 sample households (274 households from authorized slums and 360 households from unauthorized slums) were selected from the slum location of the City.

## Appendix 14: Probability Sampling Methods

### *Probability Sampling Methods*

#### *Random sampling*

- In this method, a sample from the population is randomly selected.
- Each unit of analysis in the population has an equal and known chance of being selected.
- To select the sample, each unit of analysis is assigned a number. Then numbers are randomly selected using
  - a table of random numbers
  - a computer random number generator
  - or some other device.
- This method is easy to carry out and explain to others.
- Representation from important subgroups may be missing.

#### *Systematic sampling*

- After calculating the required sample size, every Nth unit of analysis is selected from the listing of the population.
- As long as the list does not contain a hidden order, this sampling method has a similar sampling error to random sampling.
- The advantage of this method is simplicity.

#### *Stratified sampling*

- This method is used when the population of interest has subgroups or strata that have a low occurrence or that require separate analysis.
- Examples of strata are slum/non-slum households, males/females, households living above/below the poverty line, etc.
- The relevant strata and their proportion in the population must be identified.
- Within each stratum, the sample is drawn using random sampling.

## Appendix 15: Tips on Carrying Out the Pilot

### Pilot Exercise

Pre-testing the questionnaire in the form of a 'pilot survey' is a critical quality check. Piloting reveals problems with the wording and internal sequencing of questions, as well as the time taken per interview and gaps in the questionnaire. The time devoted to piloting and revising the questionnaire can significantly improve the quality of the survey instrument.

#### 1. Create a pilot team.

A pilot team of 2 or 3 individuals is ideal; one person can administer the questionnaire while the other two observe the process and note down their observations.

#### 2. Administer the questionnaire and note any problems.

The pilot exercise should include 10 to 15 interviews within the area where the actual survey is to be carried out.

A simple "problem/ no problem" rating can be used to evaluate questions. The pilot team should think about the length of the questionnaire, the respondent's comprehension of the questions, and the overall flow of the interview. Questions to keep in mind include

- Can the respondent easily understand the question?
- Can the respondent answer the question with the response options provided? Or should additional answer-options be provided?
- Are there open-ended questions that should be changed to closed-ended questions (or vice versa)?
- Are additional questions required to gather the desired information?
- Are there questions that can be deleted? Are there questions that are insensitive, irrelevant, or that fail to provide useful information for analysis?

Along with observing the respondent's problems with the questionnaire, the pilot team should observe shortcomings in the investigator instructions. For example, missing skip commands or unclear grids/formatting, should be noted.

#### 3. Debrief and Revise the Questionnaire

Following the pilot, a thorough debriefing of the interviewers is necessary. Each question should be reviewed to determine whether it should be revised, relocated or removed. When necessary, additional questions should be added. Again, resist the temptation to "pad" the questionnaire! Only include those questions that will provide data critical to the analysis and interpretation of findings.

## APPENDIX 16: Sample Investigator Rating

### Appendix 1.9: Investigator Rating Form

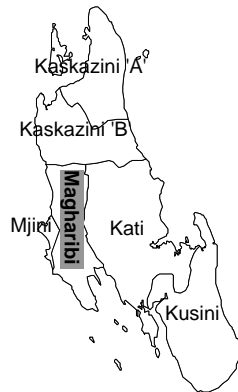
S. No.	Name of investigator	Age	Grasping Power (0-3 Rating)	Communication skills (0-3 Rating)	Attentiveness (0-3 Rating)	Personality (0-3 Rating)	Mock call (0-3 Rating)	Total Score (0-15)	Name of the Supervisor	Additional Remarks

**NOTE:**  
 Below Average 0  
 Average 1  
 Good 2  
 Very Good 3



## APPENDIX 17: Example of a Main Report

# **PARTICIPATORY SERVICE DELIVERY ASSESSMENT ON DRINKING WATER & PRIMARY EDUCATION IN ZANZIBAR**



## **A PILOT CITIZEN REPORT CARD**

**The Implementation Consortium**

## Foreword

This report presents the results of a Participatory Service Delivery Assessment Survey (PSDA) that was undertaken in the West District in Unguja and Chake Chake District in Pemba as a Pilot exploratory exercise. The results discussed in the subsequent sections reveal what such a survey can show when undertaken to get a glimpse of how beneficiaries evaluate the services. A more detailed analysis of the results can provide useful pointers and suggestions towards improvement of services, and more important, set in place a credible base for sustained dialogue between service providers and beneficiaries.

The survey provides new dimensions of beneficiary participation in evaluating the services they receive as stipulated in the Zanzibar Poverty Reduction Programme (ZPRP). The Ministry of Finance and Economic Affairs (MOFEA) together with the Association of NGOs in Zanzibar (ANGOZA) are delighted to report that the results provide a potent tool that can make a much focussed contribution to monitoring service delivery, especially to disadvantaged groups such as rural, urban periphery, women, children and the unemployed.

We wish, at this juncture, to express our gratitude to the United Nations Development Programme (UNDP) for providing the financial and technical assistance for the survey, the Office of the Chief Government Statistician (OCGS), the Consortium of NGOs and the external technical consultants, Public Affairs Foundation (India) for training and implementing this innovative pilot despite the busy schedule they have in their portfolios.

Our thanks also go to the members of the PSDA Steering Committee for providing the overall guidance in the implementation of the survey. They include Mr. J.Raphael (Permanent Secretary, MOFEA), Mr. Abdulhamid Yahya Mzee, Permanent Secretary, Ministry of Education, Culture and Sports, Mr. Yaseer D. Costa, Permanent Secretary, Ministry of Water, Construction and Land, Ms. Amina Kh. Shaaban (DPS MOFEA), Mr. Mohamed Hafidh, (CGS), Commissioner Yakout H.Yakout (MOFEA) and Ms. Mariam (ANGOZA).

Special thanks go to the PSDA technical experts for their diligent and committed work in all stages of execution of the survey, including data analysis and report writing. Also, particular thanks should go to Ms. Mayasa Mwinyi, Survey Coordinator (OCGS), who provided leadership and administrative support and Mr. Salum Kasim Ali and Mr. Abdulla Othman Makame who provided data processing expertise that led to the tables that have been presented and commented upon in this report.

Finally, we owe the results to all individuals, shehas, parents, children, enumerators and general public who offered wonderful cooperation and spared time to answer all our questions, numerous and probing as they have been. We thank in advance all those who will comment and make use of this report. We sincerely thank them all.

**MOHAMMED HAFIDH**  
*CHIEF GOVERNMENT STATISTICIAN (RGOZ).*

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## ***ABBREVIATIONS & ACRONYMS***

ANGOZA	Association of NGOs in Zanzibar
CBMIS	Community Based Management & Information System
CRC	Citizen Report Card
CSO	Civil Society Organisation
CWIQS	Core Welfare Indicators Questionnaire Survey
FGD	Focus Group Discussion
GCM	Grassroots Consultative Meetings
HBS	Household Basic Survey
IEC	Information, Education & Communication
M&E	Monitoring and Evaluation
MOFEA	Ministry of Finance and Economic Affairs
MTEF	Medium Term Expenditure Framework
OCGS	Office of the Chief Government Statistician
PAC	Public Affairs Centre
PAF	Public Affairs Foundation
PME	Participatory Monitoring & Evaluation
PMI	Participatory Monitoring Initiative
PORT	Policy Relevance Tests
PPETS	Participatory Public Expenditure Tracking System
PPERS	Participatory Public Expenditure Review Systems
PRSP	Poverty Reduction Strategy Paper
PRT	Poverty Relevance Policy Relevance Test
RGZ	Revolutionary Government of Zanzibar
TWG	Technical Working Group
UNDP	United Nations Development Programme
ZPRP	Zanzibar Poverty Reduction Programme

## **1. INTRODUCTION**

### **1.1 What is the Citizen Report Card?**

**T**he Citizen Report Card (CRC) is a simple but powerful tool to provide public agencies with systematic feedback from users of public services. CRCs elicit feedback through sample surveys on aspects of service quality that users know best, and enable public agencies to identify strengths and weaknesses in their work.

In the context of poverty reduction programmes, CRCs provide an empirical “bottom-up” assessment of the reach and benefit of pro-poor services. It serves to identify the key constraints that citizens (especially the poor and the underserved) face in accessing public services, benchmark the quality and adequacy of these services as well as the effectiveness of staff providing services. These insights help generate recommendations on sector policies, programme strategy and management of service delivery, to address these constraints and improve service delivery.

Citizen Report Cards entail a random sample survey of the users of different public services (utilities), and the aggregation of the users experiences as a basis for rating the services. CRCs also help to convert individual problems facing the various programmes into common sectoral issues. It facilitates prioritization of reforms and corrective actions by drawing attention to the worst problems highlighted. CRCs also facilitate cross fertilization of ideas and approaches by identifying good practices.

Citizen Report Cards provide a benchmark on quality of public services as experienced by the users of these services. Hence, they go beyond the specific problems that individual citizens may face, and place each issue in the perspective of other elements of service design and delivery, as well as a comparison with other services, so that a strategic set of actions can be initiated.

Report Cards capture citizens' feedback in simple and unambiguous terms by indicating their level of satisfaction or dissatisfaction. For example, the most basic but clear feedback that a citizen may give about the quality of drinking water supply in Zanzibar is total dissatisfaction. To appreciate this feedback, we must relate it to the ratings given to other dimensions by the same person. For example, adequacy of water supply may be rated worse than quality. When we look at these two pieces of information, we can conclude that quality of water supply may be a cause of dissatisfaction, but the priority for corrective action may be on providing adequate water supply. Hence

**measures of citizens' satisfaction** across different dimensions of public services constitute the core of Report Card studies.

Citizen Report Cards do not stop with mere measures of satisfaction - they go on to enquire into specific aspects of interaction between the service agency and the citizen, and seek to identify issues that emerge in connection with the same. In more simple terms, it suggests that dissatisfaction has causes, which may be related to the quality of service enjoyed by the citizen (like reliability of water supply, or availability of learning materials in a public school), the type of difficulty encountered while dealing with the agency to solve service problems (like complaints of water supply breakdown), and hidden costs in making use of the public service (special tuition fees to teachers or investments in filters to purify "drinking water"). Therefore we can see that Report Card studies go into different **aspects of performance in interfacing with citizens**, to provide indicators of problem areas in public services.

Report card studies are not merely a means of collecting feedback on existing situations from citizens. They are also a means for testing out different options that citizens wish to exercise, individually or collectively, to tackle current problems. For example, whether citizens were willing to pay more or be part of citizens' bodies made responsible for managing public water sources. Hence, Report Cards are also means for **exploring citizens' alternatives** for improvements in public services.

An important aspect of Report Cards is the credibility they have earned. The conclusions in a Report Card are not opinions of a few persons who think in a particular manner, nor the complaints of a few aggrieved citizens. The methodology involves systematic sampling across all subsections or segments of citizens - including those who are satisfied as well as the aggrieved - and presents a picture that includes all opinions. This is possible because the methodology makes use of advanced techniques of social science research, for selecting samples, designing questionnaires, conducting interviews, and interpreting results. As a result, the report cards provide **reliable and comprehensive** representation of citizens' feedback.

## **1.2 Outcomes of Citizen Report Cards**

The concept of citizen feedback surveys to assess the performance of public services is relatively new, and fast gaining wide acceptance. The responses to Report Cards indicate impact at four levels:

**Stimulating Reforms:** Report Card studies clearly brought to light a wide panoply of issues, both quantitative and qualitative that send strong signals to public service providers. The use of a rating scale permitted the respondents to quantify the extent of their satisfaction or dissatisfaction with

the service of an agency, as well as different dimensions of its service. The inter-agency comparisons that a report card permits make possible quantification and rankings, which demand attention in a way that anecdotes do not.

**Activating Stakeholder Responsiveness:** Many agencies used the Report Card findings as a diagnostic tool to trigger off further studies and internal reforms. These findings help senior leadership to monitor effectiveness of administration across wide areas, in a simple and direct manner, free of technical details. For administrators and planners, it provides insights into aspects of service delivery where greater care, supervision and investment may be required.

**Raising Public Awareness:** The Report Card findings are always placed in public domain, and disseminated widely through the media. Needless to say, specific findings and the novelty of the method used, make it useful and attractive for the media. Since issues of poor public service come up from time to time, the media as well as researchers link it to Report Card findings, and use the valid and reliable base for raising issues and proposing change.

**Mobilization of State - Public Partnerships:** Seminars and meetings are an integral part of disseminating Report Card findings, and involve both government officials and representatives of civil society organizations and NGOs. Report Cards gave this critical segment a handy tool to focus on issues of concern and stimulated them to move from anecdotal and subjective issues to facts and figures while requesting public service agencies for specific improvements in priority areas. It also provided these groups with an opportunity to understand the constraints under which service providers function, and explore options for community initiatives for problem solving.

In short, the insights derived from CRCs can shed light on the degree to which pro-poor services are reaching the target groups, the extent of gaps in service delivery, and the factors that contribute to any misdirection of resources and services. They help identify issues that constrain the poor from accessing and using the services, like availability, ease of access, quality, reliability and costs. CRCs also help to identify possible ways to improve service delivery by actively seeking suggestions from citizens. Finally, CRC findings help test from the citizens' point of view some of the policy conclusions reached in other analytical studies.

### **1.3 The Pilot Citizen Report Card in Zanzibar**

This pilot CRC project in Zanzibar was an attempt to explore international best practices in public service delivery reform. Being a pilot



project, the sector focus was limited to two critical public services (Drinking Water & Primary Education) and the universe to two districts (West District in Unguja and Chake Chake in Pemba). Though exploratory in nature, this exercise not only builds awareness and capacity in the stakeholders, but also offers diagnostic pointers to the concerned agencies to improve the quality of the services.

The project was initiated as part of the Zanzibar Poverty Reduction Programme (ZPRP). This component was implemented by a Consortium of local stakeholders consisting of representatives from the Ministry of Finance & Economic Affairs (MOFEA), the Office of the Chief Government Statistician (OCGS) and the Association of NGOs in Zanzibar (ANGOZA). Public Affairs Foundation (PAF), Bangalore, India provided technical assistance for the pilot project, which was funded by the United Nations Development Programme (UNDP).

Prior to the design and conduct of the survey, the Implementation Consortium carried out an assessment of the feasibility of CRCs in Zanzibar. Inputs from this assessment were used to draw the road map for the conduct of CRC.

### **1.3.1 Assessment of the feasibility of CRCs in the Zanzibar Context**

Experiences with CRCs, over the last nine years in different countries, suggest that the methodology is feasible and effective when the following five enabling conditions are in place:

- Concern for participatory processes in planning and administration at senior levels in government.
- Capacity within the community to articulate on collective problems and issues, without fear of strong retribution.
- Willingness of local service providers/local governments to discuss issues with communities, and examine suggestions those are within their scope for action.
- Interest in the higher levels of leadership in government to use the information generated through CRCs for performance management and planning.
- Capacity in local institutions to implement the field survey, and independent credible institutions to guide the advocacy and follow up actions with communities and government.

For the purpose of this Inception Report, the five enabling conditions were explored along the following dimensions:

**Table 1**  
**Assessment Matrix on Enablers for CRC in Zanzibar**

Dimension	Indicators
»» Concern for participatory processes within senior levels in government & donors	<ul style="list-style-type: none"> <li>- Recent initiatives on participatory processes</li> <li>- Donor support programmes</li> <li>- Meetings with senior government functionaries</li> </ul>
»» Capacity & tradition within the community to give open feedback	<ul style="list-style-type: none"> <li>- Existence of similar feedback surveys</li> <li>- Assessment from the user FGDs</li> <li>- Profile of work done by CSOs/NGOs</li> <li>- Assessment from meetings with NGO/CSOs</li> </ul>
»» Willingness of local governments/service providers to discuss issues	<ul style="list-style-type: none"> <li>- Assessment from provider FGDs</li> <li>- Recent policy initiatives/reforms</li> </ul>
»» Interest in higher levels of government to use CRC data for performance management	<ul style="list-style-type: none"> <li>- ZPRP policy papers</li> <li>- Recent policy initiatives</li> </ul>
»» Capacity in local institutions	<ul style="list-style-type: none"> <li>- Assessment from meetings with the Implementation Consortium</li> <li>- Review of work done in similar fields (CSO)</li> </ul>

**Concern for participatory processes:** Citizen Report Cards reflect the voice of citizens, and a willingness to treat it with seriousness in government will determine the degree of effective response. The whole spirit behind the drafting of the ZPRP, specifically the GCMs organized in December 2000 and the subsequent efforts like the implementation of a PMI for ZPRP, innovative governance structures for the ZPRP like the Stakeholders Forum and the IEC TWG and a concerted effort to generate datasets like the CBMIS, CWIQ etc reflect the commitment of the highest levels of government to participatory processes in planning and administration. These initiatives are, however, recent changes in the style of administration in Zanzibar, and it would take sometime for the spirit of participation to get translated into day-to-day practices in government. Meetings held with the Permanent Secretaries of the concerned sectors (Ministry of Drinking Water and Ministry of Education) and with the Principal Secretary, MOFEA confirmed the total commitment and support of the top leadership to the utility of CRCs in Zanzibar. These pointers indicate a critical willingness in top leadership to reach out and respond to

feedback from citizens, which would, in turn, is likely to be followed with a pressure on the rest of the system to respond in a similar manner.

**Capacity and tradition in the community to speak up:** The strength of a process like CRC depends heavily on the willingness of citizens to articulate their feedback on issues affecting their lives. The content and processes of the various stakeholder consultations held in the context of the design of ZPRP and also on identifying PME tools clearly reflect the willingness of citizens of Zanzibar to articulate their problems. This assessment was further corroborated by the two diagnostic FGDS organized as a part of this Inception Report in an urban and rural locale. In both these cases, diverse members of the community have voluntarily come forward and articulated freely on various issues pertaining to the delivery of drinking water and education services. In discussions within the Implementation Consortium some apprehensions were expressed on whether responses from certain regions know for its anti government stance would skew the objectivity of the information being collected. However, there is little to suggest that such feedback would be partisan, since the problems related to public service affect all sections and the probe will be focusing on service related issues and not on any individual. But this caution needs to be taken on board seriously and care must be exercised in designing the instrument as well as in training the investigators.

**Willingness of service providers to discuss issues:** The CRC provides a basis for communities to discuss local problems with the concerned agencies. Many of them may have already been involved in the participatory assessments and planning processes, but would not have gone into assessments of performance. But many of the services provided by the government face serious financial problems, and the main issue that citizens raise are regarding ease of access and cost. Hence, there is the likelihood of issues related to quality of service getting drowned by those of access and cost, in any dialogue. All the same, it is useful for communities as well as service agencies to distinguish between the two types of problems, and be able to address them separately. This dichotomy could be a source of tension in any discussion, and would need to be facilitated by an outside person or institution till it becomes an accepted practice.

**Interest in the higher levels of leadership in government to use the hard data:** The value of the CRC for the government is the credibility and specificity of its findings. It is only when senior leadership in government makes use of this data for performance management and reviewing policy impacts, that it gets owned within the administration. Such systematic performance management would come out of an enlightened leadership or from administrative systems that call for such analysis as a matter of routine. There is little evidence in the meetings that hard data is monitored on a routine basis for decision-making. However, given the willingness of the RGZ to introduce and practice modern methodologies, it would be possible for

higher levels of leadership to start using the CRC findings. It was particularly encouraging to see the Principal Secretary, Ministry of Water, Land and Construction articulate strongly on the need to incorporate user feedback mechanisms as a key monitoring tool to review internal operations.

**Capacity in local institutions:** It is evident that the long-term sustainability of CRCs depends heavily on local institutions. Local capacity is required to design and carry out the survey, which could be available with market research companies or academic institutions in many countries. In the case of Zanzibar, there is a visible gap of such local capacities to design and implement CRC type of studies. There is no major experience with surveys and the quality of reliable and timely databases is poor. The OCGS has emerged as the lead survey research agency in Zanzibar, thanks largely to its autonomous profile and strong efforts at professionalization. However, the OCGS is severely hampered by lack of good data analysts and lack of contemporary data analysis applications. However, the team of young professionals at OCGS is quite committed and willing to learn new techniques and tools. The civil society in Zanzibar is quite nascent and has not emerged as effective countervailing entities. ANGOZA the umbrella organization of NGOs in Zanzibar, has about 50 active members and enjoys strong credibility with the government. ANGOZA is increasingly being consulted on key policy issues, including the recent Labor Policy Review. However, ANGOZA has yet to emerge as a powerful “voice” representing the civil society. Given these overall limitations, it may take some time for these institutions to use new tools like CRCs on their own, without technical assistance in the initial stages. However, the current opportunity should provide a fast track for learning and internalizing these tools.

The rest of this report is presented along the following format: *Section 2* discusses the key findings from the two sectors - Drinking Water & Primary Education, and the *Appendix* discusses the sample design and methodology. A companion volume is also prepared to help the reader get acquainted more with the rationale, methodology and applications of Citizen Report Cards.

## 2. SECTOR FINDINGS

### 2.1 DRINKING WATER

The Government of Zanzibar recognises the link that exists between poverty reduction and improved water supply services. In the ZPRP 2002, water is regarded as a fundamental component of the plan. A significant step in this direction has been the development of the Draft Water Policy, which was approved by the Cabinet on December 31, 2003. The Draft Water Policy provides guidance on a number of issues like pricing, equitable allocation, private-public partnerships, gender awareness and mainstreaming, use of appropriate technologies and design of new institutional and regulatory frameworks.

#### *What is the reach of Govt. pipe water supply?*

- The Department's pipe water supply reaches about 77% of households. The reach is better in West District (86%) compared to Chake Chake (64%).
- Common public taps are reported as the single most used source of drinking water in the survey (43%), followed by household pipe connection (34%).

**Table 2**  
**Distribution of Households by Main sources of Drinking Water**

*(All figures in percentages)*

Normal Water Source	Total	West District	Chake Chake
Household Pipe	34	38	28
Common Public Tap	43	48	36
Boreholes within the house	01	02	0
Boreholes outside the house	02	02	0
Protected well	02	02	02
Unprotected well	12	01	<del>29</del>
Others	06	07	05

- Access to common public taps is quite good with 90% of users reporting the availability of a common public tap within 300 m from their residences; 78% of users report that it takes them less than 10 minutes to reach the source.
- However, access to unprotected wells (the second most used common public water source) is a matter of some concern, as more than one-third of the users report the availability beyond 300 m from their residences; 60% of the users report taking more than 10 minutes to reach the source.

**Table 3**  
**Access to Common Public Water Sources**

(All figures in percentages)

Water Source	Access Parameters					
	Distance			Time taken		
	<100 m	100-300m	>300m	<10min	10-20	>20min
Common Public Tap	65	25	10	78	19	03
Boreholes outside the house	66	07	27	73	27	0
Protected well	41	45	14	78	22	0
Unprotected well	24	45	<b>31</b>	40	<b>56</b>	04

- Among those using common public taps, a larger proportion of households in West District had to travel more than 300 m (14%) as compared to users in Chake Chake (2%).
- The reason for people not having household pipe connection varies. The main reasons are “cannot afford” (54%) and “no supply in the area” (21%). Reasons such as “non-reliable water supply” were quoted only by a very small segment (8%).

**Table 4**  
**Why people did not opt for Government Household Connection**

(All figures in percentages)

Reasons	Regions Together			West District			Chake Chake		
	Total	Male	Female	Total	Male	Female	Total	Male	Female
No supply in the area	21	22	19	14	16	06	<b>30</b>	30	31
Cannot Afford	54	51	63	60	56	<b>78</b>	46	45	51
Non reliable water supply	08	08	03	10	11	06	04	05	-
Others	17	19	15	16	17	10	20	20	18

- The issue of no supply in the area was quoted by one-third in Chake Chake as compared to 14% in West District. Non reliable water supply was more often given as a reason in West District (11%) rather than Chake Chake (5%).
- Women headed households however indicated affordability as a more important issue (63%) as compared to male headed households (51%)

### *How does the rest manage?*

- Most people who don't have access to Department's water supply depend on unprotected sources (18%) such as wells. This dependence on unprotected sources is a bigger issue in Chake Chake (34%).
- The main demographic group who have no access to Department water supply are farmers. Over a quarter (26%) of farmer households depend on unprotected wells for drinking water.
- Almost 60% of all users of common public water sources had to make more than 5 trips to the source to collect drinking water for their use at home. This proportion is marginally higher for Chake Chake (64%) as compared to West District (56%).
- Those depending on unprotected wells travel greater distances to collect water; (31%) travel more than 300 m to collect water from this source as against (10%) for common taps.

### *Who collects the water from alternate sources?*

- Adult females and girls are the two groups reported to be regularly fetching water for the household. Very few cases of hired labour are reported.
- Among those who fetch water from a source located beyond 300 m from the place of residence, adult females and girls constitute 49% (single largest group). This proportion increases marginally during times of scarcity 52% - also, the single largest group.

### *How difficult is it to secure a domestic piped water connection?*

- Very few respondents (6%) reported facing problems at the time of getting a household piped water connection. However, a relatively higher proportion (13%) report facing problems while using the household piped water connection.

### *How do people find the quality of public water supply?*

- Most users (94%) of services of the water department found it easy to secure a domestic piped connection.
- While more than half of them get water supply every day, it is in West District (77%), that daily supply is more reported than Chake Chake (31%).



**Table 5**  
**Frequency & Duration\* of Household Piped Water Supply**

*(All figures in percentages)*

Frequency	All the regions				West District				Chake Chake			
	T	<5	5-10	10>	T	<5	5-10	>5	T	<5	5-10	>10
Daily	61	02	10	88	76	02	11	87	31	03	-	97
Alternate Days	11	22	13	65	07	31	17	50	19	14	10	76
Once in 3 days	07	13	22	65	04	11	22	67	12	14	22	64
Don't know	21	31	29	40	13	48	14	38	38	19	39	42

*\*Duration is depicted along three intervals - less than 5 hours, 5-10 hours and more than 10 hours*

- Majority (61%) of the respondents reported getting daily supply of piped water. 88% of those receiving daily supply of piped water report more than 10 hours of availability.
- However, access to unprotected wells (the second most used common public water source) is a matter of some concern as more than one-third of the users report the availability beyond 300 m from their residences; 60% of the users report taking more than 10 minutes to reach the source.
- Seventy percent of respondents report that the water supplied through household piped connection is adequate to meet their requirements; this proportion is slightly low in Chake Chake with only 59% reporting in the affirmative.

***How do people cope with seasonal scarcity?***

- One in two respondents experience seasonal scarcity (51%) of which 41% were compelled to shift their regular sources of drinking water supply. This proportion (shifting the sources) is higher in Chake Chake with 56% of the respondents reporting in the affirmative; the corresponding figure for West District is 37%
- Users of household connection experienced greater scarcity (53%) as compared to those using common taps (49%). However, highest scarcity was experienced by users of unprotected wells (62%). Scarcity among users of household pipe connections and unprotected wells was significantly high in Chake Chake (62%).



**Table 6**  
**Proportion of Households Experiencing Scarcity (by Source of Water)**

*(All figures in percentages)*

Source of Normal Use	All regions together		West District		Chake Chake	
	Total users	% reporting scarcity	Total users	% reporting scarcity	Total users	% reporting scarcity
Household Tap	34	53	38	43	28	69
Common Tap	43	49	48	49	36	48
Borehole within house	01	06	02	06	0	-
Borehole outside house	02	33	02	33	0	-
Protected well	02	43	02	13	02	N too small
Unprotected well	12	62	01	N too small	29	62
Others	06	46	07	34	05	65

➤ The response to scarcity offers some very interesting findings. Most households experiencing scarcity move to unprotected wells during this period. Twenty eight percent households with tap connections and the same proportion using common taps, and 86% using un-protected wells move to other unprotected wells during this period. The other key support systems are the common tap; 22% of household tap connections and 30% common tap connections move to other common taps during this season. Protected wells also provide an important support system for 12% of household tap users and 22% of common tap users during periods of scarcity.

**Table 7**  
**Transitions in Drinking Water Sources during Scarcity (by Source of Water)**



*(All figures in percentages)*

Source during normal times	Source During Scarcity Times						
	Piped Water	Common Taps	Boreholes outside	Boreholes inside	Protected well	Unprotected wells	Others
Piped water	03	22	01	04	12	28	30
Common taps	-	30	N too small	N too small	22	28	20
Boreholes outside							

Boreholes inside	Number of observations too small to draw conclusions						
Protected wells	-	-	20	-	60	-	20
Unprotected wells	-	09	-	-	N too small	86	N too small

- This transition during scarcity periods is not easy. 26% of household collect water from a distance of over 300 m during a scarcity season as against 15% during normal conditions.

*How reliable is the public water supply system?*

- Breakdown in water supply is a problem that confronts many households; 21% report breakdowns at least once a month. Regional profiles show a big variation with 32% of users in Chake Chake reporting breakdowns at least once a month as compared to 16% in West District.

Table 8

**Proportion Reporting Breakdowns at least Once in a Month**

*(All figures in percentages)*

Source of Water	Total	West District	Chake Chake
All sources	21	16	32
Piped Water	20	14	33
Common Tap	21	16	31

- 70% of these problems are attended to within a week’s time. However, problem resolution within a week is marginally lower in Chake Chake (60%).
- In case of any problems with public water sources, more than one third of the users (37%) report that they prefer not to contact any official; 28% prefer the officials of the water department and 9%, private technicians as the first point of contact in case of any complaint.

*How satisfied are the people with the public water supply system?*

- A much higher proportion of users of household piped connections (82%) and common public taps (82%) express satisfaction with the quality of water as compared to the users of common boreholes (52%) and other public sources (66%).

- However, the satisfaction scores drop when it comes to the quantity of water available from different sources. While, 71% and 74% of the users of household piped water and common taps express satisfaction with the quantity of water they receive, the comparative proportion for common boreholes is only 52%. The most significant drop is in the case of other public sources (of which unprotected wells are a major source) where only 32% of users report satisfaction.

**Table 9**

**Satisfaction of Users with Quality & Quantity of Water**

*(All figures in percentages)*

Source of Water	Water Quality		
	<i>Satisfied</i>	<i>Dissatisfied</i>	<i>Don't Know/CS</i>
Household Tap	82	17	01
Common Taps	82	18	-
Common Boreholes	52	48	-
Other Public Sources	66	33	01
Water Quantity			
Household Tap	71	29	-
Common Taps	74	26	-
Common Boreholes	52	48	-
Other Public Sources	32	65	03

- Satisfaction with the quality of water from household taps and common public taps is quite high with 82% each. Common boreholes are, however a cause for concern as almost half of the users are dissatisfied. Surprisingly, quality of water from other public sources, of which unprotected wells form a significant proportion, is high at 66%.
- Across regions, dissatisfaction with the quantity of water supply through household piped connection is significantly higher in Chake Chake (42%) as compared to West District (22%). Similarly, 64% of the users of other public water sources in Chake Chake expressed dissatisfaction with the quantity of water as compared to 36% in West District.

**Table 10**

**Levels of Satisfaction with Quality & Quantity of Water**

*(All figures in percentages)*

Level of Satisfaction	Total	West District	Chake Chake
<b>Quality of Water (Household Connection)</b>			
Strongly Satisfied	56	<b>65</b>	40
Satisfied	26	20	37
Dissatisfied	09	06	16
Strongly Dissatisfied	09	09	07
<b>Quantity of Water (Household Connection)</b>			
Strongly Satisfied	48	57	32
Satisfied	21	21	26
Dissatisfied	14	10	19
Strongly Dissatisfied	16	12	<b>23</b>
<b>Quality of Water (Common Taps)</b>			
Strongly Satisfied	61	64	57
Satisfied	21	20	28
Dissatisfied	08	05	11
Strongly Dissatisfied	10	11	04
<b>Quantity of Water (Common Taps)</b>			
Strongly Satisfied	55	56	54
Satisfied	19	16	23
Dissatisfied	13	14	17
Strongly Dissatisfied	13	14	06
<b>Quality of Water (Other Public Sources)</b>			
Strongly Satisfied	24	38	21
Satisfied	34	38	32
Dissatisfied	17	07	20
Strongly Dissatisfied	25	17	27
<b>Quantity of Water (Other Public Sources)</b>			
Strongly Satisfied	22	30	21
Satisfied	20	34	15
Dissatisfied	29	16	33
Strongly Dissatisfied	29	20	<b>31</b>

- Clearly scarcity has an impact on satisfaction with the quantity of water received from public sources. 95% of the dissatisfied respondents with household taps were the ones experiencing severe scarcity. This factor has marginally less, yet highly significant impact on dissatisfaction with common taps since 82% of the households dissatisfied with common taps also reported scarcity.

### *How involved is the community in maintaining the common water sources?*

- 58% of the users of common public water sources report that they are involved in the maintenance of these assets. 44% of the involvement comes in the form of financial contributions, while 20% come as physical labour; 36% contribute both physically and financially. Community involvement of common public water sources is found to be relatively higher in Chake Chake (65%) as compared to West District (55%).

### *How willing are people to pay for better drinking water services?*

- 65% of all users of public drinking water facilities reported that they were willing to pay more if better services are assured; the amount people are willing to pay per month is Tsh. 1000 (median) with 91% quoting monthly remittance as the preferred timing.
- The proportion of users reporting willingness to pay is significantly higher in West District (72%) as compared to Chake Chake (52%).

### **SUGGESTIONS FROM CITIZENS**

- ▶▶ More public standpipes (Common Taps) in the rural areas
- ▶▶ Repair / replace main water lines to control leakages
- ▶▶ Check / penalise illegal connections through appropriate laws
- ▶▶ Need to minimise water connection charges
- ▶▶ Special attention towards rural areas during scarcity times
- ▶▶ Need for regular consultations with people to resolve problems
- ▶▶ Timings and duration of water supply (household taps) should be notified in advance to the users (especially, in rural areas)
- ▶▶ Charge use of water and link payments to minimum standards
- ▶▶ Public need to be made aware of the duties & responsibilities of the officials of the Department of Water

## 2.2 PRIMARY EDUCATION

The overall objective of ZPRP in the education sector is to provide relevant and quality education at primary, secondary levels as well as adult education targeting the poorest groups. The three specific objectives in this sector are: (a) raise school enrolment and attendance ratios (b) improve the quality of education in rural and urban schools and (c) develop curriculum which is responsive to the need of the primary school children.

### *What is the reach of the government schools?*

- 97% of the children going to primary schools attend a government primary school.
- 2% of the children in the sample have dropped out of the school; there are no significant variations in drop out rates across male and female children.

**Table 11**  
**Educational Status of Children in the Primary School Going Age**

*(All figures in percentages)*

Status	Total			West District			Chake Chake		
	Total	Male	Female	Total	Male	Female	Total	Male	Female
Attending	86	86	87	89	89	90	82	82	82
Dropped out	02	02	02	02	02	02	03	03	02
Never Attended	12	12	11	09	09	08	15	15	16

- A noticeable segment of children from sample households have not attended the schools (12%). There is no significant variation between proportions of female children who have never attended school as compared to male children. However, when we look at variations across regions, the proportions are slightly more in Chake Chake.
- However, a relatively higher number of children who have dropped out come from female headed households (3.8%) as compared to male headed households (2.6%). Dropout rates are marginally higher in Chake Chake (2.7%) as compared to 1.9% in West District.
- The single most quoted reason for the child not being in school was lack of interest (14%).

- A large proportion of children (45%) can access a primary school within a distance of 1 km from their homes. Another 42% report having a primary school between 1 and 2 kms from their homes. A larger proportion of children in Chake Chake (17%) report availability of a primary school beyond 2 kms from their homes as compared to 10% in West District.

**Table 12**  
**Access to Primary Schools**

*(All figures in percentages)*

Distance	Total	West District	Chake Chake
< 1 km	45	42	49
1-2 kms	42	48	34
> 2 kms	13	10	17

*How do people find the quality of primary education?*

- The attendance of children, as reported by their parents, is very regular (98%).
- The attendance of regularity of teaches has an important impact on the quality of education. The survey indicates that regularity of teachers in Government Primary Schools is of high order (91%).
- Facilities such as free textbooks and free notebooks are available to only a small proportion of users (35% & 3% respectively). Inadequate supply of free textbooks seems to be a major issue in West District with only 28% reporting availability of free textbooks as against 44% in Chake Chake.

**Table 13**  
**Availability of Free Textbooks & Free Notebooks**

*(All figures in percentages)*

Entitlements	Total	West District	Chake Chake
Free Textbooks	34	28	44
Free Notebooks	03	03	02

- The quality of facilities like playgrounds, furniture, toilets and libraries are also an important factor for enabling good schooling. While toilets are widely available (97%), libraries (34%) are reported to be rarer. Non-

availability of libraries seems to be a big issue in Chake Chake (with just 8% of respondents reporting availability) as compared to 50% in West District.

- Two-thirds (66%) of respondents reported that school committees are functional. This proportion was higher in West District (74%) as compared to Chake Chake (54%).
- The preferred point for complaints, in case of issues, is the class teacher (58%) followed by the school head teacher (39%); class teachers are however more preferred in West District (62%) as compared to Chake Chake (54%).

***What are the costs incurred in sending children to a Primary School?***

- 98% of households report paying regular contributions towards children’s education. On an average, families with children going to Government Primary Schools make monthly contributions of about Tsh. 289. A major proportion of these contributions go to the building fund (58%), about one fourth (25%) towards teaching aids and a small proportion (5%) towards school furniture. A larger proportion in West District (63%) contributes towards building fund compared to 52% in Chake Chake. However, very few have contributed to school furniture in Chake Chake (<1%).

**Table 14**  
**Purposes for which Contributions are made**

*(All figures in percentages)*

Purpose of contributions	Total	West District	Chake Chake
School Building Fund	58	63	52
Procurement of furniture	05	10	01
Buying teaching aids	25	11	30
Others	12	06	17

- A majority of these contributions were demanded by the school authorities (61%), as compared to 38% who made voluntary payments. The proportion reporting forced contributions is higher in Chake Chake (64%) as compared to West District (59%).



**Table 15**  
**Type of Contributions made**

*(All figures in percentages)*

Type of contributions	Total	West District	Chake Chake
Voluntary	38	40	34
Demanded by authorities	61	59	64
Cannot Comment	01	01	02

- A small percentage (14%) of primary school going children attends private tuitions. Two major reasons why children took up private tuitions were: insistence of teachers (18%) and inadequate coverage of syllabus (17%). However, interesting variations can be observed across the two regions. While inadequate coverage of syllabus was quoted as the major reason in West District (24%), 30% from Chake Chake went for private tuitions because the teacher insisted on this.

***How satisfactory are the parents with Primary Education?***

- While the satisfaction with the behaviour of teachers (88%), school building (86%) and quality of teaching (82%) were very positive, it declined significantly in relation to recreational facilities (21%) and quality of study materials (37%). While more than half of the respondents (55%) indicated high satisfaction with the behaviour of teachers, 4% expressed strong dissatisfaction. In contrast, only 11% were completely satisfied with recreational facilities and 41% were strongly dissatisfied.

**Table 16**  
**Satisfaction of Parents with Primary Education**

*(All figures in percentages)*

Indicator	Feedback		
	<i>Satisfied</i>	<i>Dissatisfied</i>	<i>Don't Know/CS</i>
School Building	86	14	-
Recreational Facilities	21	57	22
Quality of teaching	82	09	09
Quality of study materials	37	38	25
Behaviour of Teachers	88	04	08
Adequacy of Teachers	65	12	23

- Surprisingly, large proportions of the parents were unable to comment on the quality of study materials, adequacy of teachers and quality of recreational facilities.
- From an educational policy point of view, it would be important to note that 19% of the responses indicated strong dissatisfaction with study materials (see table next page).
- Some regional variations are observed (see table below). Although, dissatisfaction with the availability of teachers is relatively low (16%), this was more pronounced in West District (20%) as against 10% in Chake Chake.

**Table 17**

**Levels of Satisfaction with Primary Education**

*(All figures in percentages)*

Level of Satisfaction	Total	West District	Chake Chake
<b>School Building</b>			
Strongly Satisfied	48	45	35
Satisfied	38	32	36
Dissatisfied	11	16	22
Strongly Dissatisfied	03	07	07
<b>Recreational Facilities</b>			
Strongly Satisfied	14	18	07
Satisfied	14	17	08
Dissatisfied	52	49	59
Strongly Dissatisfied	20	16	26
<b>Quality of Teaching</b>			
Strongly Satisfied	54	58	46
Satisfied	36	31	45
Dissatisfied	08	09	07
Strongly Dissatisfied	02	02	02
<b>Quantity of Study Materials</b>			
Strongly Satisfied	28	36	11
Satisfied	23	21	27
Dissatisfied	33	27	43
Strongly Dissatisfied	16	16	19
<b>Adequacy of Teachers</b>			
Strongly Satisfied	44	48	38
Satisfied	40	32	52
Dissatisfied	12	15	09
Strongly Dissatisfied	04	05	01
<b>Behaviour of Teachers</b>			
Strongly Satisfied	60	64	52
Satisfied	34	29	43
Dissatisfied	04	05	03
Strongly Dissatisfied	02	02	02

### **SUGGESTIONS FROM PARENTS**

- ▶▶ More classrooms need to be constructed to reduce over crowding
- ▶▶ Urgent need to increase school furniture like desks & benches
- ▶▶ Need to minimise contributions in government schools - implement the concept/policy of free primary education
- ▶▶ Need to protect school buildings by fenced enclosures
- ▶▶ Need to retain experienced teachers in schools - especially, in rural areas
- ▶▶ Need for regular health check ups for students
- ▶▶ Village development committees should focus more on the education needs in rural areas
- ▶▶ School committee members should have at primary education at least primary education
- ▶▶ Duration of school terms should be reviewed and revised
- ▶▶ Need for motivational campaigns to educate people on the importance of education
- ▶▶ Strict terms to be laid down prohibiting students and teachers from not involving in politics
- ▶▶ Need for extra support to weak students - designated teachers to help out students during after class hours
- ▶▶ Need to have first aid facilities in schools to emergency treatment

## 2.3 SUMMARY & KEY POINTERS

### Relevance of the Participatory Service Delivery Assessment

The findings and interpretations from the pilot survey confirm that the PSDA can be applied to initiate focussed efforts to improve public services in Zanzibar. More specifically, this exploratory intervention highlights that:

- ➔ Credible and focussed feedback on service quality can be generated through this process
- ➔ User feedback draws attention to key aspects of service delivery that need to be addressed
- ➔ The Citizen Report Card is seen as a doable good practice by the Government of Zanzibar
- ➔ The Focus Group Discussions and the User Feedback Survey had the participation and cooperation from all segments of the population, including the poor
- ➔ Local institutions, within the government and outside, have gathered adequate capacity and experience to carry out most of the tasks involved in the design and conduct of the PSDA
- ➔ The approach can be repeated to benchmark and monitor service improvements over time
- ➔ The process can be adapted to other services and can serve as an impetus for focussed reform.

### Drinking Water Sector

- ➔ Most residents in the two districts are being served by the Department of Water, either through household taps or common taps. There are however, regional variations in the extent of reach with the West District reporting a higher level of access to household piped water supply and supply trough common taps.
- ➔ Wherever piped water supply is available, it is quite easy to get a household connection. However, many households continue with common taps and other public sources because they cannot afford a household connection; larger proportion of women headed households find affordability a major impediment in accessing a household connection.
- ➔ The task of fetching water from public sources is quite demanding (average of 5 trips), and the burden is mainly on women and girls.
- ➔ Most of the households who are not served by the Department of Water depend on unprotected wells. The biggest segment among them is farmers.

- Nearly two-thirds of these households (who do not have access to Government water supply) use other public sources because they cannot afford a household connection, while most of the rest do so because there is no supply in their area.
- Most of the users of other public sources travel greater distances than households using common taps, to fetch water. This burden falls mainly on women and girls.
- The quality of services provided by the water is reported to be quite good, according to the feedback from the users of household piped water connections and common taps.
- There is a wide variation in the daily availability of water from household taps across the two regions; West District reports much better availability. The same holds true for the adequacy of water to meet daily requirements, a larger proportion of users in the West District find the quantity of water supplied through household taps adequate.
- Reliability of government water supply is a matter of some concern. Breakdowns are less frequent for common taps.
- A majority of the users of household taps and common taps are satisfied with the quality and quantity of water they receive. However, dissatisfaction with the quantity of water is relatively higher in Chake Chake.
- Almost all dissatisfied users of household connections were those who experienced seasonal scarcity.
- A majority of users of government water supply were willing to pay more if they were assured better services; the median value was Tsh. 1000 per month.
- Over half of the population face seasonal water scarcity, including those with household connections. The highest level of stress experienced in the regard is among the users of unprotected wells.
- Households served by the Department of Water respond to scarcity by moving to common taps or unprotected wells in equal measure. For the rest, the only alternative is to move to other unprotected wells which have not gone dry.
- The implication is not just a case of unsafe water - a larger proportion of women and girls travel greater distances to fetch water during this season.
- Feedback from this survey has important policy implications for improving the quality of services.

- Extending the reach of water supply network to the rest may face cost issues and technical constraints, given that many among them are farmers whose locations may be scattered. The area where this may be more required is Chake Chake.
- A high priority may be accorded to increasing the coverage under household piped connections so that the burden of fetching water which now falls on women and girls can be reduced. Alongside, the issue of affordability need to be addressed through a mix of motivation and targeted subsidies.
- The biggest challenge however, is in addressing the issue of scarcity. An important part of this challenge is in improving the safety of wells which are extensively used in times of scarcity. Any investment in this will benefit many households.
- The willingness of users to pay for better services need to be examined closely. Steps could be initiated to move to a fee based system that could improve service quality and efficiency.

## Primary Education

- Government Primary Schools support the bulk of the need in the two districts.
- About half of the children going to Government Primary Schools report access within one Km from the place of residence.
- Interestingly, one out of six children in the age group 7-15 years were reported to have never attended school. Whether this reflects a case of late entry into the schools needs to be probed.
- Regular attendance of children is reported. But parents perceive that attendance of teachers is slightly lower.
- Incentives like free textbooks do not seem to reach all households; only a third of the households report availability of the same. This issue seems to be more acute in the West District.
- Toilets, a basic facility, especially for girl children, are reported to be available at almost all schools.
- However, libraries in schools are rare, especially in Chake Chake.
- Most households are satisfied with the teachers and the quality of teaching.

- ➔ However, high proportions of parents are dissatisfied with the quality of study materials and recreational facilities.
- ➔ There seems to be a small degree of dissatisfaction with the availability of teachers in the West District.
- ➔ Most parents make contributions towards school building and classroom materials.
- ➔ While half of them paid these contributions voluntarily, the rest was demanded.
- ➔ School committees are generally reported to be functional, especially in the West District.
- ➔ Feedback from the survey has a few pointers for policy initiatives.
- ➔ The gap in enrolment or delay in school enrolment may be actively addressed through motivational campaigns
- ➔ Wider awareness among parents about free textbooks, as well as closer monitoring of distribution of books, would be of help to poorer households.
- ➔ Support facilities like libraries would benefit significantly from attention and investment
- ➔ The availability of teachers may be examined and monitored more closely, in case the feedback is to be treated as an early warning signal.



## Appendix 1: The Survey Methodology & Approach

User feedback as a basis for monitoring and assessing public services is a relatively new phenomenon. It has been in vogue in the business world for a much longer period than in the public sector. In the developed countries, there are some examples of governments seeking user feedback on their services and programmes<sup>29</sup>. In developing countries, however, there are hardly any examples of governments adopting this approach. The few initiatives in developing countries have come from civil society organisations such as the Public Affairs centre (PAC) that pioneered the 'report cards' on urban services<sup>30</sup>. PAC has used its report cards not only to create public awareness, but also to advocate policy and governance reforms.

### *Scope & Coverage of the Zanzibar PSDA*

This pilot PSDA involved a sample survey of households in two districts - Djini Magharibi (West) in Unguja and Chake Chake in Pemba. The selection was purposive since the districts exhibited both urban and rural characteristics and also captured regional variations. Within these two districts, 35 Enumeration Areas (EAs) were selected - 21 from Djini Magharibi and 14 from Chake Chake. Twenty nine households were selected from each EA, yielding a total sample of 1015 households - 609 in Djini Magharibi and 406 in Chake Chake.

Two sectors were identified for this pilot intervention - Drinking Water & Primary Education. These sectors were identified in light of the extensive role of the government in providing these services and the willingness of the sectors to participate in this exploratory exercise.

### *Field Instruments*

Two distinct field instruments were employed - the Listing Form and the Survey Instrument. The Listing Form determined the frame for selecting the households for the survey; households with children between the age group of 7-15 years were identified in this process, carried out during December 8-10, 2004. The final sample universe was randomly generated from this list.

The Survey Instrument had three sections (see Appendix 2):

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<sup>29</sup> Samuels, M (1998): *Towards Best Practice: An Evaluation of the First Two Years of the Public Sector Benchmarking Project 1996-98*, UK Cabinet Office (Office of Public Service), London.

<sup>30</sup> Goetz, A M and J Gaventa (2001): *Bringing Citizen Voice and Client Focus into Service Delivery*, IDS Working Paper 138, Institute of Development Studies, Brighton.

- Identification section (*location, details of interview*)
- Socio economic profile (*age, gender, educational status*)
- Feedback on services (*access, use, quality, costs, reliability*)

### *Defining the Parameters for the Probe*

Access refers to the proximity of the service facility to the household or the user of the service. Government norms for access often tend to be based on population criteria. For example, the location of primary health centres is based on population norms. But from a user perspective, it is the distance or nearness to the facility that matters most. The adoption of this approach in the present study will yield results that are different from the application of government norms. Sometimes, the service infrastructure may exist somewhere in the proximity of the user, but the service may not be available in a convenient manner, making access nominal. Therefore, from a user perspective, it is effective and easy access that matters.

Use of a service tells us whether a household actually utilises a public service. In a monopoly situation, access and use may be identical. But when other options are available, people may prefer to use facilities other than the government's. The reasons for such choices could be many, but this study does not probe them in depth. The interest here is only to ascertain whether people tend to use a public service facility once it is accessible.

Quality/reliability is a more complex dimension of a service from the standpoint of measurement. It refers to the features of a service that are not self-evident from the physical good or infrastructure involved. Households may not be able to observe or assess all such features, especially the technical aspects of quality. But they can comment on other important aspects of quality. One such is the reliability of a service. The user of a service, for example, may find the processes and interactions with the service provider (predictability, responsiveness, corruption, etc) unsatisfactory. He/she then may attribute low quality or reliability (an aspect of quality) to that service.

A major innovation of CRCs is in quantifying subjective experiences like satisfaction which reflects the overall assessment of a service by the user, based on his/her experience. In this assessment, the person implicitly brings in his/her expectations or standards that in turn may also be influenced by the past experience of others in the community, one's educational level and awareness of the working of government. Given the low levels of education, income and mobility of the people in the Zanzibarian context, it is likely that their expectations from services are more modest in contrast to those of people in more developed countries. Irrespective of how a person arrives at his/her assessment of satisfaction, it is an internal assessment on which he/she may act. Admittedly, satisfaction reflects personal judgements of users and

can be measured only through the information provided by them. In this study, a two-stage approach for measuring satisfaction has been adopted. Users are first asked whether they are satisfied or dissatisfied with a service or certain dimensions of it. Depending on the answer, they are probed further and asked whether they are strongly (fully) satisfied or dissatisfied. Thus the user feedback on satisfaction may fall into one of four categories: fully satisfied, partially satisfied, partially dissatisfied and fully dissatisfied.

### *Training for Local Capacity Building*

A major emphasis of this exploratory PSDA was on building local capacity to design and conduct similar studies in future. In line with this, a capacity building workshop was organised for 30 participants by experts from the Public Affairs Foundation during December 24-29, 2004. The workshop had representation from the following groups:

- 3 members from the Ministry of Finance and Economic Affairs
- 10 members from the Office of Chief Government Statistician
- 13 members from the Consortium of NGOs
- 2 members from the Information, Education and Communication(IEC) Technical Working Group
- 2 members from the two sectors - Drinking Water and Primary Education

A training manual was specifically prepared for this purpose (see Appendix 3). To ground the conceptual lessons to practical applications, two field practicals were held at Bweju village. Sixteen enumerators (8 from OCGS and 8 from the Consortium of NGOs) were selected out of this group of 30 to conduct the field survey.

### *Conduct of the Survey*

The field survey was conducted from January 3 -14, 2004. The OCGS was responsible for the entire field operations. The 16 enumerators were supervised by two senior functionaries from OCGS (one each for Unguja & Pemba). On an average, each interview lasted about 40 minutes.

The PSDA evoked extremely positive response from the households. Since the questions were straightforward and easy to understand, the respondents were more than willing to cooperate and answer all queries. The field investigators too had an altogether new experience. This survey was quite different from the normal census type of probes. There was a high need to establish trust and rapport with the respondents. And reliving the experiences of ordinary citizens and eliciting their suggestions and comments were very empowering and educative moments.

Post survey data scrutiny revealed some errors in filling up the questionnaires. In some cases, skips were not rightly followed leading to wrong codes and false information. In some cases, back checks failed to identify data omissions. All these point to the need for more rigorous training sessions.

### *Data Processing & Data Analysis*

Field data was first manually edited, cleaned and then entered into a customized data program developed by OCGS. The framework for data analysis was developed in consultation with PAF and templates for frequency counts and cross-tabs were designed and discussed with members of the Implementation Consortium.

### *Pre Launch Presentations*

The draft findings were discussed extensively with the Implementation Consortium to cross check the validity of key pointers. More importantly, the findings were also shared with the top functionaries of the two sectors. This was a key confidence building measure and underscores the neutrality and collaborative nature of CRCs. The findings were then disseminated to a wider group of concerned stakeholders at a workshop.



## APPENDIX 18: Dissemination Plan for CRC Findings

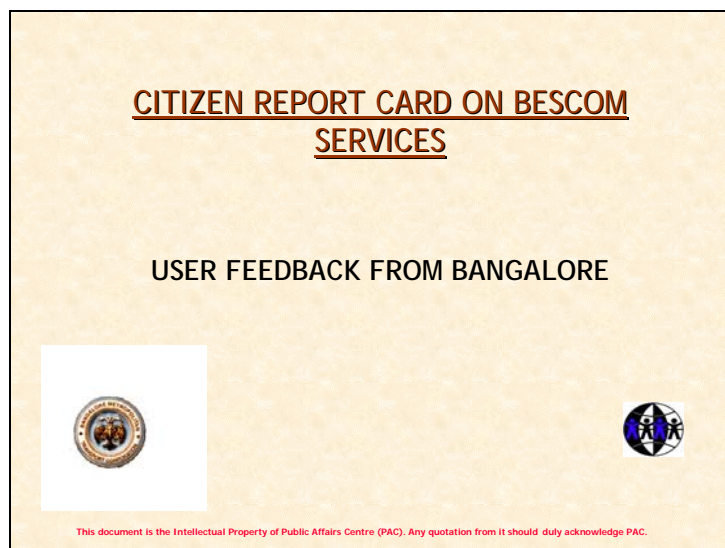
No.	Target Audience	Contact Names & Address/ Phone Info.	Method of Dissemination	Timeframe for Dissemination	Who within our organization is responsible for key tasks?
1					
2					
3					
4					
5					
6					
7					

## Appendix 19: Pre-launch Presentation


Slide 1



Slide 2




Slide 3

**PURPOSE OF PRESENTATION** 

- ✿ Share citizens' feedback on BESCO's services from the Third Citizen Report Card, 2003.
- ✿ Share findings on changes over time.
- ✿ Linking policy initiatives with ground realities.

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Slide 4

**STRUCTURE OF PRESENTATION** 

- ✿ Key BESCO initiatives
- ✿ Type of feedback collected
- ✿ Major findings -2003
- ✿ Comparison across 1994, 1999, 2003
- ✿ Conclusions

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Slide 5

### KEY BESCOM INITIATIVES

- ✿ Additional transformers installed; reduction in load per transformer results in improved quality of electricity supply—higher and stable voltage
- ✿ Regular supply of electricity

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Slide 6

### HOW WAS FEEDBACK COLLECTED?

- ✿ A sample of 1378 households (812 from slums and 566 from non-slum areas) were probed in brief about all agencies.
- ✿ From this sample, a subset of 435 BESCOM users was probed in detail (226 non-slum and 209 slum households).
- ✿ Detailed feedback sought from non-slum households - 110 male and 116 female respondents; from slum households - 71 male and 138 female respondents.

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Slide 7

**WHAT WAS FEEDBACK ABOUT?** 

- ✿ Usage
- ✿ Ease of access
- ✿ Service & staff quality
- ✿ Overall satisfaction
- ✿ Issues faced
- ✿ Improvements over last 10 years

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Slide 8



**MAJOR FINDINGS**

**2003**

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Slide 9

### WHO USES BESCO M SERVICES?

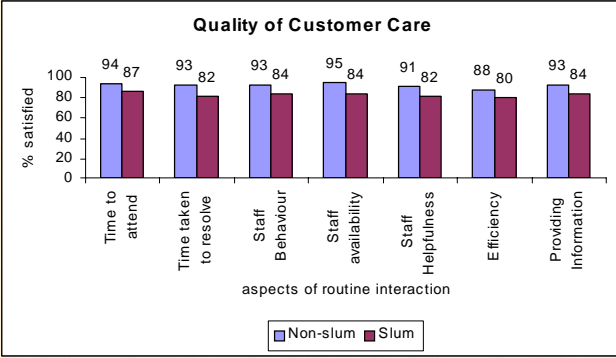
- ✿ 79% of non-slum respondents have an AEH connection.
- ✿ 100% of slum respondents get their electricity from BESCO M.
- ✿ 95% of the slum respondents have an electricity meter at home.

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Slide 10

### SERVICE QUALITY

**Quality of Customer Care**




Aspects of routine interaction	Non-slum (%)	Slum (%)
Time to attend	94	87
Time taken to resolve	93	82
Staff Behaviour	93	84
Staff availability	95	84
Staff Helpfulness	91	82
Efficiency	88	80
Providing Information	93	84

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Slide 11

## SERVICE QUALITY




***Power Supply:***

- ✿ 76% of non-slum and 73% of slum respondents get electricity throughout the day.
- ✿ Non-slum respondents without 24-hour electricity have power cuts for an average of 2.2 hours; 1.4 hours for slum households
- ✿ 87% of non-slum respondents said voltage is stable through out the day.
- ✿ Average hours of power cut is higher in South zone (2.3), compared to West (1.5) and East (1.7) zones.

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Slide 12

## SERVICE QUALITY

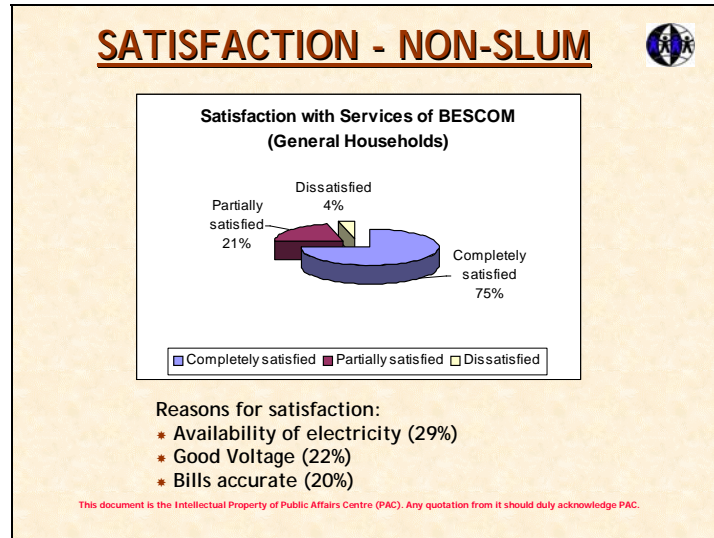


***Billing:***

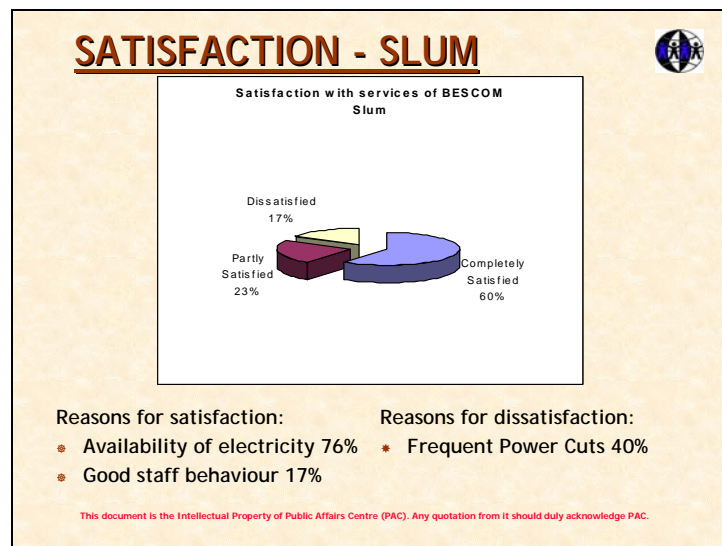
- ✿ 93% of non-slum respondents and 73% of slum respondents said bills were accurate.
- ✿ 98% of non-slum respondents and 97% of slum respondents said timings of bill payment convenient.

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Slide 13

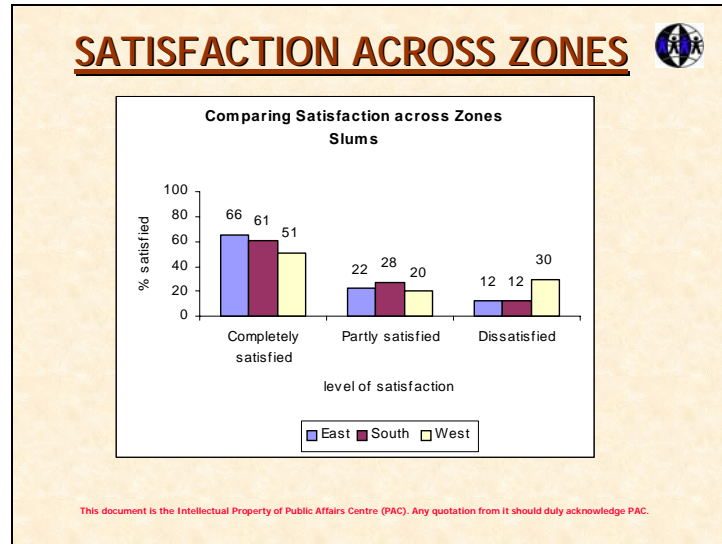


Slide 14





Slide 15



Slide 16


### ISSUES OF CONCERN

- ✿ 5% of the non-slum respondents had a problem and of these 35% contacted BESCO.
- ✿ 8% of the slum respondents had a problem and of these 29% contacted BESCO.
- ✿ Though problem incidence has been low, some issues of concern reported are:
  - high cost of electricity
  - irregular power supply
  - Improper wiring

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Slide 17

## CITIZENS' AWARENESS




- ✿ 6% of non-slum respondents and 3% of slum respondents were aware of the citizens' charter.
- ✿ Of those who were aware, 71% of non-slum and 43% of slum respondents were aware of its content.
- ✿ 4% of slum respondents were aware of adalats held by BESCO.

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Slide 18

## SUGGESTIONS FROM USERS



On improving the quality of service, non-slum respondents said:

- Unit rates should be lowered (29%)

Slum respondents suggested:

- Immediate responsiveness (20%)
- Unit price should be reduced (9%)

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Slide 19




## COMPARING ACROSS REPORT CARDS

### 1999 & 2003

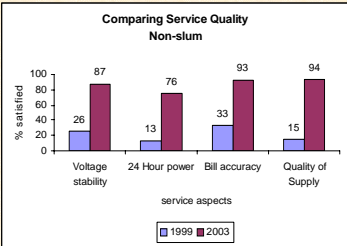
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Slide 20



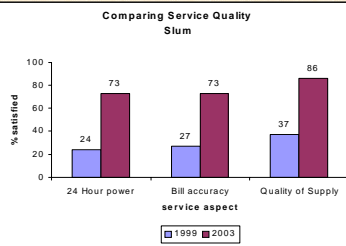
## COMPARING SERVICE QUALITY

### Non-slum:



Service Aspect	1999	2003
Voltage stability	26	87
24 Hour power	13	76
Bill accuracy	33	93
Quality of Supply	15	94

### Slum:




Service Aspect	1999	2003
24 Hour power	24	73
Bill accuracy	27	73
Quality of Supply	37	86

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Slide 21

## CHANGES OVER TIME




### NON-SLUM

- ✦ Satisfaction with behavior of the staff has improved from 51% in 1999 to 81% in 2003.
- ✦ Irregular power supply and faulty billing were problems faced in 1999. Based on feedback, BESCO has greatly improved in these areas. Frequent power cuts, high cost of electricity, improper wiring are issues in 2003.

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Slide 22

## CHANGES OVER TIME

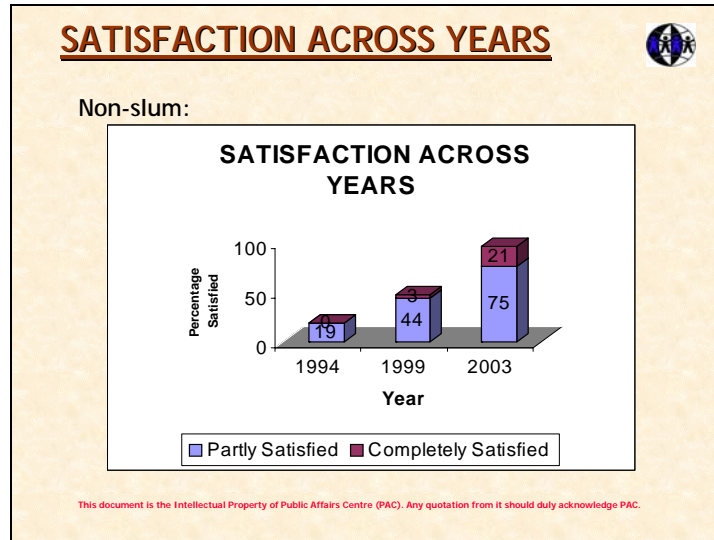


### SLUM

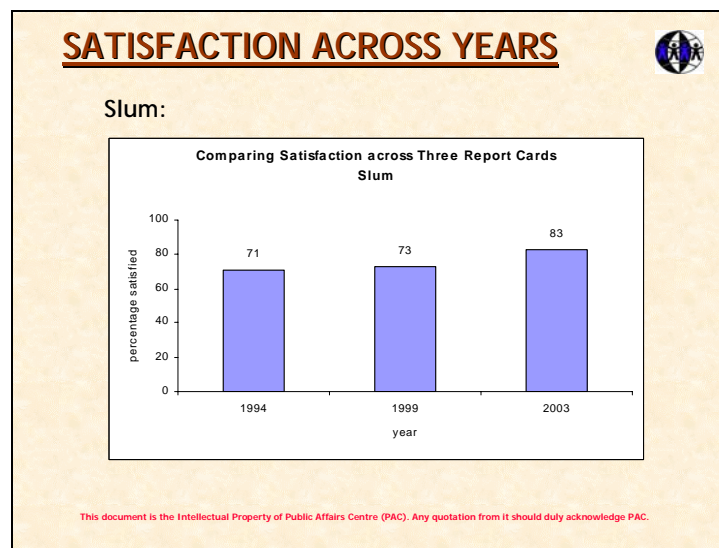
- ✦ Satisfaction with behavior of the staff has improved from 54% in 1999 to 84 % in 2003.
- ✦ Unscheduled power cuts, lack of proper connection and low voltage were problems cited in 1993. Some issues in 2003 are high cost of electricity and irregular power supply.

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Slide 23




Slide 24



Slide 25

## CONCLUSIONS



- ✿ Across households, people are satisfied with the quality of electricity supply.
- ✿ Respondents are generally satisfied during interactions with BESCO staff.
- ✿ Although the issue of faulty billing is virtually nonexistent, high cost of electricity is an emerging concern.

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## **Appendix 20: Example of a Written Report**

# **CITIZEN REPORT CARD ON BESCOM SERVICES**

**PUBLIC AFFAIRS CENTRE  
BANGALORE**

## **REPORT CARD ON BESCOM SERVICES**

### **BACKGROUND**

The Report Card is a tool to provide feedback on public services from the perspective of users of the services. This method generates useful feedback on the quality, efficiency and adequacy of the services and the problems users face in their interactions with the service providers. The first Report Card on Bangalore was published in 1993-1994 was followed by a second Report Card in 1999. The third and latest Report Card has been recently completed.

### **METHODOLOGY**

Preliminary discussions were held with different service providers in Bangalore and a focus group discussion was held with organizations working in slums. Approximately 2000 households were contacted during the survey, out of which 1400 were from the city and 600 from the TMC/CMC areas. Out of those contacted from the city, 606 were from non-slum households and 812 were from slum households. A multi stage stratified random sampling method was used to select households. For non-slum households, feedback was sought on key services provided by BMP, BWSSB, BMTTC, Police, BESCO, Traffic Police, PDS, Hospitals, Maternity Homes, Health Centres, BSNL, RTO and BDA. For slum households, information was collected on services provided by BMP, BWSSB, BMTTC, Police, BESCO, PDS, Hospitals, Maternity Homes and Primary Schools.

Questionnaires used for the survey were designed separately for slum and non-slum households. The questionnaires tried to capture aspects of service like overall satisfaction, problem incidence, problem resolution, responsiveness, efficiency and corruption.

Feedback on BESCO services was collected through a set of general questions asked of 1378 households, which included 566 non-slum and 812 slum households. From this sample, a subset of respondents was probed in detail about their experience with BESCO, including 226 non-slum and 209 slum households. From non-slum households, there were 110 male and 116 female respondents, majority of whom were between the ages of 21-50 years. The majority of slum respondents were between the ages of 31-70 years; 71 males and 138 females answered the questionnaire.

### **BESCO SERVICES IN A NUTSHELL**

BESCO provides electricity to 48.7 lack customers in Bangalore City and 5 other districts in Karnataka. BESCO was incorporated in June 2002 and currently has a staff of 11346 employees.

### **RECENT INITIATIVES**

BESCO has made numerous interventions over the past 4-5 years. From the user side these interventions should lead to more regular and stable supply of electricity from BESCO. Key interventions include:

- Additional transformers reduces load per transformer
- Improved quality of electricity supply—higher and stable voltage
- 24 hour supply of electricity to households

Findings from the user feedback, which follow, enable us not only to assess the agency's current performance but also track changes over time.

## MAJOR FINDINGS 2003- SLUM AND NON-SLUM

### I. Usage Pattern

- 79% of non-slum respondents said they have an AEH connection.
- 100% of slum respondents said they get their electricity from BESCO.
- 95% of the slum respondents said they have an electricity meter at home.

### II. Service Quality

- 8% of non-slum respondents and 47% of slum respondents have had their power cut off.
- Of these, non-payment of bill was the major reason for cut off among non-slum (72%) and slum respondents (74%).
- For slum respondents, unauthorized connections (26%) were also a reason for disconnection.

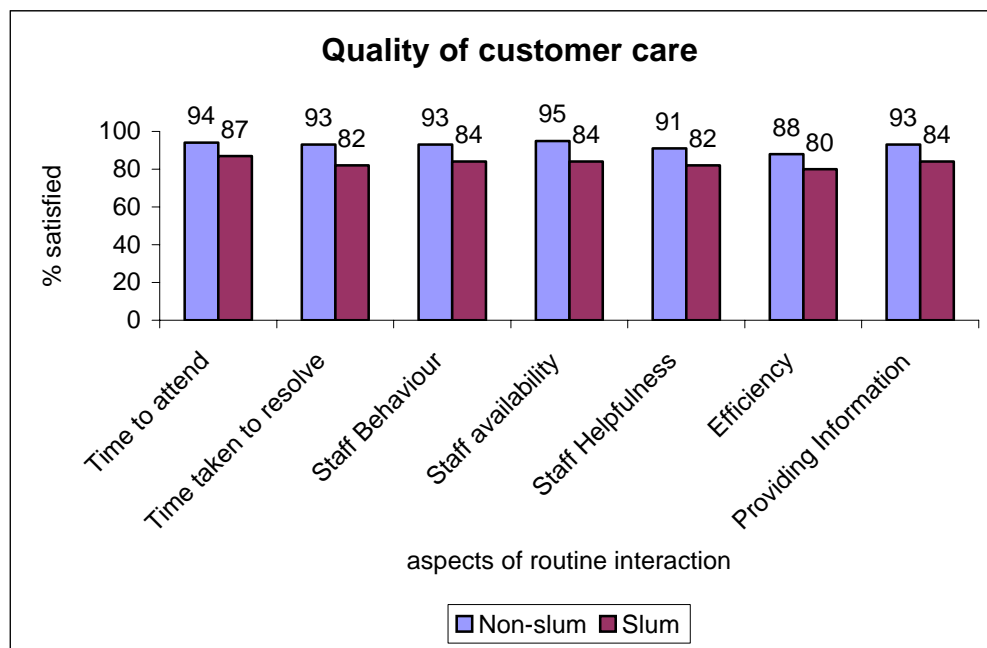


CHART I

Satisfaction with various aspects of interaction with BESCO is significantly high. Respondents from general (non-slum) households are more satisfied as compared to slum households (chart 1).

### Power Supply:

- 76% of non-slum and 73% of slum respondents said they get electricity throughout the day.
- Respondents without a 24-hour electricity supply have a power cut for an average of 2.1 hours in non-slum households and 1.4 hours for slum households.
- 87% of the non-slum respondents said the voltage is stable through out the day.

- Average number of hours of power cut in the city is higher in South zone (2.5) as compared to West (1.5) and East zones (1.7).

**Billing**

- 93% of the non-slum respondents and 73% of the slum respondents said that bills were accurate.
- 98% of the non-slum respondents and 97% of the slum respondents said they find the timings of bill payment convenient.
- Awareness among non-slum respondents regarding ECS was found to be very low.

*III. Satisfaction Levels with Quality of Services*

NON-SLUM:

SLUM:

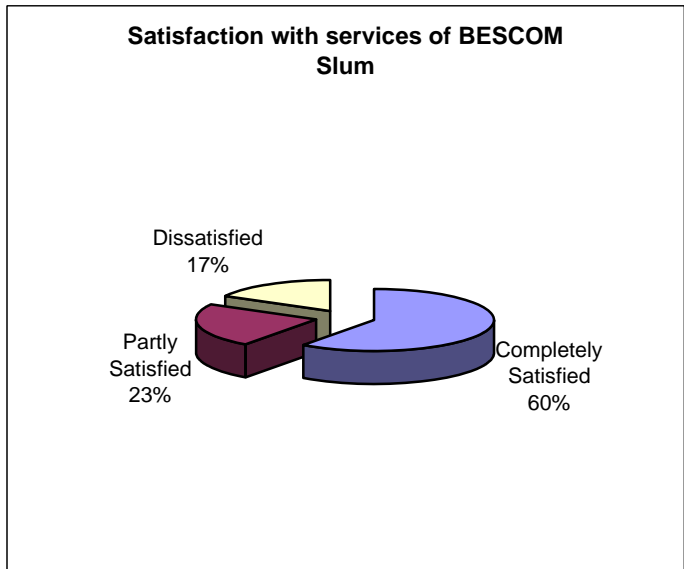
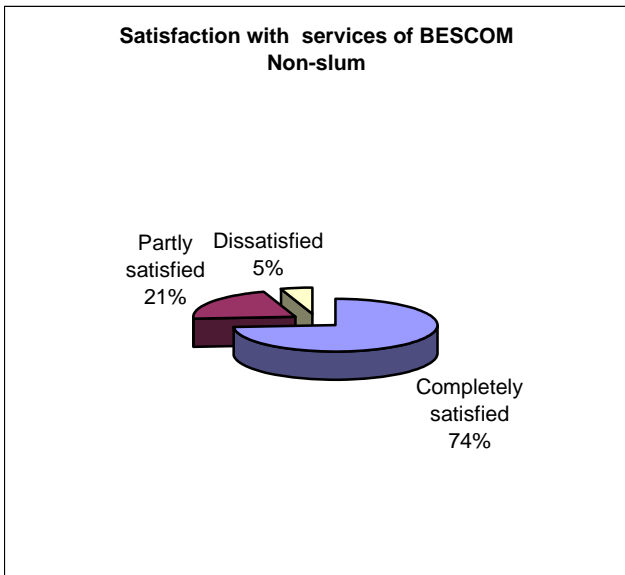


CHART IIA

CHART IIB

Reasons for satisfaction- Non-slum:

- Availability of electricity (29%)
- Good Voltage (22%)
- Bills accurate (20%)

Reasons for satisfaction- Slum:

- Availability of electricity (76%)
- Good Behavior of staff (17%)

Reasons for dissatisfaction- Non-slum:

- Reasons for dissatisfaction- Slum:
- Frequent Power Cuts (40%)

Note: Numbers are small to report

As seen in Chart IIA and B, respondents from non-slum households are more satisfied with the services of BESCO. If we compare levels of satisfaction then also a larger percentage of respondents from non-slum households are completely satisfied.

*IV. Responsiveness*

Problem incidence:



*Non-Slum:*

- 5% of the non-slum respondents had a problem; some of the problems faced were frequent power cuts (1%), high cost of electricity (1%), improper wiring (1%).
- Of those with a problem, 35% contacted BESCO.

*Slum:*

- 8 % of the slum respondents had a problem; problems reported were high cost of electricity (4%) and irregular power supply (2%).
- Of those with a problem, 29% contacted BESCO.

*V. Speed Money*

Bribe incidence reported among non-slum and slum respondents was virtually non-existent.

**VI. Grievance Redressal**

- 3% of non-slum respondents said they have attended Grievance Redressal meetings held by BESCO.

**VII. Citizens' Awareness**

- 6% of non-slum respondents and 3% of slum respondents were aware of the citizens' charter.
- Of those who were aware, 71% of non-slum and 43% of slum respondents were aware of its content.
- 4% of slum respondents were aware of adalats held by BESCO.

*VIII. Defining a Good Service from BESCO*

Respondents were asked to define a good service from BESCO. Expectations of the respondents include:

- Accurate bills (27%)
- Regular power supply (24%)
- Good voltage (21%)

*IX. Areas for improvement/Suggestions*

Regarding feedback on how BESCO could improve the quality of its service, both non-slum (27%) and slum (47%) respondents said they had no suggestions since the service was good. From remaining respondents, some of the responses were:

*Non-slum:*

- Unit rates should be lowered (29%)

*Slum:*

- Immediate responsiveness (20%)
- Unit price should be reduced (9%)

## COMPARING ACROSS REPORT CARDS 1994,1999,2003—SLUM AND NON-SLUM

A comparison of the findings from the three Report Cards is presented below.

### Comparing Satisfaction Levels

Non-slum:

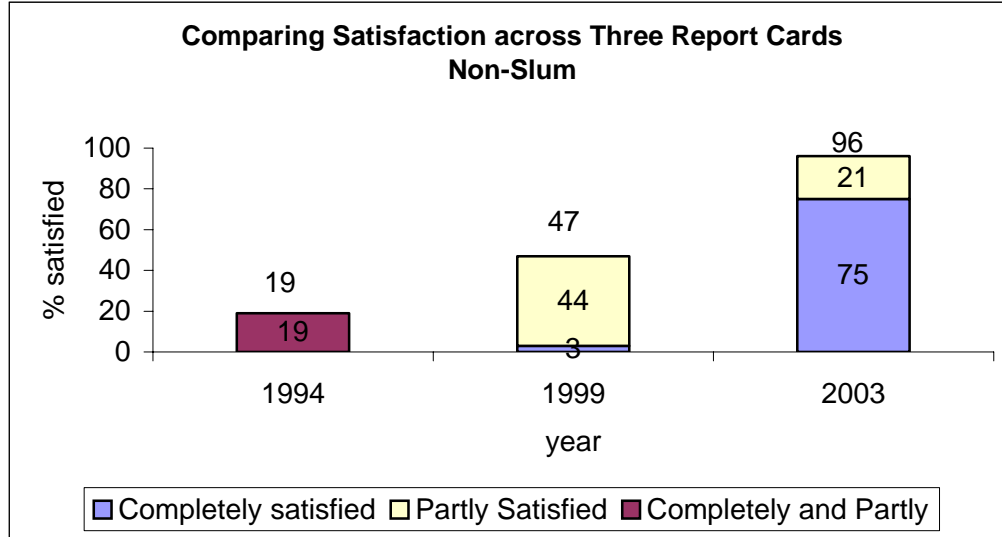


CHART III

Slum:

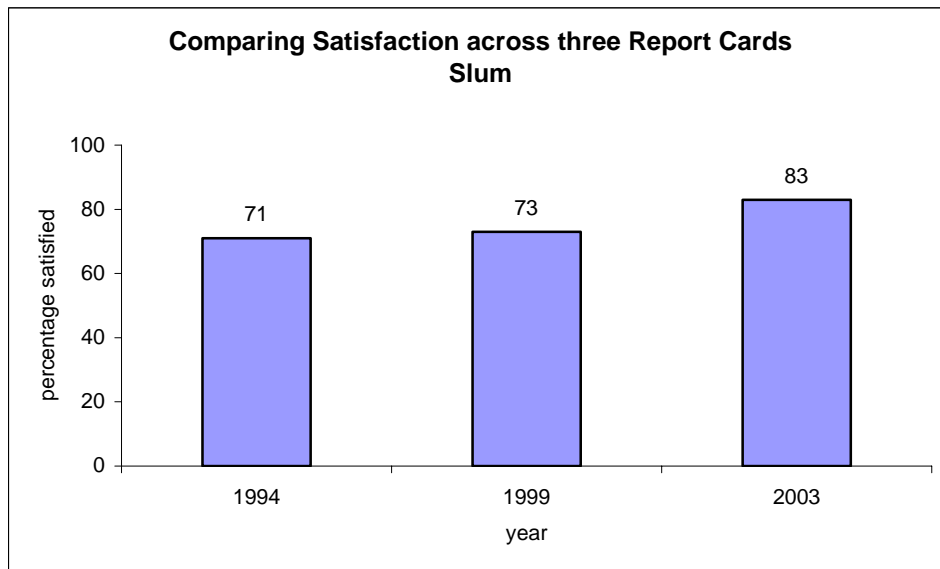


CHART IV

Both in the case of non-slum and slum households, satisfaction with services of BESCOM has been increasing. Complete satisfaction in the case of non-slum households has increased rapidly from 3% in 1999 to 74% in 2003. In the case of slum households,

the changes have not been very remarkable—71% in 1994 to 73% in 1999 to 83% in 2004.

## II. Comparing Service Quality

Non-slum:

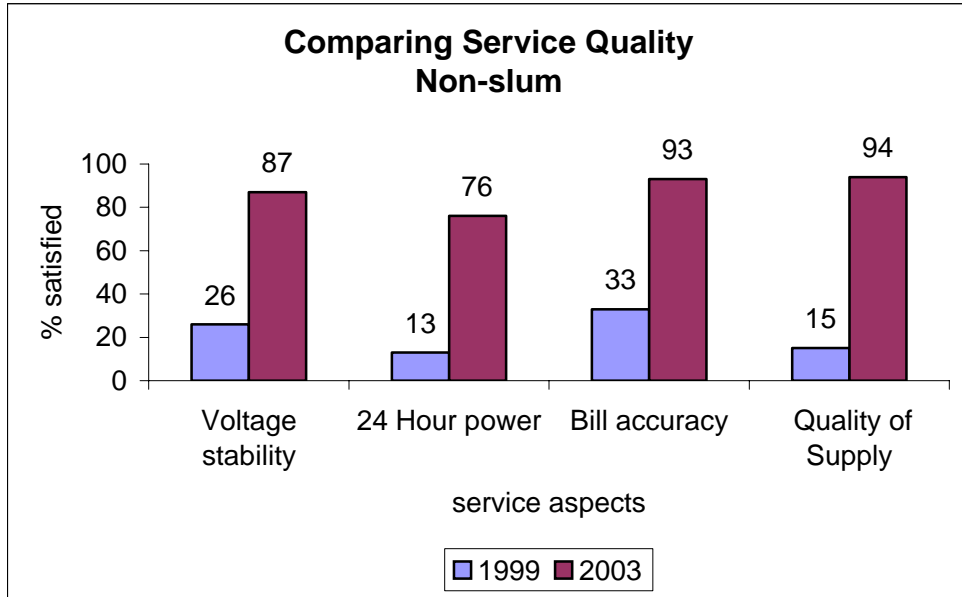


CHART V

Slum:

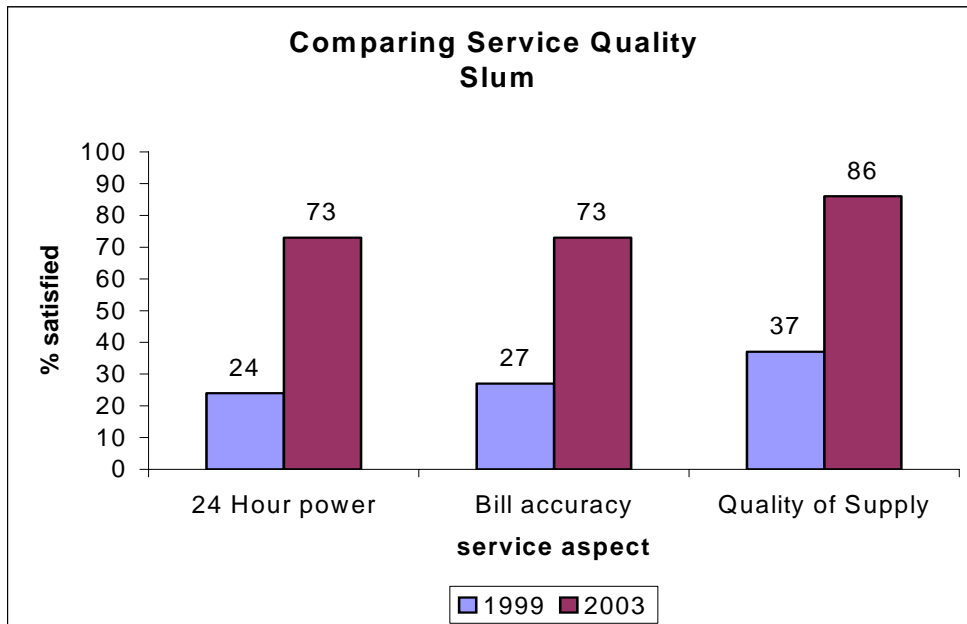


CHART VI

Respondents (slum and non-slum) who report an improvement in the quality of service provided by BESCO has increased significantly from 1999 to 2003, as seen in charts V and VI.

### III. Improvements Over Time

The changes over time in other indicators are described below.

#### NON-SLUM:

- Satisfaction with behavior of the staff has improved from 51% in 1999 to 93% in 2003.
- Irregular power supply (21%) and faulty billing (2%) were some of the problems faced by non-slum respondents in 1999. Based on current feedback BESCO seems to have greatly improved in these areas. Frequent power cuts (1%), cost of electricity high (1%), improper wiring (1%) are some of the problems cited by respondents in 2003.

#### SLUM:

- Satisfaction with behavior of the staff has improved from 54% in 1999 to 84% in 2003.
- Unscheduled power cuts (10%), lack of proper connection (11%) and low voltage (5%) are some of the problems cited by respondents in 1999. Some of the problems reported in 2003 were high cost of electricity (4%) and irregular power supply (2%).

These findings are corroborated by the response to the question if there has been an improvement in BESCO services in last three years.

- From non-slum households, 58% of respondents said there was an improvement in overall quality of services in the last three years and 53% of respondents said there was an improvement in the behaviour of staff in the last three years.
- From slum households, 79% of respondents said there was an improvement in overall quality of services in the last three years and 68% of respondents said there was an improvement in the behaviour of staff in the last three years.

### CONCLUSIONS

- Both the non-slum and slum respondents are satisfied with the quality of electricity supply.
- Respondents are generally satisfied during interactions with staff.
- Although the issue of faulty billing is virtually nonexistent, high cost of electricity is an emerging concern.

## Appendix 21: Example of a Press Note

### Press Note

#### Public Affairs Centre

### The Third Citizen Report Card on Bangalore's Public Services

*"Citizen satisfaction across civic services zooms:  
Endorsement for civic reforms in Bangalore "*

Bangalore has seen a wide range of civic reforms since 1999. Has this made a difference to its citizens? Public Affairs Centre's third "citizen report card" on civic services in the city of Bangalore highlights the significant improvement in the satisfaction of residents. This citizen report card, Dr. Sita Sekhar and Manisha Shah, is based on a survey of over 1700 middle income and poor households in the city, carried out jointly by PAC and AC Nielsen ORG-MARG this year. A separate report has been prepared based on feedback from the poor. Earlier report cards were published by the Public Affairs Centre (PAC) in 1994 and 1999, and serve as benchmarks to monitor progress. PAC's "report cards" on Bangalore were lauded by the World Development Report of the World Bank this year as a powerful tool for civic engagement and reform.

Releasing the findings of the citizen report card, Dr. Samuel Paul, Chairperson of PAC said that almost all city agencies have achieved noticeable improvement in many aspects of their services since 1999. He also said that in the past, people were highly critical of most public services. What is most striking is that, for the first time, there is a perceptible decline in corruption levels in routine transactions. Availability of buses and water has been enhanced, and infrastructure such as flyovers and new roads has improved. Streamlined processes for paying property tax, getting bus passes and receiving accurate bills seem to have led to much greater public satisfaction. All these improvements have been matched with substantial increase in satisfaction with the behaviour of staff of these agencies while interacting with citizens.

#### **Feedback from General Households**

Of the nine agencies on which citizens of Bangalore provided feedback, all have received satisfaction ratings above 70%, in contrast to less than 40% in the past. User satisfaction among general households ranged between 96% for BMTC and 73% for BWSSB, BMP and Govt. Hospitals. The improvement is greatest in the case of BDA where citizen satisfaction has moved up from 16% to 85%.

An important reason for this improvement is the significant decline in the proportion of residents encountering problems while using all these services (with the exception of storm water drains maintained by BMP). This improvement is in line with investments to augment capacity, introduction of IT enabled services and other

initiatives to improve efficiency of service delivery, that have taken place since 1999. Users of Bangalore Police's services reported highest incidence of problems (20%) in the 2003 survey. The rate of decline has been sharpest in the case of BESCO, where only 5% reported encountering problems as compared to 29% in 1999. Problems cannot be completely avoided and agencies devise ways to deal with problems. The findings serve to indicate how reduction in intensity of routine problems, translates into fewer interactions with citizens, thereby reducing the scope for delay, harassment or corruption.

The regularity and reliability of services have improved significantly during the period, according to users. Satisfaction with regularity of garbage clearance by BMP has gone up from 16% in 1999 to 75% in 2003, accuracy of billing in BWSSB from 32% to 90%, to give two examples. The reduction in problems described above has been matched by significant improvement in satisfaction with behaviour of staff, where the proportion of satisfied citizens has moved up from 38% to 83%. The satisfaction with behaviour of staff is highest in the case of BSNL (97%). Biggest improvement in this rating took place for BDA, which has now reached 85%. While improved procedures have reduced the possibility of abuse of discretion, most agencies have invested heavily in training their staff. These efforts suggest that the attitude and mindset of staff has significantly changed since the previous report card in 1999.

Citizens of Bangalore also indicated that they encountered corruption less frequently while dealing with these agencies for routine services. Among the much-reduced number of citizens who encountered problems, 11% had to deal with corruption as against 23% in 1999. This is a major achievement in itself. But caution must be exercised in taking this as an all-encompassing indication that corruption has almost been eliminated. The survey did not focus on experiences with specialized services such as new connections, khata and building permissions, which are seen as pockets of serious corruption. But the findings definitely support the premise that easier procedures and improved efficiency in routine operations such as Self Assessment of property tax by BMP, one time Sale Deed by BDA and the like, have served to reduce harassment and extortion that citizens faced in the late nineties.

#### Feedback from Slum Households

A separate report card focusing on the urban poor was prepared using feedback from slum dwellers. While slum dwellers also indicated substantial improvement in satisfaction with services, their ratings are significantly lower, with four of six agencies receiving satisfaction ratings above 70%. The ratings ranged between 93% for BMTCL and 64% for Bangalore Police. This is in contrast to 1999, when a larger proportion of slum dwellers were satisfied with most services in comparison with general households. However, satisfaction with services has improved in relation to all agencies except BMP, where it remains at the same level.

Feedback from slum dwellers indicates that service quality in terms of availability of water in public toilets and regularity of garbage clearance has improved substantially. Problem incidence has also declined and compares well with that reported by general

households. In a number of agencies, satisfaction with staff behaviour among slum households is higher than that among general households.

### **Broad Conclusions**

Dr. Paul commended the agencies for their focused efforts in making these improvements. He also pointed out the strategic significance of new institutional mechanisms that supported these efforts, such as the BATF, which has worked hand in hand with these agencies on a number of initiatives. It was evident that the application of better technology for delivering services, new investments and information technology for managing service agencies has played a critical role. The media has become an active stakeholder in making Bangalore's citizens more aware, and putting the spotlight on issues that need to be addressed. The big change has been the wide involvement of resident associations and civic groups in engaging with city agencies in campaigns and initiatives for improving service delivery, ranging from Swacha Bangalore to Water Adalats.

It is evident that overall improvements do not automatically translate into better services for the slums and the poor. Their needs require more than mere investment in infrastructure, and warrant appropriate modifications in policies on access to services. It is no longer a demand for charity from the poor - a large segment of the poor have expressed willingness to pay for services, since non-availability leads to hardships and expense for buying essentials like drinking water.

The improvements reported reflect the experience of ordinary citizens in the course of using services. The sample, however, could not get enough feedback on special services such as for new connections or those who had used the grievance redressal procedure. The experience of these smaller segments is usually different from those who use routine services. This is of particular significance when we see that corruption in routine services has declined.

While Bangalore's public agencies deserve credit for ensuring extended reach of current levels of service to larger proportions of Bangalore's citizens, there is no room for complacency as there are many tasks ahead. PAC urges all agencies to work towards better standards of service that people aspire for and to pay more attention to the reform of specialized services where corruption still exists. The agencies that are lagging should expedite the streamlining of their services, especially for the benefit of poorer segments. According to PAC, Government's interactions with citizen groups and the media have been a unique feature of Bangalore and need to be further strengthened.

## **Frequently Asked Questions during Press Briefings** (The following example is based on a CRC in Ethiopia. The Poverty Action Network Ethiopia [PANE] was the local implementation partner)

### **1. *Why was CRC selected as a tool? Will it have a policy implication?***

The concept of *Citizen Report Cards* was pioneered by the Public Affairs Centre (PAC) in Bangalore, India a decade back and since then it has received national and international attention. PAC over the years has responded to a global demand for increased awareness on the *report card* approach and capacity building to carry out similar studies in different parts of the world. It has been internationally accepted that CRC tool is one of the best tool which can be used to stimulate involvement, participation and collective action by citizens, and provide organisational leaders with an opportunity to design reforms and bring in a strategic reorientation.

The Sustainable Development and Poverty Reduction Programme (SDPRP), which came into effect from September 2003 is increasingly perceived to be the blueprint for Ethiopia's development trajectory as it prepares to meet the development challenges in line with the MDGs.

Citizen Report Cards has been expected to provide critical information on the progress of the SDPRP, especially in terms of indicators that supplement the conventional M&E frameworks. The CRC is built in the form of surveys with actual users of public services, through which their feedback on experiences with public services is collected, analyzed and disseminated, in a systematic and transparent manner. It complements the expert analyses and findings on conventional poverty assessment approaches with a "bottom up" end-user assessment of pro-poor services.

For sectors, the findings provide very focussed information on areas which need strengthening and thereby enable the leadership to carry out effective diagnostic exercises.

It is also hoped that the results from this exercise will feed into the design of SDPRP-II

### **2. *What was the role of PANE?***

PANE provided the basic institutional support for implementing the CRC in Ethiopia. The pilot CRC has been anchored by PANE. The broad based membership of PANE – consisting of National NGOs, CSOs working on research, policy and advocacy issues and international NGOs - clearly gave it a stamp of legitimacy and wider ownership. The technical component for this exercise called for the undertaking of the entire field operations part of the exercise. PAF provided technical assistance to PANE in this regard.



**3. *To what extent is the report authentic?***

The sample size is sufficient to represent the population in each region (can be proved statistically). Thus the report will definitely provide reliable and authentic estimates. In addition precision levels have been calculated for the major indicators of the study which showed the deviation of the estimates from the actual value. Encouragingly it has been found that the precision levels for the major indicators are within 10 %. This ensures statistical authenticity to the report. In addition the secondary data has been analyzed thoroughly and similar pattern has been noticed. Thus the report can be called as authentic.

**4. *What were the quality checks provided to ensure data validity?***

During the fieldwork execution spot checks and back checks has been conducted. After the completion of the fieldwork a process audit has been conducted to check compliance parameters.

**5. *What was the necessity of weighting the data?***

The sample size was sufficient to provide regional estimates at 95 % confidence level with a precision level of 0.05. However the population size of the four regions was not same. Thus to arrive at a rural total, it was essential to weight the data by the population proportions to provide national rural estimates.

**6. *How were the major issues of enquiry identified?***

Citizen report card normally analyzes the broad indicators on access, availability, usage, quality and reliability and satisfaction. The sub indicators were identified by organizing focus group discussions with the community. Finally after a series of brain storming sessions the major issues of inquiry under each sub indicators were identified.

**7. *What was the field composition?***

In Tigray, Afar and SNNPR, two teams each comprising one supervisor and five investigators were deployed while in Oromiya four teams of the same size were deployed.

**8. *What packages were used for data entry and analysis?***

For data entry CS Pro was used while for Analysis SPSS was used

**9. *What is the precision of the sample?***

The precision level of the sample was 0.05. The details of the precision levels of the various indicators has been provided in the technical note.

**10. *Why only 4 regions were selected and why only 4 sectors were selected?***

The population of the selected regions comprises 90 % of the population in Ethiopia. Thus the 4 regions were sufficient to provide national rural estimates.

The 4 sectors were selected after a series of discussions with PANE based on the necessity of the importance of the services.

**11. *Would this continue in future to assess the pro poor public services delivery?***

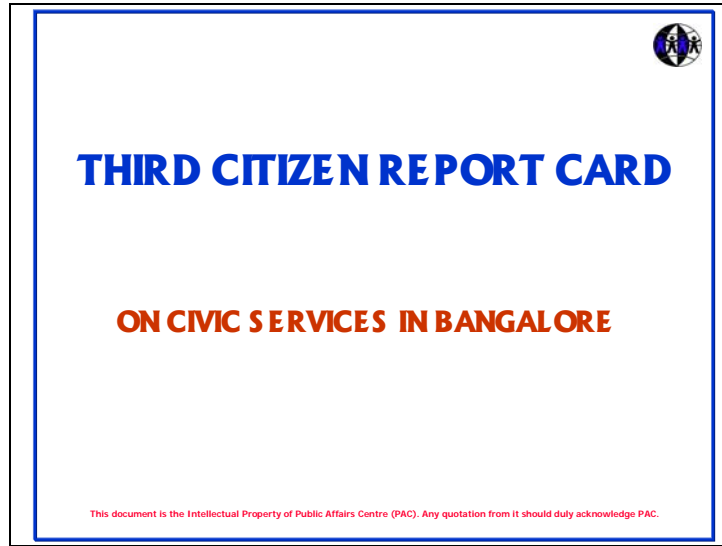
This exercise was a pilot in which the capacity of PANE has been enhanced to conduct a scale up exercise. The scale up will be taken followed by successive rounds to ensure the continuity in monitoring of the exercise.

**12. *What is the follow up strategy to alleviate poverty?***

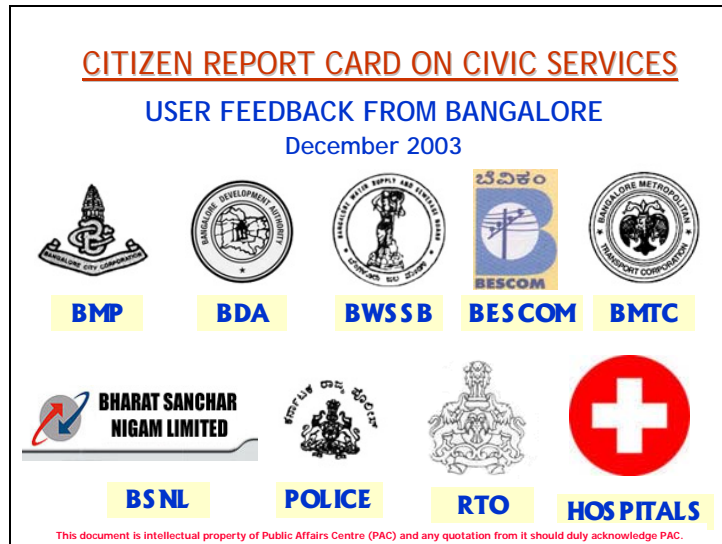
The results of the study will be disseminated at national and regional levels and also will be incorporated in the Annual report of the SDPRP. The report itself prescribes policies for various sectors. It is expected that the service providers will take up the policy prescriptions accordingly and fight against poverty. Also the dissemination of the findings will create a platform for the civil societies which will raise a voice for stimulating reforms.

## APPENDIX 22: Example of Press Tables

Slide 1



Slide 2



Slide 3




## KEY CITY AGENCIES

- BMP
- BESCOM
- BWSSB
- BDA
- BMTC
- BANGALORE POLICE
- BSNL
- RTO
- GOVERNMENT HOSPITALS

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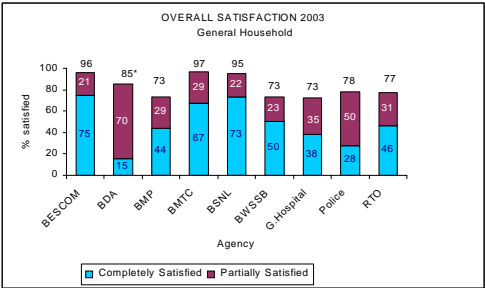
Slide 4



## OVERALL SATISFACTION 2003

### General Households

OVERALL SATISFACTION 2003  
General Household

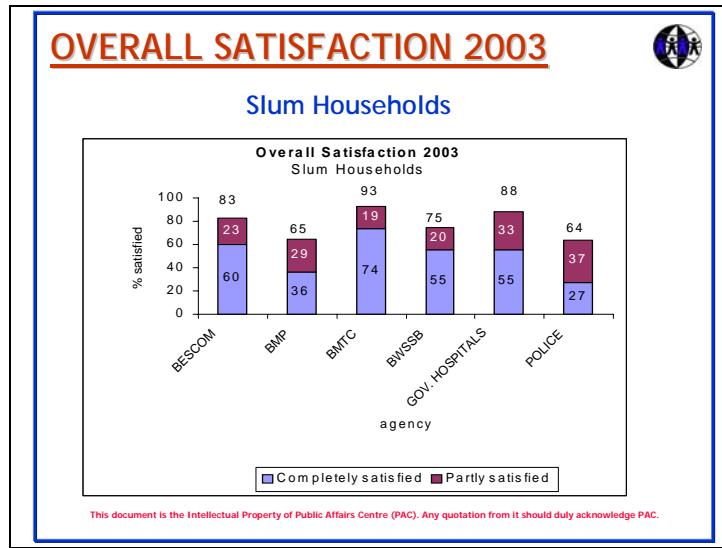


Agency	Completely Satisfied (%)	Partially Satisfied (%)	Total Satisfied (%)
BESCOM	75	21	96
BDA	15	70	85*
BMP	44	29	73
BMTC	67	29	97
BSNL	73	22	95
BWSSB	50	23	73
G.Hospital	38	35	73
Police	28	50	78
RTO	46	31	77

\*\*In infrastructure, satisfaction with BDA is still higher.

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Slide 5



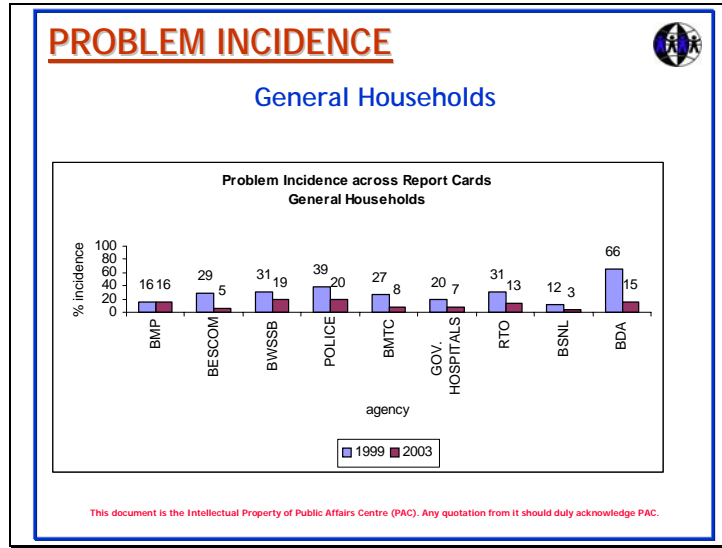
Slide 6

## COMPARING AGENCIES OVER TIME

### 1994, 1999 & 2003

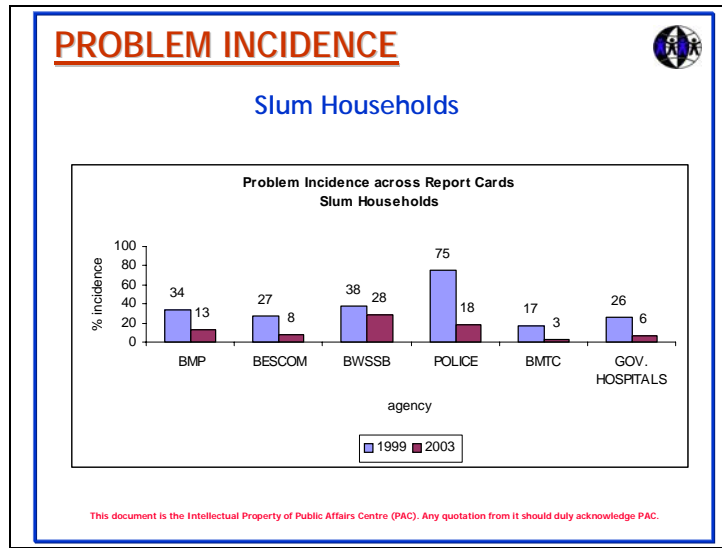
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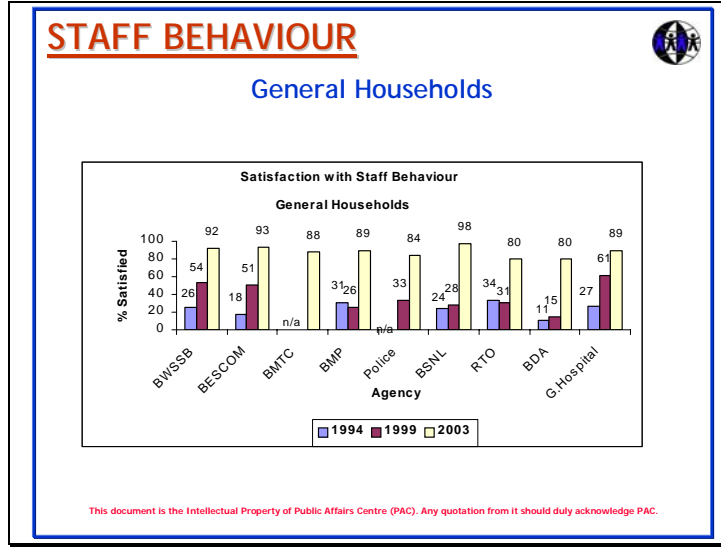


BDA problem incidence has been skipped as sample size in the main questionnaire from where we are taking the incidence was too small.

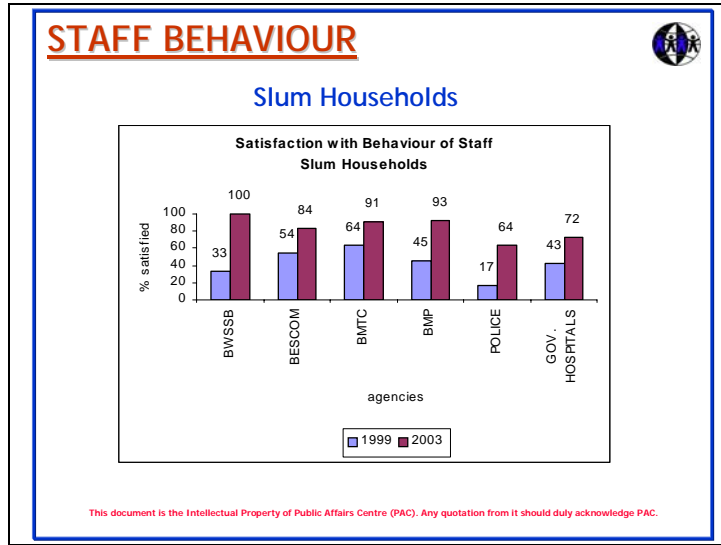
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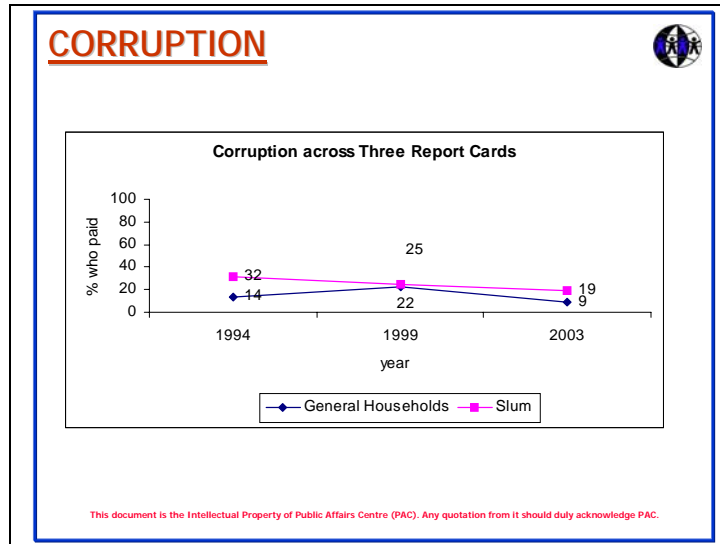
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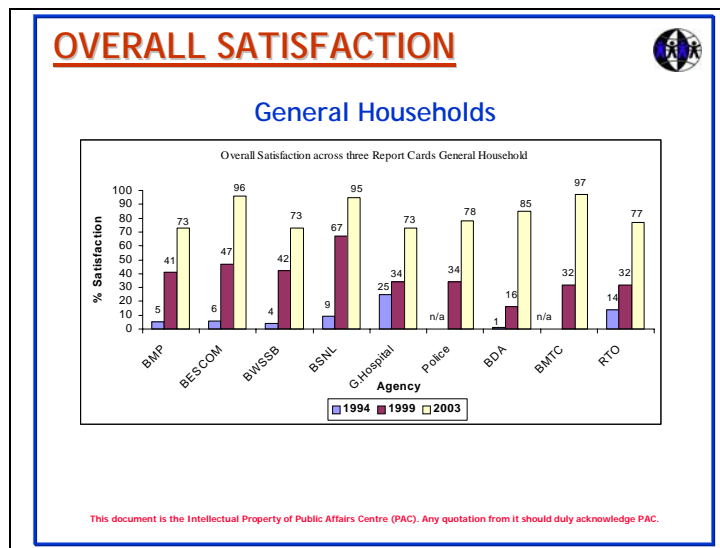
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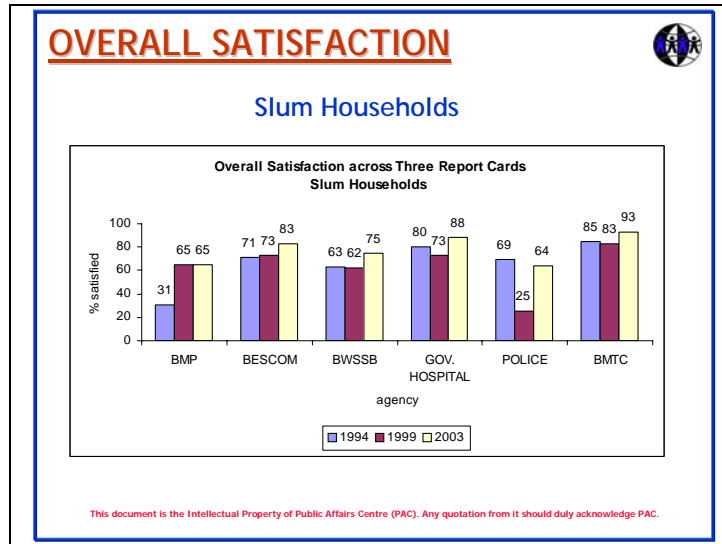


Slide 12





Slide 13



## APPENDIX 23: Examples of News Clippings

### 1. Article on Dissemination of the CRC Findings carried out in Duniyapur, District Lodhran, Pakistan.

Daily Pakistan, Multan Edition, dated 5.10.07 reported the meeting held at Duniyapur the preceding day. He quoted TMO Duniyapur saying, while addressing a meeting at TMA Hall organized by local NGO'S FDO & SAP- PK, that the water pipelines and turbines installed 15 years back in Duniyapur are now falling short and are unable to meet the demands of the ever increasing population , with the result that the people of Duniyapur are facing difficulty in procuring water at all hours. Therefore the TMA authorities have now fixed different times for supplying water. Tehsil Naib Nazim Ch Asim Majeed informed that TMA Duniyapur is using all their means and making efforts to provide the citizens with clean drinking water and better sewerage system. Rao Omar Javed highlighted the merits of cleanliness and keeping good health. Earlier, at the start of the meeting, Dr Sita Shekhar, Chief Research Officer,

Bangalore, India, Madam Zakia Arshad and FDO Basti Malook Mustafa Khan informed the participants about the progress of the ongoing projects in the area. The meeting was attended by Tehsil Nazim Pir Iqbal Shah Qureshi, Nazim Rao Rafique Saifi, Ch Abdul Ghafoor, Abbas, Hakim Asif, Azhar Bokhari, Farooq Nadeem, Farooq Hashmi, Nazim, Ch. Mehmood Ahmed Gujjar and large number of people of the area.



2. Article on Dissemination of CRC findings carried out Nawaan, Misamis Oriental, the Philippines.

Management Code. The ban on aerial spraying was expected as it has been the advocacy of Mayor Rodrigo Duterte.

It was approved on second reading last week and sailed through third reading with no more floor debate.

Banana plantations, under the new ordinance, are given three months to shift to other modes of applying pesticides on their banana plants.

The Davao City Watershed Management Code, Councilor Ricardo Cabling said, manifests the Dabayenos' effort to protect and preserve the environment, the forest reserves and the watershed areas which are slowly getting smaller due to invasion by various groups and enterprising individuals who either construct dwellings or develop plantations in these areas.

Cabling said the code seeks to protect the watershed areas of the city which are the main sources of Davao's water supply.

"We need to protect our watershed areas to ensure that we have good water source for the next generation," he said.

City planning and development office head, Engineer Mario Luis Jacinto, is recommending an integrated, grassroots education for the protection of the eight watershed areas of the city to ensure the sustained effort to protect and preserve them.

Jacinto said the critical watershed areas should be protected and conserved and communities should work as a team for the rehabilitation activity.

"Every barangay in the city has elementary schools but not all have secondary schools, so the need to educate elementary grade pupils is also necessary. In areas where secondary public schools exist, watershed education must be included so that the young generation would be aware of watershed protection," he added.

Meanwhile, it was reported that fresh banana remains on top of the export products of Davao Region, accounting for 80 percent of the region's total export receipts.

The Region 11 office of the National Economic Development Authority (NEDA) said export receipts reached \$3.83 million (P146.5 million) during the first semester of 2006, representing a 7.5

also informed by his OIC contacts on the cancellation of the meeting.

But Balt said his contacts at the OIC assured him the environmental degradation of Lake Lanao allegedly due to National Power Corp.'s hydro

He also said the OIC had long promised to unite the various factions of the MNLF. "The government desires to sit down with an MNLF which is truly united and representative of its entire political leadership," Seguis added.

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**Indian city's rating system tried in Misamis**  
*Source: Manila Bulletin, 27 January 2007, page 14.*  
 By GERRY L. GORIT

NAAWAN, Misamis Oriental — The Public Affairs Centre (PAC) in Bangalore City, India has found an effective tool to combat corruption in government.

Dr. Seta Sekhar, PAC chief research officer, said a citizen feedback survey could make a difference in governance, as the people themselves would rate how public officials do their job.

Sekhar said the survey was based on the methods and techniques of the Citizen Report Card (CRC), a simple but powerful tool to provide public agencies with systematic feedback from users of public services.

Pioneered by PAC in Bangalore City in 1993, CRCs elicit feedback through sample surveys on aspects of service quality that users know best, and enable public agencies to identify strengths and weaknesses in their work.

Over the years, CRCs have been successfully used to assess government

services in countries such as Ukraine, Bangladesh, Nepal, Sri Lanka, Vietnam, Indonesia, Ethiopia, Gambia, Nigeria, Rwanda, Uganda, Peru, and Argentina.

"CRC is similar to a report card that a student gets from school," Sekhar said, adding this is exactly what happened here in Naawan where residents of Barangays Poblacion, Linangayan, and Maputi were randomly surveyed on how the local officials deliver water and health services.

The three barangays were selected as they are the only places, out of 10 in the town, which have water connections being managed by the Naawan Municipal Water Service-Municipal Economic Enterprise Development Office (NMWSMEEDO).

The team led by Dean Alex B. Brillantes Jr. carried out the CRC study. The members were Professor Simeon Agilago, Dr. Ebinerzer R. Florano, Enayra L. Sodusta, and John Ermin S. Francisco.

Sekhar trained the Brillantes team on the methods and techniques in conducting the survey. Assisting her were Dr. Meena Nair and Dr. Gopakumar Thampi, also of PAC.

The survey was supported by a regional technical assistance project of the Asian Development Bank (ADB).

Naawan Mayor Dennis L. Roa admitted he was worried about the December 1-7, 2006 survey being carried out by the National College of Public Administration and Governance-University of the Philippines (NCPAG-UP).

On water services, 99 percent of the 200 households expressed overall satisfaction with the water service of NMWSMEEDO with 91 percent indicating complete satisfaction.

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**NEW TOWN HALL.**  
Malita, a progressive municipality of Davao del Sur, is now working hard to achieve its vision of becoming a special economic zone. Mayor Franklin Bautista is leading the efforts to push the plan for the special economic zone which would make Malita an investment hub in Davao del Sur. Photo shows the town's newly constructed multi-million-peso municipal hall. The municipality is part of the second congressional district of Davao del Sur. (Ben Archa)



NAO  
221-6888  
221-6040  
223-1941  
222-5819  
221-6819  
221-8970

## Appendix 24: Stakeholder Matrix

### Identifying How Stakeholders' Interests are generated by CRC Follow up Activities

Instructions: This table is meant to assist while designing a strategy to improve services, based on the CRC findings. Keeping in mind the purpose and scope of your CRC, list the primary and secondary stakeholders in the first column of the table. Brainstorm and identify the interests of each stakeholder with regards to public service delivery; briefly summarize these interests in the second column. In the final column, assess how the proposed CRC follow up activities will affect each group's interests. Use a plus sign (+) if proposed actions will support an interest and a minus sign (-) if proposed actions will challenge an interest.

Group	Interest(s)	How post-CRC actions will affect group's particular interests (+/-)
Primary Stakeholders		
1.		
2.		
3.		
4.		
Secondary Stakeholders		
5.		
6.		
7.		
8.		
9.		
10.		

**Appendix 24 (continued): Sample Stakeholder Analysis  
 (From a previous CRC in Bangladesh)**

<b>Group</b>	<b>Interest(s)</b>	<b>How post-CRC actions will affect group's particular interests (+/-)</b>
<b>Primary Stakeholders</b>		
1. Public	Better services Lower conflicts Lessen income leakages	(+) (+) (+)
2. Urban Poor	Better services Social inclusion Access to justice	(+) (+) (+)
3. Poor Women	Social inclusion Increased security	(+) (?)
<b>Secondary Stakeholders</b>		
4. Local government	Improving service quality Reducing criticism Improving responsiveness Increasing monitoring role & participation Increasing popularity with the electorate	(+) (+) (-) (+?) (+?)
5. Senior officials	Improving public relations Insulation from politicians	(+) (?)
6. Local officials	Improving capacity to deal with public Maintaining extortion	(+) (-)
7. Local elite	Maintaining power base Reducing transaction costs in buying resources & influence	(-) (+)
8. NGOs	Improved access to services	(+)
9. Advocacy NGOs	Improved accountability Ensuring rights	(+) (+)

## ANSWERS TO SELF TEST 1 – CONTENT QUESTIONS

**1a. Correct!** In almost all democratic states, government agencies are the main providers of public services.

**1b. Incorrect!** Although some CSOs may help to provide basic public services-particularly when the government has fallen short in its responsibility - CSOs are not the key providers of public services. Government is most likely to provide public services.

**1c. Incorrect!** Although independent development agencies undertake or assist local developmental projects, they are not the key provider of basic public services. Government is most likely to provide public services.

**1d. Incorrect!** Although private profit-centric entities may provide alternate options for some services, such as drinking water and electricity, they are not most likely to provide basic public services. Government is most likely to provide public services.

**2a. Correct!** CRC generates a powerful database of citizens' experiences with regard to service delivery to help initiate advocacy and reforms.

**2b. Incorrect!** The CRC does not play a role in overturning the incumbent government. It generates a powerful database of citizens' experiences with regard to service delivery to help initiate advocacy and reforms.

**2c. Correct!** Citizen feedback helps expose extra costs related to using public services, such as the amount of bribes paid or the amount of private resources spent to compensate for poor service provision.

**2d. Incorrect!** The CRC does not in any way lobby against government role in public service provision.

**3a. Incorrect!** There is no need to apply for a formal government approval to carry out a CRC in a democratic state.

**3b. Correct!** Evaluating local conditions to determine the suitability of the proposed location to the CRC methodology is the first step in the CRC process.

**3c. Incorrect!** There are several key steps in the CRC process prior to carrying out the survey.

**3d. Incorrect!** Project planning and budgeting occurs a bit later in the process.

**4a. Incorrect!** The lead institution carrying out the CRC cannot implement the recommendations of the CRC findings; the service providers must play the key role in the implementation of CRC recommendations.

**4b. Incorrect!** The CRC findings are not specifically handed over to the party in opposition. Instead the findings are widely disseminated to initiate advocacy and reforms.

**4c. Correct!** Dissemination of the CRC findings is key to the success of the CRC methodology. The usefulness of the CRC is negligible if findings are not shared and used to facilitate improvements in public service delivery.

**4d. Incorrect!** Although agitations may occur if the CRC findings are highly negative and the government is unresponsive, the role of the lead institution is to disseminate the findings and to advocate for improvements-not instigate a mass agitation against the incumbent government.

## ANSWERS TO SELF TEST 2 – CONTENT QUESTIONS

**1a. Correct!** A democratic and multiparty system provides the most conducive atmosphere for the CRC implementation; citizens can formally (through voting) and informally (organizing, speaking out) voice their opinion and bring about changes in government.

**1b. Incorrect!** In a non-democratic, non-dictatorial state, mechanisms for citizens to voice their opinion (through elections, public meetings, and other forum) are less, or absent. The CRC methodology may have limited usefulness: citizens may find it difficult to openly provide feedback, government may ignore or try to bias the findings, and opportunities to use the findings as a platform for reform may be few.

**1c. Incorrect!** In a dictatorship, state mechanisms for citizens to voice their opinion (through elections, public meetings, and other forum) are usually absent. The CRC methodology will have limited usefulness: citizens will find it difficult to openly provide feedback, government will usually ignore or try to bias the findings, and opportunities to use the findings as a platform for reform will be few.

**1d. Incorrect!** The lack of an opposition party in a single-party democracy allows that the ruling party to be more complacent. Although this system can be conducive to the CRC methodology, it is not the most conducive.

**2a. Incorrect!** Transparency at local level has little to do with the decentralization of powers.

**2b. Correct!** Decentralization of powers provides local autonomy and allows for local changes in financial distribution and policies to improve service delivery.

**2c. Incorrect!** Decentralization does play a role in giving local actors the ability to implement reforms related to the CRC findings.

**2d. Incorrect!** Decentralization usually decreases the state's ability to bully local actors.

**3a. Incorrect!** Literacy levels among citizens do not necessarily affect the CRC findings.

**3b. Incorrect!** Political awareness among citizens does not affect their opinion on the services they receive.

**3c. Incorrect!** Citizens do not need to have the ability to oversee survey-related fieldwork, as they do not play a role in the carrying out of the CRC survey.

**3d. Correct!** The CRC methodology is most effective where individuals can freely critique government without fear of retribution. Feedback is likely to reflect the true experience of the respondent.

**4a. Incorrect!** To maintain the credibility of the findings, disseminate the findings through well-respected media.

**4b. Correct!** A proactive, independent local news agency increases the probability of timely, widespread and accurate dissemination of findings. It also increases the likelihood for follow up coverage on service quality issues.

**4c. Incorrect!** A government controlled or highly partisan media may not support dissemination, could bias the findings during dissemination, or sabotage the CRC process.

**4d. Incorrect!** Although an international news agency may help disseminate the findings to stakeholders outside the community, it will not have the same network and presence to ensure that findings are disseminated to individuals and groups within the locality (the biggest stakeholders in the CRC process).

## ANSWERS TO SELF TEST 2 – APPROACH QUESTIONS

**1a. Incorrect!** The civil society organization due to its close proximity with the government may tend to be biased and perhaps partisan in its findings. Hence it should be avoided.

**1b. Correct!** Even though the network of resident welfare groups is not very well organized at the city-level, it can carry out the survey without prejudice and will disseminate both the positive and negative findings in fairness.

**1c. Incorrect!** Only the independent fellowship is eligible due to its non-partisan nature.

**2a. Correct!** The independence of the CRC findings is more likely when diverging interests of each of the members provide a check against any one member's interest disrupting and stalling the CRC findings.

**2b. Incorrect!** The institution can be a powerful one when it is able to draw upon a variety of skills from individuals working in different sections of the society including government agencies.

**2c. Incorrect!** One of the important factors to the success of the CRC findings is an organization that is a strong local champion and a credible part of the city or sector where the initiative is launched.

**3a. Incorrect!** The existence of extreme seasons has nothing to do with the success of the CRC.

**3b. Incorrect!** The existence of a zonal structure does not result in a credible CRC, but it can help ensure that the sampling is representative.

**3c. Correct!** The CRC methodology is most effective where individuals can freely critique government without fear of retribution. Successful implementation of the CRC is only possible when those implementing feel safe.



### ANSWERS TO SELF TEST 3 – CONTENT QUESTIONS

1a. **Incorrect!** Naming the heads of public service agencies is not a specific objective of the CRC.

1b. **Correct!** When identifying the specific objectives in the CRC, the aspects of service delivery to cover are to be included.

1c. **Incorrect!** The number of users is not information to include when identifying the specific objectives in the CRC.

2a. **Incorrect!** If the service provider has/has not carried out an internal evaluation, this does not affect the decision to include the service in the CRC.

2b. **Correct!** If the leader of the service agency is reform minded then the CRC findings are more likely to be followed up.

2c. **Incorrect!** The size of the organisation or department delivering the public service does not determine if the service should be included in the CRC.

3a. **Correct!** Only those questions that are relevant to finalising the purpose of the CRC should be taken up and conflicts should be managed so they do not get out of hand.

3b. **Incorrect!** The role of the facilitator is not to answer questions; instead he/she should moderate the discussion to ensure that the participants share their opinion with regard to the FGD questions.

3c. **Correct!** The facilitator should moderate the discussion to ensure that the less vocal participants, along with the more vocal participants, have an opportunity to share their opinion.

### ANSWERS TO SELF TEST 3 – APPROACH QUESTIONS

**1a. Incorrect!** When the participants have widely divergent experiences then separate FGDs should be conducted for them.

**1b. Correct!** When the participants have widely divergent experiences then separate FGDs should be conducted for them.

**1c. Correct!** The FGD's provide information that is useful to define the scope of the CRC and to design the questionnaire; therefore, it is important to have a detailed record of the discussion.

**2a. Correct!** The Statement of Purpose does not need to include a description of the process of collecting feedback, but instead identify the areas of feedback and the type of analysis that is required.

**2b. Incorrect!** In addition to evaluating the quality of water, it is required to collect user feedback on their satisfaction with staff of the respective service provider, problem incidence and resolution, etc.

**2c. Incorrect!** The preliminary Statement of Purpose is too general and includes non-critical information on the history of drinking water provision in Mehnat.

**3a. Incorrect!** It did not cover all points and stages of creating a Citizen's Report Card in entirety. It did not incorporate the findings of the FGD into the Statement of Purpose.

**3b. Correct!** It is complete when, necessarily, the feedback from the FGD has been included.

## ANSWERS TO SELF TEST 4 – CONTENT QUESTIONS

**1a. Incorrect!** Money is not a requirement for the CRC technical team.

**1b. Correct!** Knowledge of local public service delivery helps run successful focus group discussions (FGDs) draft a good questionnaire, and interpret the findings.

**1c. Incorrect!** Good rapport between a technical team member and the incumbent government does not affect the member's ability to perform his/her tasks and responsibilities.

**2a. Correct!** Prior experience in social science surveys helps formulate, design and administer the questionnaire in an accurate and efficient manner.

**2b. Incorrect!** Professional survey agencies do not take part in the follow-up and reform activities.

**2c. Correct!** A local presence improves the agency's overall ability to understand the issues related to public service provision and the investigators' abilities to build rapport with survey respondents.

**3a. Correct!** The project leader from the lead institution remains an integral part of the process. He/she closely monitors every step of the field survey to ensure the accuracy and relevancy of results. In addition, other members of the lead institution should monitor the fieldwork to check for quality.

**3b. Incorrect!** If the lead institution does not closely monitor the fieldwork process, the quality of the collected data is highly questionable.

**4a. Correct!** Staff leaves and absences do affect the proposed schedule of the CRC process and may disrupt the punctual completion of the process.

**4b. Correct!** Rains affect the logistics and timing of the survey fieldwork, in turn affecting the CRC schedule.

**4c. Incorrect!** Service provider strikes and boycotts do not affect the functioning of the staff involved in the CRC process.

#### **ANSWERS TO SELF TEST 4 – APPROACH QUESTIONS**

**1a. Correct!** A core technical team is required to manage the design of the survey instrument, fieldwork, data entry and analysis, and completion of the written report card.

**1b. Incorrect!** People with experience in budgeting and fund-raising activities are required in the administrative department.

**1c. Incorrect!** Local celebrities would be more useful during the dissemination of findings. They would not be suitable for the technical department unless they also have experience with social science survey methodology.

**2a. Incorrect!** If surveys are carried out at times of drought or rains, a sense of bias against the MMC could result. Hence the credibility of the survey will be at stake.

**2b. Correct!** Carrying out surveys at times of normalcy lends credibility to the survey and provides a rational check on the water supply services of MMC.

**2c. Incorrect!** Forecasting weather conditions has nothing to do with imparting credibility to the survey process.

**3a. Incorrect!** If the CRC is carried out by an independent entity, as in the case here, the Garv government does not play any role in funding the CRC process at any stage.

**3b. Correct!** A local university could provide voluntary help with statistics related work or a rich business house could provide printing and copying facilities from its 'social-work' related funds.

**3c. Incorrect!** To maintain the independence of the findings, the MMC should not fund the CRC.

## ANSWERS TO SELF TEST 5 – CONTENT QUESTIONS

**1a. Incorrect!** Specifying units in the respondent's answer does not lead to confusion. Instead it provides a double check and allows for conversions when a respondent's answer is in a different unit of measurement.

**1b. Correct!** Open-ended questions create the possibility for ambiguous responses. In addition, since the answers to these questions must be coded after data is collected, the time for data entry increases.

**1c. Correct!** The object of coding is to give each question and answer a unique number to allow for easy and accurate processing. Since the answers to the open-ended questions are not known in advance, the answer must be post-coded.

**2a. Incorrect!** Including a time frame does not affect the response time to a question.

**2b. Correct!** Time frames help to avoid the collection of outdated information and to evaluate the existing system of public service delivery.

**2c. Incorrect!** Time frames are not related to the coding of the questions in the questionnaire. Instead, they help to filter out unwanted and outdated information.

**3a. Correct!** Research is required to ensure that all relevant choices are provided for closed-ended questions. If the answers options are off-track it may prevent the respondent from accurately answering the question.

**3b. Incorrect!** Yes/No answer choices should not necessarily be avoided; they may sufficiently capture the type of response that is desired.

**3c. Incorrect!** Varying number of choices across questions may be appropriate for the different types of questions that are posed.

## ANSWERS TO SELF TEST 5 – APPROACH QUESTIONS

**1a. Incorrect!** Amy is doing the wrong thing by introducing herself in a biased tone.

**1b. Correct!** The tone of the introduction sounds biased and negative on the onset. Hence it should be avoided. Instead the investigator should say, Hello, I am XXX from Dharna, an independent professional survey agency. We are currently trying to understand the quality of health services in Mehnat. Can I speak to an adult member of the household?

**1c. Incorrect!** Disclosing the name of the survey agency is not incorrect.

**2a. Correct!** A filter (or Qualifier) helps determine the eligibility of the respondent to take part in the survey. If he/she is found ineligible he/she need not proceed with the participation in the survey.

**2b. Incorrect!** Skips have been provided in the questionnaire if in case the respondent chooses option b in question number 2.

**2c. Correct!** Providing units helps ensure that answers can be aggregated and analyzed across respondents.

**3a. Correct!** Skipping FGDs and meetings with service providers prevents the collection of useful information for the questionnaire design. Hence it should be avoided. The meeting with service providers also creates an opportunity to convey the rationale of the CRC.

**3b. Incorrect!** Increasing the number of open-ended questions will not necessarily improve the quality of the questionnaire.

**3c. Incorrect!** Using professional survey agencies for fieldwork and data entry does not improve the quality of the questionnaire.

## ANSWERS TO SELF TEST 6 – CONTENT QUESTIONS

**1a. Incorrect!** Satish is carrying out sampling on a population that has subgroups. A table of random generators performs simple random sampling and not stratified random sampling, which is required in this case.

**1b. Incorrect!** Satish is carrying out sampling on a population that has subgroups. A computer random number generator performs simple random sampling and not stratified random sampling, which is required in this case.

**1c. Correct!** Satish is carrying out sampling on a population that has subgroups. The Probability Proportionate to Size (PPS) is used to calculate the number of households to be selected from an area.

**2a. Incorrect!** The field investigator administers the survey and is not responsible for carrying out quality checks.

**2b. Correct!** The field supervisor keeps in regular contact with the field coordinator and performs the necessary quality checks within his/her survey unit.

**3a. Incorrect!** The locality may not be similar to the sample one. –

**3b. Correct!** It is best to do the pilot in a similar locality preferably in the sample area.

**3c. Incorrect!** This may not get useful data.

## ANSWERS TO SELF TEST 6 – APPROACH QUESTIONS

**1a. Incorrect!** According to the description, Namaskara is not taking into consideration whether respondents are from slum or non-slum households. Stratified sampling is not being planned.

**1b. Incorrect!** According to the description, Namaskara is not taking into consideration whether a respondent is from slum and non-slum households. Stratified sampling is not being planned.

**1c. Correct!** According to the description, Namaskara is not taking into consideration whether a respondent is from slum and non-slum households. Stratified sampling is not being planned. However, because slum and non-slum respondents have vastly different experiences with the provision of drinking water services, Namaskara's approach is incorrect.

**2a. Incorrect!** Only the lanes of blocks labeled with odd numbers are being considered. From each lane, only the first three houses are being considered. This introduces a bias and is not random. However, the lack of randomness is incorrect.

**2b. Correct!** Only the lanes of blocks labeled with odd numbers are being considered. From each lane, only the first three houses are being considered. This introduces a bias and is not random. Lack of randomness is a bad approach.

**2c. Incorrect!** Only the lanes of blocks labeled with odd numbers are being considered. From each lane, only the first three houses are being considered. This introduces a bias and is not random.

**3a. Incorrect!** The first two questions should be rephrased not deleted.

**3b. Incorrect!** The bribery question should be rephrased not deleted.

**3c. Correct!** Revising the first two questions and adding a third question will help to gather the desired information.



## ANSWERS TO SELF TEST 7 – CONTENT QUESTIONS

**1a. Correct!** Conducting mock interviews familiarizes the investigators with the details and flow of the questionnaire.

**1b. Incorrect!** If the investigator administers the survey directly, he/she will not be familiar with the flow and it may result in biased data collection.

**1c. Incorrect!** Reading exactly what was worded will not help when respondents have difficulty understanding a question. They should be provided with explanations or examples.

**2a. Incorrect!** A standard pattern will not be followed across investigators when it is left to the discretion of the investigator.

**2b. Correct!** A standard procedure has to be followed, where the investigator may continue to the very next house as a substitute, and then to resume the original sampling pattern.

**3a. Incorrect!** If the data is entered only after completion of fieldwork, you miss the opportunity to notice unreasonable answers or missed questions in time to correct an error.

**3b. Correct!** This method enables you to notice unreasonable answers or missed questions in time to correct an error.

**3c. Incorrect!** A good rule of thumb is to have at least 10% of the interviews monitored through accompaniments.

**4a. Incorrect!** Investigator B will be excluded from the training as he failed to secure the required cut off points generally ranging from 7-10 and a new investigator will be selected instead.

**4b. Correct!** Investigator C will be selected for the training as he scored 9 that falls well within the cut off points generally ranging from 7-10.

**4c. Incorrect!** Investigator B cannot be selected as he failed to secure the required cut off points generally ranging from 7-10.

**5a. Incorrect!** It is not right for the investigator to assume answers as this results in biased data collection.

**5b. Incorrect!** It is not right for the investigator to assume answers as this results in biased data collection.

**5c. Correct!** When answers appear contradictory, the investigator has to return to the household and correct the mistake.

## ANSWERS TO SELF TEST 7 – APPROACH QUESTIONS

**1a. Correct!** The investigators had difficulty in classifying the barrack-type huts, as the investigators were not given clear instructions about the various types of dwellings in that location.

**1b. Incorrect!** The investigators were well informed as they were able to decide how to proceed when the listing exercise was not available.

**1c. Incorrect!** The investigators did the right thing by spending time to provide examples and explanation for questions that respondents did not understand based on what was taught during the training session.

**2a. Correct!** Since very few respondents availed the medical facilities provided by the government hospital, it is not ideal to rotate this service, as the desired sample size may not be attained.

**2b. Incorrect!** Since very few respondents availed the medical facilities provided by the government hospital, it is not ideal to rotate this service, as the desired sample size may not be attained.

**2c. Incorrect!** Booster surveys are an option once the mistake of rotating health services has occurred. But a better option is not to rotate health services (and other infrequently used services).

**3a. Incorrect!** The investigator did the wrong thing by answering in this manner as this raises false hopes in the minds of the respondent.

**3b. Correct!** This is the right way to proceed in order to accurately represent the purpose of the survey.

**3c. Incorrect!** The investigator should not discuss his/her personal view of the service; this may result in biasing the respondent's response.

## ANSWERS TO SELF TEST 8 – CONTENT QUESTIONS

**1a. Incorrect!** The Statistical Analysis Package should be used depending on the level of complexity that is required for the data findings.

**1b. Incorrect!** It is not mandatory to use the SPSS.

**1c. Correct!** This is the correct option because the complexity of the analysis must be gauged and only then the corresponding analysis tool must be picked up.

**2a. Incorrect!** The data entry has not been verified for correctness and cannot be used for analysis and subsequent interpretation directly.

**2b. Incorrect!** The data entry has only been verified and entered into the data tables. Interpretations have not been made on it to disseminate the findings to the public.

**2c. Correct!** Data should be disseminated to the public only after the interpretations are made on it.

**3a. Correct!** The Objective Section is the section that should contain the objective of the Citizen Report Card.

**3b. Incorrect!** The Methodology Section is the section that contains a description of the methodologies for conducting the survey.

**3c. Incorrect!** The Major Findings Section is the section in which the findings and deductions are presented. It is these findings that are carried forth into the evaluation and feedback portion of the entire survey.

**4a. Incorrect!** The data table suggests that the percentage of slum residents satisfied with the overall quality of water service and having a problem with piped water is 16.7 %. This is not a majority of the population.

**4b. Correct!** The percentage of people dissatisfied with the overall quality of service and having a problem with piped water is 83.3%. This is a majority of the population.

**4c. Incorrect!** The data in the table suggests that there is a correlation between the overall satisfaction with quality of service and problems with piped water.

### ANSWERS TO SELF TEST 8 – APPROACH QUESTIONS

**1a. Incorrect!** The correct percentage is 7%; usage should be taken from Table 1. Using booster data to draw conclusions about usage will produce incorrect findings.

**1b. Correct!** Usage should be taken from Table 1 (without booster data). Drawing conclusions about usage or the incidence of problems from booster data will produce incorrect findings.

**1c. Incorrect!** Since the collection of booster data was not part of the random sampling, this data should not be used to draw conclusions on proportions in the population (for aspects such as usage or the incidence of problems).

**2a. Correct!** The weighted average is the correct average to consider across the slum and non-slum areas of the city ( $[(.625*0.25) + (.444*0.75)] * 100$ ).

**2b. Incorrect!** It takes the simple average across both slum and non-slum respondents ( $[(.625 + .444)/2] * 100$ ).

**2c. Incorrect!** It is the percentage of slum respondents who were satisfied.

## ANSWERS TO SELF TEST 9 – CONTENT QUESTIONS

**1a. Correct!** Language is important for dissemination, as you have to present the findings in a language appropriate for intended audience. In terms of phrasing, the language should be suitable and understandable.

**1b. Incorrect!** You cannot effectively communicate key findings if presented in a language that the stakeholders cannot understand.

**2a. Incorrect!** Face-to-face contact may reach fewer people but is more effective, especially pre launch presentation to service providers. It complements other broad dissemination efforts.

**2b. Incorrect!** Having just one type of media will not enable you to reach a greater proportion of the target audience and thus the objectives of the CRC will not be met.

**2c. Correct!** This method will give key stakeholders an opportunity to engage with the findings and generates useful feedback.

**3a. Incorrect!** The press note can have graphics to illustrate some technical information.

**3b. Incorrect!** In the process of communicating the findings to the audience, the press note can mention suggestions for improvement.

**3c. Correct!** The press note should be a concise document, ideally not more than 1-3 pages.

## ANSWERS TO SELF TEST 9 – APPROACH QUESTIONS

**1a. Incorrect!** Though you provide a balanced picture of service delivery, it is not right to target the findings towards one individual.

**1b. Correct!** Always address the system as a whole when you share the findings with the service provider. Also ensure that you provide a balanced picture of service delivery, both the good and bad feedback from citizens.

**1c. Incorrect!** Always ensure that you provide a balanced picture of service delivery whoever the target audience may be.

**2a. Correct!** Based on who should receive the message and who will be involved in bringing out the actual change, it is good to have multiple dissemination vehicles. This way you will reach a greater proportion of the target audience and thus satisfy the objectives of the CRC.

**2b. Incorrect!** It is not wrong to target other levels and part of the government, as they do have direct or indirect influence over financing and decision-making related to service delivery at the local level.

**2c. Incorrect!** There are other groups to consider: media, other levels/parts of government, etc.

**3a. Incorrect!** The editor will have difficulty in understanding the technical language and will not be able to provide a clear picture of the entire findings.

**3b. Correct!** The editor will not necessarily be able to understand and interpret the technical report in the way in which they were intended. In the process she may miss out the key findings.

**3c. Incorrect!** The current political party will have exclusive control of what information is covered in the newspaper. This affects the credibility and objectivity of the findings.

**4a. Incorrect!** When service providers are not given advance notice of what is happening, they will not be willing to share the plans they propose to come out with.

**4b. Incorrect!** Service providers will not come forward to improve the questions presented in the questionnaire since they were not kept informed of what was happening.

**4c. Correct!** Not discussing the findings with the respective service providers prior to the public release will weaken the partnership and they are less likely to cooperate in future.

## ANSWERS TO SELF TEST 10 – CONTENT QUESTIONS

**1a. Incorrect!** Dissemination planning is the process of developing a strategy that will help to ensure that findings reach the intended audience.

**1b. Incorrect!** Survey is the process of collecting data at the individual or household level; thus taking into account the experience of a single user.

**1c. Correct!** Advocacy is the process of mobilizing the public opinion and citizen participation to effect changes.

**1d. Incorrect!** Providing service is the duty of service providers.

**2a. Correct!** Stakeholder Analysis is a simple tool that requires you to identify CRC stakeholders, recognize their interests, and assess whether the advocacy actions are likely to support or challenge their interests.

**2b. Incorrect!** Impact Matrix is a tool that asks you to create a list of potential advocacy efforts and consider the potential impact of each.

**2c. Incorrect!** Reform is the process of improving or correcting the level of service to provide a better service.

**2d. Incorrect!** Responsiveness refers to the receptivity of service providers to outside complaints and suggestions as demonstrated through the implementation of changes to internal structures, procedures and processes.

**3a. Incorrect!** Stakeholder Analysis is a simple tool that requires you to identify CRC stakeholders, recognize their interests, and assess whether the advocacy actions are likely to support or challenge their interests.

**3b. Correct!** Impact Matrix is a tool that asks you to create a list of potential advocacy efforts and consider the potential impact of each.

**3c. Incorrect!** Reform is the process of improving or correcting the level of service to provide a better form of service from the service providers.

**3d. Incorrect!** Responsiveness refers to the receptivity of service providers to outside complaints and suggestions as demonstrated through the implementation of changes to internal structures, procedures and processes.

## ANSWERS TO SELF TEST 10 – APPROACH QUESTIONS

**1a. Correct!** Advocacy requires systematic planning and flexibility.

**1b. Incorrect!** The SMF is not designated to carry out this task.

**2a. Incorrect!** Support from local residents is critical for advocacy and reform efforts.

**2b. Correct!** SMF should first try to work with service providers to improve drinking water services. Conducting a sit-in or a demonstration is a potentially effective means to apply pressure on service providers, if they are unwilling or uninterested in making improvements.

**2c. Incorrect!** Advocacy is usually undertaken because the entity itself cannot solve the problem. Instead, the SMF can advocate for improvements in drinking water or undertake a pilot effort to identify and recommend how the MMG might address the problem at the municipal level.

**3a. Correct!** SMF should not politicize the findings. If the opposition party presents the findings the CRC will be viewed as a biased political tool and not an independent, credible voice of the people.

**3b. Incorrect!** The opposition leaders should not be involved in spreading the CRC findings. The findings should be viewed as an independent and credible voice of the people.

**4a. Incorrect!** Advocacy necessarily involves collaborations across NGOs and other types of organizations.

**4b. Correct!** Zero Tolerance is a national level NGO and may not be best equipped to focus on municipal level concerns. The organization leading the advocacy campaign should be from within the locality as they will be in a better position to mobilize people and resources and more familiar with the appropriate strategies to adopt.

**4c. Correct!** Having a highly controversial organization spearhead advocacy efforts could diminish the independence and unbiased nature of the findings.