

MANAGEMENT AGENCY  
Multi Donor Trust Fund



**Ethiopia Social Accountability Program (ESAP3**)

**Grant Agreement [TF0A9293]**

**Progress Report 4**

**October – December 2019**

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## 

# List of Acronyms

CSC Community score card

ERA Ethiopian Roads Authority

ESAP2/3 Ethiopia Social Accountability Program Phase 2/3

FDRE Federal Democratic Republic of Ethiopia

FHH Female headed households

FTA Financial Transparency and Accountability

GoE Government of Ethiopia

GRM Grievance Redress Mechanism

GSI Gender and social inclusion

JAP Joint action plan

JRIS Joint review and implementation support

MA Management agency

MBO Mass based organization

MDTF Multi donor trust fund

M&E Monitoring and evaluation

MoF Ministry of Finance

MoH Ministry of Health

MoU Memorandum of understanding

NGO Non-governmental organization

PFM Public Finance Management

PLWH People living with HIV/AIDS

PPB Participatory planning and budgeting

PTA Parent teacher association

PWD People with disability

QDA Qualitative data analysis

QR Quarterly report

RF Results framework

SA Social accountability

SAC Social accountability committee

SAIP Social accountability implementing partner

SNNPR Southern Nations, Nationalities and People Regional State

VNG Association of Netherlands Municipalities (*Vereniging Nederlandse Gemeenten*)

WB World Bank

WSAE Woreda social accountability expert

# Executive Summary

The MA continued to monitor and provide program management and implementation oversight and support ESAP3’s 76 social accountability implementing partners (SAIPs). The MA team participated in various external visits and program assessment missions where the current status and future direction of ESAP was shared with its government stakeholders and development partners. The MA also embarked on a thorough strategic review, and a concurrent revision of its routine monitoring and evaluation (M&E) system.

Key MA activities and results of the quarter:

* Prepared ToR for a FTA-SA-GRM guidelines revision mission, established taskforce and started the update of the guidelines.
* Conducted a consultative meeting with SAIP executive directors (EDs) and program coordinators (PCs), where guidance was provided by the MA on ESAP strategic focus, program priorities and operational matters (M&E, lead and subgrantee relationships, grant amendment). Guidelines were shared with all.
* Conducted a training for GSIEs on mainstreaming gender in social accountability (SA).
* Conducted a training for community radio journalists on the role of the media in SA.
* Finalized and submitted grant and operation manuals, as well as financial and program implementation manuals.
* Conducted monitoring visits to 28 ESAP woredas to track work progress and provide capacity development support targeting identified implementations gaps and challenges that SAIPs experienced.
* Participated in and/or prepared field missions involving JRIS participants and development partners (DPs).
* Developed and submitted ESAP 2020 annual work plan and innovation grants guidelines for review by multi-donor trust fund (MDTF), development partners (DPs) and the Ministry of Finance (MoF).

Key activities planned for the next quarter (January – March 2020)

* Review SAIP work plans and budgets for 2020, identify cluster leads, and execute grant agreements.
* Based on a training needs assessment for MA staff involved in monitoring visits, conduct a one-day training on monitoring practice.
* Update and modify the MA’s monitoring protocol in accordance with the ESAP change in strategy
* Conduct ToT for SAIPs (PCs) and regional BoFED partner staff (PFM) on aligning SA implementation with woreda level planning and budgeting processes.
* Continue field monitoring visits to SAIP woredas and provide technical, operational and program support to partners.
* Finalize the FTA-SA-GRM partnership guidelines and submit to the multi-donor trust fund (MDTF) for approval.
* Develop a training program for SAIPs (M&E officers and PCs in particular) on organizing and running project review meetings.
* Participate in ESAP technical and steering committee meetings.
* Collaborate with and provide support to the World Bank consultant assigned to align a supply side intervention (IDA 2020) with MA activities funded by MDTF
* Addis Abeba staff will receive a safety & security training.

During this quarter, most of the SAIPs were engaged in putting in place the right SA structures, revitalizing existing ones and scaling up to new areas. As ESAP is shifting its implementation strategy with a more coherent focus on woreda level activities, partners needed guidance from the MA to make transitions smoothly.

Some of the activities of SAIPs in the reporting period include:

* SACs are being revitalized in old woredas and established in new ones
* Signing of MoUs between SACs and respective sector offices
* Updating of joint action plans (JAPs) in existing woredas
* Citizen mobilization and preparatory work for CSC implementation in new woredas
* Finalization of social mapping exercises that identified vulnerable and excluded social groups
* Assessing SAC composition in accordance with ESAP guidelines.
* Identification and inclusion of women and vulnerable groups in SAC activity
* Selection of sectors and scaling up to more kebeles
* Collection and submitting monitoring data to the MA through an offline survey app.
* Hosting different monitoring and review missions by the MA, government and DPs.

# Technical Progress

This section presents, by component, progress on the ESAP3 key indicators during the period October 1 – December 31, 2019 (See Annex 4 for complete list of key indicators).

**General note on indicators**

Coverage and SA progress data are collected and submitted by woreda SA experts through an offline survey app. There is substantial improvement in both quality and quantity of data provision compared to the previous quarter as M & E officers in each cluster are getting more familiar with and skilled in working with the system and providing support to woreda SA experts (WSAEs). More emphasis was given to the collection of data at woreda level on SAC membership, SA process and SA events.

By the end of the reporting quarter, just over 90% of the woredas had provided data on SAC membership and SA process, at 289 and 286 woredas respectively. One partner (ECC), working in Oromia and Benishangul regions in 13 and 7 woredas respectively, was unable to provide data for most of its woredas due to security reasons. In Gambela region, woreda SACs were not established due to natural causes, such as flooding. Some partners stated that they were prioritizing social mapping prior to the creation of SACs; they could, therefore, not provide data for this quarter. With 266 woredas reporting on SA events, the coverage rate was 84%. Consistency and quality of data is checked through triangulation of the different data forms (e.g. SAC membership, SA events as well as the basic woreda info template).

## Component 1: To expand SA

Component 1 deals with the scaling of SA to additional woredas and kebeles, covering sectors that represent priorities set by citizens.

Table 1: Indicator update on component 1 - scaling

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **#** | **Key Indicator** | **Baseline** | **Progress** | **ESAP Endline** |
| 5 | # woredas covered | 240 | 317 | 400 |
| 6 | # of SACs functioning in woredas | 200 | 289 | 400 |
| 7 | # woredas/kebeles that have completed the SA process (5 phases) in at least 2 GoE budget cycles | 0 | 0 | 180 (185) |

Key Indicator 5 - Woreda coverage

The increase from 240 to 317 woredas (including 119 PSNP woredas) was achieved in the second quarter (July 2019) and described in previous reports. The number of ESAP woredas will remain constant till the next call for proposals (CFP) which the MA plans on issuing once the government has shared a list of selected woredas. Since the targeted number of woredas is 400, and the number of woredas covered currently stands at 317, it is expected that 83 new woredas will be added, reaching the 2020 target as per agreement of 400 woredas.

Within a woreda, the percentage of kebeles covered is targeted at 75% of all kebeles for ‘old’ woredas (240) and at 50% for new woredas (77). The MA’s intensive monitoring reveals major challenges experienced by all SAIPs in trying to achieve these targets. The quality of the program appears to be at risk due to targets that may have been set unrealistically, and without making a distinction between woredas based on the total numbers of kebeles. A ‘one size fits all’ approach rarely works.

Yet, kebele coverage overall is at 61% based on available data from 286 woredas. This is an increase of about 28 percentage points compared to the ESAP 2 endline. Among the existing ESAP woredas, 148 were able to include additional kebeles. Among these, 89 of them were able to cover 75% or more (see table 1a below).[[1]](#footnote-2) Concerns about quality of implementation remain.

Data on kebele coverage does not include Addis Ababa and Benishangul Gumuz. For Addis Ababa, kebele structure is not available while kebele level data was not submitted from Benishangul Gumuz (ECC cluster). The largest increase was observed in Tigray and Afar (51% and 41% respectively).

Table 2: Number and percentage of kebeles  
covered in ESAP

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Number kebeles covered by ESAP** | **Number kebeles not covered by ESAP** | **Total number of kebeles** | **Perc coverage** |
| Afar | 124 | 14 | 138 | 89.9 |
| Amhara | 611 | 504 | 1115 | 54.8 |
| Dire Dawa | 33 | 6 | 39 | 84.6 |
| Gambela | 31 | 47 | 78 | 39.7 |
| Harar | 16 | 0 | 16 | 100.0 |
| Oromia | 1018 | 845 | 1863 | 54.6 |
| SNNPR | 711 | 376 | 1087 | 65.4 |
| Somali | 62 | 6 | 68 | 91.2 |
| Tigray | 408 | 115 | 523 | 78.0 |
| **Total** | **3014** | **1913** | **4927** | **61.2** |

In the 240 existing woredas, SA is expected to work across all sectors. There are indications that some partners/woredas are targeting specific sectors, which is likely in accordance with citizen priorities. Obviously, this is a positive development, and it would not make sense to expect that SA interventions be conducted covering *all* sectors.

To date, sector data are provided both at woreda and kebele level. When focusing on woredas, we observe that 43 new woredas already selected sectors. Education is most frequently selected, followed by health, WASH, agriculture and rural roads (see Fig. 1). Out of these 43 new woredas, 35 woredas cover one or two sectors. Some woredas (as well as kebeles) engage in all sectors (e.g., Abergele, Dabat, Ziquala and Debub Achefer in Amhara region). The MA will continue to monitor this closely, as quality may become compromised when expansion occurs too rapidly.

Figure 1: Sectors covered in new woredas

In regard of the ESAP SAC network, the MA has concluded that kebele SACs are not only resource intensive, but also represent unsustainable parallel structures for which good alternatives are available. SAIPs were instructed early December to start identifying existing community structures and user groups at the grassroots level that could perform the tasks of a kebele SAC, but in a sustainable manner.

While SAIPs are expected to ensure that linkages are established between these community groups – the MA is also exploring the use of kebele councils as citizen representation – the MA will focus on guiding and measuring the woreda level implementation of the SA process. This is where planning and budgeting takes pace, and where joint action plans (JAPs) presenting consolidated citizen priorities, would provide input into that process.

Woreda SACs are the key intervention structures that are expected to work in close partnership with the woreda local government to achieve this important step in the participatory planning and budgeting process; it starts at community level.

Following the December meeting with the SAIPs, guidelines were shared for immediate implementation. Following up on implementation will be a priority for the MA during the next quarters. In addition, the MA will provide support to SAIPs in their effort to transition SA implementation at community (kebele) level from kebele SACs to existing community structures. Going forward, ESAP will no longer support kebele level SACs.

Key Indicator 6 - SAC functionality[[2]](#footnote-3)

Four months into project implementation, SACs exist in the majority of woredas. Of the 317 woredas, more than 90% (289) of the woredas were able to submit SAC membership data at woreda level. SACs were established in new woredas. Existing SACs in ‘old’ woredas that were reported as being inactive during the previous quarter are being revived; their ‘functionality’ will be monitored.

The MA received lists with complete SAC membership data from five regions only: Amhara, Dire Dawa, Harar, Somali and Tigray. The lowest reporting is from Benishangul Gumuz which is among the regions where data could not be provided due to security reasons (see Table 3).

Table 3: Number of woreda SACs in ESAP3

|  |  |  |  |
| --- | --- | --- | --- |
| **Region** | **# of WSACs** | **Total # of ESAP woredas** | **Share of WSACs (%)** |
| Addis Ababa | 38 | 42 | 90 |
| Afar | 10 | 13 | 77 |
| Amhara | 50 | 50 | 100 |
| Benishangul Gumuz | 2 | 7 | 29 |
| Dire Dawa | 4 | 4 | 100 |
| Gambela | 4 | 5 | 80 |
| Harar | 3 | 3 | 100 |
| Oromia | 87 | 100 | 87 |
| SNNPR | 47 | 50 | 94 |
| Somali | 19 | 19 | 100 |
| Tigray | 24 | 24 | 100 |
| **Total** | **289** | **317** | **91** |

Key Indicator 7 - SA process

Data from the smartphone-based ‘SA process’ survey form provides information about progress made in implementing the social accountability process, from mobilization to JAP implementation.

According to the SA process data, of the 55 new woredas that reported, 49 are at an early stage in the SA process (i.e. mobilization and access to information - see Figure 2 and Table 4 below). Several woredas (and kebeles) engage in more than one sector (see discussion in key indicator 5 section) and progress may differ per sector. Start-up activities include: project launch workshops, and SA training for SAC members, community groups and service providers.

For existing woredas, the SA process is at different steps of implementation, and the MA is currently assessing their status. We will present updates routinely in upcoming reports.

Figure 2: SA progress in new woredas (n=106)

Note: ESAP3 added 77 new woredas, with some of those engaging in more than one sector, hence the n=106. Also, not all steps are sequential as, for instance, ‘access to information’, once established, must be a constant throughout the process.

Only in Amhara, Oromia and Somali regions did woredas move to SA assessment using the community score card (CSC). No interface meetings have yet occurred; thus, no JAPs were developed (see tables 4 and 5).

Table 4: SA process status of new woredas by region

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Region/ City** | **Not started CSC process** | **Mobilization / social mapping** | **Access to information** | **SA Assessment (CSC)** | **Total** |
| Addis Ababa | - | 6 | 5 | - | 11 |
| Afar | - | 1 | 3 | - | 4 |
| Amhara | - | 26 | 16 | 7 | 49 |
| Oromia | 3 | 15 | 6 | 3 | 27 |
| SNNPR | 7 | 3 | - | - | 10 |
| Somali | - | 3 | 1 | 1 | 5 |
| **Total** | **10** | **54** | **31** | **11** | **106** |

Note: ESAP3 added 77 new woredas, with some of those engaging in more than one sector, hence the n=106.

We see a similar picture at kebele level. Overall, 1,228 kebeles in new woredas are engaging in the SA process in one or more sectors. Only a small percentage have started the assessment.

A substantial increase in sector assessments (both woreda and kebele) and development of woreda level JAPs is anticipated for the upcoming quarters.

Table 5: SA process kebele status in new woredas by region

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Region/ City Admin.** | **Not started CSC process** | **Mobilization/ social mapping** | **Access to information** | **SA Assessment (CSC)** |
| Afar | - | 10 | 10 | - |
| Amhara | - | 386 | 279 | 77 |
| Dire Dawa | - | - | 15 | - |
| Oromia | 178 | 219 | 86 | 23 |
| SNNPR | 59 | 231 | 233 | - |
| Somali | - | 1 | 38 |  |
| Tigray | - | 417 | 619 | - |
| **Total** | **237** | **1264** | **1280** | **100** |

Participatory planning and budgeting (PPB) was planned as an SA activity in old woredas. However, as data and monitoring visits as well as pre-JRIS field visits over the reporting quarter confirmed, no woredas are yet at a stage that allows for citizens to meaningfully engage with the planning and budgeting process.

The concept of PPB needs revisiting. It is not a tool in a broader SA process, but virtually synonymous to SA as concept. “Participation” in a process that leads to planning and budgeting at woreda level starts at the grassroots. Citizen priorities are then transmitted to woreda level SACs that prepare JAPs with consolidated priorities in a format and at a time to allow these to become relevant input into the woreda council’s planning and budgeting cycle.

ESAP is intensifying its collaboration with the FTA program, which enhances budget transparency and literacy. Through this collaboration, and indeed by working more closely with woreda councils, the JAPs should influence the budgeting proceedings.

A training of trainers (ToT) for 22 cluster leads and their regional BoFED counter parts is planned to align SA interventions on the ground with woreda level planning and budgeting processes.

Table 6: Update Component 1 - scaling

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Results framework | Activities | Q1 | Q2 | Q3 | Q4 | Progress[[3]](#footnote-4) |
| Outcome 1.1: # of target woredas and kebeles increased | 1.1.1 Selection of new 77 woredas[[4]](#footnote-5) |  |  |  |  | Completed |
| 1.1.2 Performance assessment 22 clusters that operated under ESAP-BP |  |  |  |  | Completed |
| 1.1.3 Restricted call for proposals to cover 223 old + 77 new woredas |  |  |  |  | Completed |
| 1.1.4 Assessment CSO proposals |  |  |  |  | Completed |
| 1.1.5 Contract negotiations and signing of contract agreements |  |  |  |  | Completed |
| 1.1.6 Pre-disbursement training |  |  |  |  | Completed |
| 1.1.7 Disbursement of grants |  |  |  |  | Completed |
| 1.1.8 Monitoring of SAIPs |  |  |  |  | In progress; 28 monitoring visits conducted and action plans developed by 31/12/2019 |
| 1.1.9 Reports by SAIPS |  |  |  |  | 21 reports received |
| Outcome 1.2: # of sectors increased | (Activity plans of grantee projects) |  |  |  |  | In progress (see narrative key indicator 1) |
| Outcome 1.3: SA uptake expanded |  |  |  |  |  |  |
| Output 1.3.1: SACs established, strengthened and/or given targeted support | (Activity plans of grantee projects) |  |  |  |  | In progress |
| Output 1.3.2: in new woredas 2-year SA cycle complete |  |  |  |  |  |  |
| Output 1.3.3: JAPs developed, implemented and monitored | (Activity plans of grantee projects) |  |  |  |  | Not started |

During the quarter, 28 woredas were visited (see table 7) by MA monitoring teams, including 7 new woredas. It is not possible to visit all ESAP woredas (n=317 at present) in a year, and criteria have been established to prioritize the visits. These include: implementation problems, a balance between the regions, new vs. old and rural vs. urban woredas, and time elapsed since last visit. The MA aims to monitor both cluster leads and sub-grantees (76 in total).

Table 7. Number of woredas visited per region

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Region** | **Oct** | **Nov** | **Dec** | **Grand Total** |
| Oromia | 1 | 7 | 1 | 9 |
| Amhara | 3 |  | 3 | 6 |
| Tigray |  | 4 |  | 4 |
| Addis Ababa |  | 3 |  | 3 |
| Somali |  | 3 |  | 3 |
| Benishangul Gumuz |  |  | 2 | 2 |
| Afar |  | 1 |  | 1 |
| **Grand Total** | **4** | **18** | **6** | **28** |

Monitoring reports are systematically analyzed with QDA Miner. Issues observed during the monitoring visits include: a suboptimal functioning of the SAC; imbalance in SAC composition (government and/or male dominated); delays with signing an agreement with local government; management issues (e.g. relationship between lead and implementing partner, inadequate capacity of the woreda SA coordinators); and budget-related challenges.

Some of the findings relate to staff turn-over at SAIPs, but are likely also due to the quality of monitoring of SAIPs during ESAP2’s BP and EP. All visited woredas/partners are ‘doing ok’, meaning implementation is generally according to schedule. It says less about the quality of the activities, however, and the MA is addressing this, among other by adjusting its M&E system. Deficiencies found are being addressed, and guidance is being provided while implementation approach goes through a strategic shift (see above and AWP2020).

## Component 2a - Support institutionalization and sustainability of SA for enhanced service delivery through horizontal integration

Horizontal integration refers to the governance interactions within one tier of government (e.g. within the kebele, woreda or the region), including the collaboration among service providers from various government institutions where required for service delivery – e.g. water in schools and health centers, public works in the PSNP for rural roads construction.

From a total of 3,461 woreda SAC members, 18.5% (640) are reported to be representatives of local community structures and service user groups (see table 8).

Table 8: Indicator update component 2a – horizontal integration

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| # | Key Indicator | baseline | progress | ESAP endline |
| 8 | Proportion of local community structures and service user groups that are member of SAC | 0 | 18.5% | 50% |
| 9 | % of citizens claiming their service entitlements in the intervention woredas through the SA process | 30% |  | 60% |
| 10 | # of kebeles and woredas where citizens' role in budget cycle has increased | 0 |  | 50% |
| 11 | # of kebeles and woredas where frontline service providers are more responsive through citizens needs through the SA process | TBE |  | TBE |
| 12 | % of kebeles and woredas with examples of structures/procedures to ensure SA processes are established within the service provider institutions | 0 |  | 75% |
| 13 | % of woredas that have increased the number of budget hearings | 0 |  | 75% |
| 14 | % of kebeles and woredas where the council actively monitors JAP implementation | TBE |  | TBE |

Key Indicator 8 – Proportion of local community structures and service user groups that are SAC member

SAC membership data provide information on, among other, whether SACs are active, which organizations are represented by the SAC members, and which vulnerable social groups are represented. SAC membership data was received from 289 woredas, or 91% of all ESAP woredas. We did not observe substantial differences from the previous quarter when data on just one third of ESAP3 woredas was available (see tables 9 and 10).

Table 9: Composition of woreda SACs

|  |  |  |  |
| --- | --- | --- | --- |
| **Institution/ Organization** | **Number of members** | **% of members** | **% of female SAC members** |
| Woreda sector office | 893 | 26 | 21 |
| Citizen/user | 529 | 15 | 32 |
| Administration (mayor, women affairs office, kebele manager) | 496 | 14 | 37 |
| (Organization representing) vulnerable groups | 359 | 10 | 37 |
| Woreda finance office (GRM[[5]](#footnote-6), FTA) | 357 | 10 | 22 |
| MBO, CCC, traditional community leaders, religious leaders, etc. | 281 | 8 | 20 |
| Council | 258 | 7 | 38 |
| Frontline service provider (teacher, health extension worker, other) | 193 | 6 | 23 |
| Mixed structures (PTA, water committee) | 95 | 3 | 34 |
| **Grand Total** | **3461** | **100** | **28** |

Table 9 provides an overview of woreda SAC composition. The woreda SAC is dominated by members who belong to government with the largest share attributed to *woreda sector office* (26%), followed by *administration* (*mayor, women affairs office, kebele manager*) (14%) and *woreda finance office* (10%). Women SAC members account for 28%. Among the institutions, the highest percentage of women representation is observed among *council members* (38%) followed by *administration (mayor, women affairs, kebele manager)* and *organizations representing vulnerable groups* (both at 37%).

Further analysis of the SAC data reveals that:

* Representation of women as woreda chair is low (14%)
* Regionally, the dominance of government officials is especially high in Benishangul Gumuz (89%), followed by Tigray (70%). Citizens/citizen groups represent the majority in Harar (62%), followed by Dire Dawa (60%) and Somali (58%). Clusters understand the need to revisit this composition and are in the process of making corrections.

Table 10: Community structures and service user groups representing vulnerable groups on SACs

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Vulnerable groups (SAC members)** | **Orgs representing vulnerable groups** | **Citizen /user** | **MBO, CCC, traditional community leaders, religious leaders, …** | **Grand Total** | **% of vulnerable groups** |
| PWD | 118 | 41 | 7 | 166 | 24.3 |
| Elderly | 41 | 48 | 73 | 162 | 23.7 |
| Youth | 46 | 80 | 7 | 133 | 19.5 |
| PLWHIV | 88 | 23 | 1 | 112 | 16.4 |
| FHH | 38 | 19 | 7 | 64 | 9.4 |
| Other | 9 | 18 | 6 | 33 | 4.8 |
| PSNP client | 9 | 3 | 1 | 13 | 1.9 |
| **Grand Total** | **349** | **232** | **102** | **683** | **100** |

Table 10 shows participation of vulnerable people in SACs. From all SAC members who are identified as ‘vulnerable people’ (n=683), 51% (n=349) represent a formal organization. About 15% (n=102) represent informal groups such as MBOs, CCCs or Iddirs, or have an important role in the community, such as religious leaders. Of the vulnerable SAC members, 34% are individual citizens not representing an organization; this is, especially, the case for youth.

Table 11: Update Component 2a – horizontal integration

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Results framework | **Activities** | **Q1** | **Q2** | **Q3** | **Q4** | **Progress** |
| Outcome 2a.1: Local community structures and service user groups organized in order to use SA to improve public services strengthened | Output 2a.1.1: Diverse and inclusive user groups and/or local networks identified and brought into SA process |  |  |  |  | Ongoing; MA trained GSIEs on gender and SA.  SAIPs identified PLHIV, PWD, PTSAs, health boards, water committee, food security task force, rural roads committee and kebele councils |
| Output 2a.1.2: Vulnerable and marginalized groups identified and strengthened to ‘entry level’ (can participate in the SA process) |  |  |  |  | As above |
| Output 2a.1.3: In case vulnerable and marginalized groups are not organized in the area, focus groups organized or integration into existing community groups stimulated. |  |  |  |  | No progress reported during quarter |
| Outcome 2a.2: citizens claiming their entitlements through the SA process | Output 2a2.1: social mobilization and awareness raising strategies |  |  |  |  | Ongoing –Awareness raising and information sharing campaigns are being implemented |
| Output 2a.2.2: Service users (community structures) trained on SA including standards, entitlements and responsibilities, information law, approaches to engage service providers |  |  |  |  | Ongoing |
| Output 2a.2.3: Service users (community structures) claim access to information about service provision |  |  |  |  | No progress reported this quarter |
| Outcome 2a.3: citizens’ role in budget planning, implementation and monitoring increased (reinforced) | Output 2a3.1: Citizens and community groups prepare for participation in planning, budgeting, and monitoring of basic service delivery, including the application of gender analysis (training can be useful) |  |  |  |  | On hold pending SAC revitalization and training of SAC members ; moved to 2020 |
| Output 2a.3.2: Citizens (through community structures) in the intervention woredas and service sectors use established mechanisms to participate in budget planning |  |  |  |  | Ibid |
| Outcome 2a.4: frontline service providers are more responsive to prioritized needs of citizens through the SA process | Output 2a4.1: Providers trained on SA process and tools, including approaches to engage with service users, gender mainstreaming., |  |  |  |  | Planned for 2020 |
| Output 2a.4.2: Providers are making standards available |  |  |  |  |  |
| Outcome 2a.5: Structures/procedures to ensure SA processes are established within the service provider institutions (and/or sector bureaus) | Output 2a.5.3: SA, FTA and GRM focal points work together and coordinate their activities with citizens at woreda level |  |  |  |  | Contacts with FTA at both federal and regional levels established, and collaboration ongoing |
| Outcome 2a.6: Woreda administration lead a woreda planning and budgeting cycle that is transparent, accountable and responsive to citizens | Depends on the result of 2b.2.6 |  |  |  |  | Pending planning and budgeting cycle – on hold until 2020 |
| Outcome 2a.7: government accountability and oversight structures (kebele, woreda council) strengthened to embed and sustain SA initiatives in their mandated roles and functions | Output 2a.7.1: Woreda and kebele councils have an increased understanding of SA processes and their role/responsibilities by government accountability and oversight structures |  |  |  |  | Planned for 2020 |
| Output 2a.7.2: Council checks if sector plans have been shared with citizens and if it responds to their needs (gender, vulnerable groups) |  |  |  |  | Planned for 2020 |
| Output 2a.7.3: Sector plans (incl JAPs) approved and monitored by council |  |  |  |  | Planned for 2020 |

## Component 2b - Support institutionalization and sustainability of SA for enhanced service delivery through vertical integration

The vertical integration of citizens and CSO interaction with government officials across the woreda, regional and federal levels have the potential to improve service delivery, procurement, and use of limited public resources. The promotion of vertical integration involves strengthening (a) the capacities of citizens and the regional and federal government to interact productively; and (b) woreda-region interaction to better incorporate woreda experience into public, transparent decision-making processes that will improve woreda-level service delivery.

Whereas SA in ESAP2 focused on kebele and woreda responsibilities for basic service delivery, ESAP3 takes SA to functions and responsibilities of other tiers of government.

**Table 12: Indicator update component 2b – vertical integration**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| # | Key Indicator | baseline | progress | ESAP3 endline |
| 15 | # of issues raised/discussed under the FTA-SAS-GRM partnership at regional level | 0 |  | 250 |
| 16 | # (and/or size) of innovation grants | 0 |  | 50 |
| 17 | # of policy lessons, guidelines, etc provided by Federal level based on innovation grant experiences | 0 |  | 5 |

No progress to report on key indicators 15, 16 and 17. The innovation guidelines approval is pending.

Table 13: Update Component 2b – vertical integration

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Results framework** | **MA – Activities** | **Q1** | **Q2** | **Q3** | **Q4** | **Progress** |
| Outcome 2b.1: CSOs and regional government work together (under the FTA-SA-GRM partnership) to resolve prioritized, systemic woreda-level issues | 2b.1.1 Work with MoF task force to update the FTA-SA guidance document for ESAP3, including GRM complementarity; organize consultations in the regional FTA-SA-GRM partnerships; organize roll-out of the final document to scaling grantees. |  |  |  |  | Updating the guidance has started |
| 2b.1.2 Develop sector score cards for monitoring (with M&E), and subsequent JAP monitoring data analysis for 11 regions to identify and priorities cross-woreda issues |  |  |  |  | Sector score cards completed |
| 2b.1.3 Support BoFECs and regional sectors to identify and prioritize regional infrastructure projects that could benefit from a SA process |  |  |  |  | 2020 |
| 2b.1.4 Work with BoFEC NGO desk to launch an information campaign for NSA to lead innovation grants, and for regional CSOs to represent citizens in the regional FTA-SA-GRM partnership and/or processes facilitated with innovation grants |  |  |  |  | 2020 |
| 2b.1.5 Support FTA-SA-GRM partnership to design innovations and start grant making |  |  |  |  | 2020 |
| 2b.1.6 Identify technical assistance needs for innovation grants and provide assistance / hire consultants |  |  |  |  | 2020 |
| 2b.1.7 CFP innovation grants. Signing of the grant agreement and further monitoring |  |  |  |  | 2020 |
| Outcome 2b.2:Policy framework is developed for all regions/woredas, based on successful innovations from ESAP2 and flowing from the innovation grants together with federal level (MOFEC and sectors) | 2b.2.1 Work with MoF to formalise the relationships with ERA, MoH and MoA/PSNP in an MoU - joint action plan. |  |  |  |  | Delayed |
| 2b.2.2 Work towards ERA approval of the draft citizen charter of rights and responsibilities (ESAP2) and support ERA to roll-out the citizen charter with regions and SAIPs. Making new contacts with team leader of rural roads office under ERA |  |  |  |  |  |
| 2b.2.3 Action-research step 1) complementarity of the MoH and ESAP2 'Community Score Card' initiatives; 2) design and test a 'citizen charter of rights and responsibilities' for future service assessments by citizen groups |  |  |  |  |  |
| 2b.2.4 Action-research step 1) relevance of PSNP monitoring of the client charter for service assessment by clients, 2) design and test a citizen service assessment / JAP template that benefits both programs |  |  |  |  |  |
| 2b.2.5 Work with ERA, MoH and PSNP officials to define 'vertical integration' opportunities based on their analysis of system bottlenecks that could benefit from transparency & accountability. Use this as inputs to regional FTA-SA-GRM partnerships to inform design of innovations. Already started during the LE held in September 2019. |  |  |  |  |  |
| 2b.2.6 Work with MoF, FTA and Gender Directorate and AAU Gender Studies Department - on action-research step 1) comparative analysis of the (gender responsive) impact of citizen inputs in the PPB/GRB tool and the FTA pre-budget hearing pilot 2) design and test updated guidelines for more citizen engagement moments in the annual budget cycle, and gender responsive budget practice; 3) support regional adoption of the guidelines (with SAIPs) |  |  |  |  |  |

## Component 3: To manage, coordinate and monitor the project

This component covers overall program management, including grants management (SA expansion and innovation grants), finance, routine M&E system, and knowledge management and action research for national policy making and practice.

The Grant and Operation manuals were submitted to the World Bank for review and approval, then finalized and approved. The Finance Manual and Project Implementation Manual were also approved with some revisions.

The Grant Manual serves to guide CSOs that are eligible to apply for a grant under ESAP3’s grant program. It contains a detailed description of the grant solicitation and selection process.

The Operation Manual (OM) is developed to guide partners in the implementation of an ESAP3 project grant. The OM includes the rules and regulations applicable under the ESAP3 grant implementation scheme. It aims to clarify what is expected from the partners (both lead and sub-partners) and what partners can expect from the Management Agency (MA) to ensure a smooth and successful implementation of the SA project activities.

## 

Table 14: Indicator update component 3 – project management

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **#** | **Key Indicator** | **Baseline** | **progress** | **Target 2023** |
| 18 | % of available resources used according to the work plan | 0 | 12% for Q4  48% for 2019 | 95% |
| 19 | % of grant money disbursed | 0 | 0% for Q4,  38% for 2019 | 95% |
| 20 | Stakeholders (SC members) have direct access to relevant project data through a web-based platform | No |  | yes (2nd year) |

Key Indicator 18 – Percentage of available resources used

The MA designed the financial reporting format for each partner inclusive of their respective approved budget. Partners were able to submit the report and the necessary supporting documents accordingly.

Compliance with the submission due date for financial reports has been challenging for SAIPs, particularly in regard of required supporting documentation. With the necessary support, all reports were reviewed and finalized. Documents and reports are reviewed based on completeness, accuracy and acceptability. The review was based on the requirements specified in the OM and the approved budget.

As per the approved financial reports for quarter 3, 22 clusters utilized a total of USD 534,208.84 over that period. In quarter four, a total of USD 964,478.71 was reported in expenditures; this is subject to review and approval by the MA finance team. A total of USD 1,498,687.55 was utilized during the two quarters, i.e. until 31 December 2019. This appears high given the relatively late start of activity implementation, and the MA will follow up as necessary with SAIPs. The financial reports for quarter 4 are still being reviewed.

Figure 3: Total grants, disbursement and expenditure (Quarters 3 and 4)

Figure 3 above shows that SAIPs combined utilized 82% of the total amount disbursed (USD 1,816,756.32 - please see details by cluster in Annex 3). Seven clusters utilized 100% or more of the disbursed amount; three clusters utilized between 96-100%. Disbursements were based on a 4-month period, from July through October; expenses were incurred through December. While in most cases activities did not start until funds were disbursed (August/September when agreements were being signed), it had previously been agreed with the MDTF that SAIPs would be paid for their recurrent costs retroactively from July onward.

Ten clusters require additional disbursement to continue project implementation. Eleven clusters spent between 50-88% of the disbursed amount. One cluster has utilized 36% of the disbursed amount; this requires follow up by the MA to determine the cause of the underutilization. All additional disbursements will be pending the review and approval of both progress and financial reports.

Key Indicator 19 – Percentage of grant money disbursed

A total of USD 1,816,756.32 has been disbursed in 2019, out of the total contract amount of USD 3,204,748.92 for 22 clusters combined; this represents a 57% rate of disbursement. This may appear low for the year, but SAIPs started implementation late. In reality, expenditures are generally according to projections given the 4-month forecasts (July - October 2019).

During the third quarter, disbursements were made mid-August and September. In addition, SAIPs were in the process of securing agreements with the regional BoFEDs, which in several cases took considerable time. In other cases, security problems delayed start up. No additional disbursements were made during quarter four, and several clusters had a significant unused balance at that time.

Key Indicator 20 – Web-based platform

The ESAP MA launched a tender process to recruit a company for the design of a new website and a web-based M&E system. However, the technical proposals of tenders submitted lacked relevant details on the design of the M&E plug-in. The MA canceled the bid and issued another call for proposals after preparing two separate terms of reference for the website design and the M&E plug-in. Submitted tenders for the website development are currently under evaluation.

Table 15: Update Component 3 – Program management

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Results framework | MA - Activities | Q1 | Q2 | Q3 | Q4 | Progress |
| Output 3.1.1: Regional hubs established |  |  |  |  |  | Three hubs established, one suspended operations (see below) |
| Output 3.1.2: Annual work plan and budget prepared and implemented timely |  |  |  |  |  | Done |
| Output: 3.1.3 Program operational guidelines including management procurement templates developed, validated and operationalized |  |  |  |  |  | Done |
| Output 3.1.4: Grant management scheme is established providing grants to SAIPs as per approved procedures and directives |  |  |  |  |  | Done |

Regional hubs

Hubs were established in 2019 in three locations to serve as liaison between regional governments and the MA as well as technical back stoppers for clusters. However, due to budgetary constraints, these are currently one-person ‘teams’ that operate without the required logistical support. A ‘hub’ generally functions on behalf of a central organization with delegated authority and the capacity to deliver what would otherwise be delivered by the main office. The ESAP hubs fall short on that task due to aforementioned resource constraints. In addition, due to security concerns, operations of the ESAP hub in Hawassa had to be suspended. By moving the hub coordinator to Addis Ababa, the productivity of the coordinator dramatically increased. Lastly, to save on rental costs, two hub offices (Mekelle and Bahir Dar) are located within a SAIP’s office, raising the question whether a conflict of interest situation could potentially develop. Because of the challenges the MA is facing to make its current hubs functional, the MA recommends that no additional hubs be established. Furthermore, the MA recommends that the performance of the two remaining hubs, in Bahir Dar and Mekelle respectively, be closely monitored. Unless additional resources can be mobilized to strengthen the programmatic and operational capacity of the hubs, their added value from a strategic perspective is uncertain.

Table 16: Update Component 3 – CSOs as interlocutors and mobilizers

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Results framework** | **MA - Activities** | **Q1** | **Q2** | **Q3** | **Q4** | **Progress** |
| Output 3.2.1: SAIPs and innovation grantees are capacitated to play their SA facilitation and coordination roles and duties | 3.2.1.1 Work with Regional BoFEC - NGO desks promote ESAP3 grant making and other opportunities for CSOs and NSAs to participate in ESAP3. |  |  |  |  | Pending approval of guidelines by SC; planned for 2020 |
| 3.2.1.2 Develop social mapping tool for inclusive mobilization of citizens |  |  |  |  | Ongoing with support of GSIEs |
| 3.2.1.3 SA induction training for grantees (PDT) |  |  |  |  | Completed for regular grant program |
| 3.2.1.4 Intensive support to grantees during the full grant cycle |  |  |  |  | Ongoing – through MA monitoring and on the job technical support |
| 3.2.1.5 Supportive supervision of grantees |  |  |  |  | ibid |
| 3.2.1.6 Write-shops (quarterly - every last week of the quarter) |  |  |  |  | Not implemented in the reporting quarter |
| 3.2.1.7 Inputs for regular project team meetings (monthly by hubs) |  |  |  |  | ­­­­ |

During the reporting period, the MA carried out eight monitoring missions covering 28 woredas, involving 13 of the 22 clusters. The monitoring visits allowed the MA to track work progress and further strengthen the program implementation capacity of SAIPs through on-the job training. Main areas of support provided to SAIPs were ‘focusing on the key ESAP results’, ‘deepening rather than expanding’ the SA process, ‘strengthening WSACs’ by focusing on SAC composition according to standards, identifying ways to link SACs to local structures, ‘M&E data entry and management’, and ‘fostering gender and social inclusion’ in the SA process. The MA is exploring with SAIPs to align citizens demands for improved delivery basic public services with the government planning and budgeting cycle.

Table 17: Update Component 3 – National and international learning

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Results framework** | | **MA - Activities** | **Q1** | **Q2** | **Q3** | | **Q4** | **Progress** |
| Output 3.3.1: SA knowledge and exchange platforms in place and functioning | 3.3.1.2 Facilitation for FTA-SA partnership meetings (quarterly - third week of the quarter) | |  |  |  |  | | Early 2020 |
| 3.3.1.3 MA-MOF home days (towards the end of each quarter) | |  |  |  |  | | Not yet started |
| 3.3.1.4 Learning event - September 2019 | |  |  |  |  | | Completed |
| 3.3.1.5 Prepare and launch annual documentation and communication awards for February 2020 | |  |  |  |  | | 2020 |
| Output 3.3.2: Partnership and networking with global SA forums and communities of practice established | 3.3.2.1 Identify global SA knowledge institutes; establish contacts, promote the institutes and support SA experts in country to network | |  |  |  |  | | Ongoing; MA attended GPSA |
| Output 3.3.3: National SA practice dissemination media channels and knowledge management portal established and functional | 3.3.3.1 Develop communication plan | |  |  |  |  | | Ongoing |
| 3.3.3.2 SA training for journalist | |  |  |  |  | | Completed |
| 3.3.3.4 Update existing SA learning materials | |  |  |  |  | | In progress |
| 3.3.3.5 Illustrate, translate and publish posters and workbooks for SA experts, SA committees and council standing committee members | |  |  |  |  | | 1 completed; 1 in progress; 1 delayed (PSNP) |
| 3.3.3.6 New website redesign | |  |  |  |  | | In progress |

Table 18: Update Component 3 - Collaborative SA interventions and action research in support of national policy development

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Results framework** | | **MA - Activities** | **Q1** | **Q2** | **Q3** | **Q4** | **Progress** |
| Output 3.4.1: Action research on SA policy and practice | 3.4.1.1 Develop draft action-research agenda and explore international research partnerships | |  |  |  |  | Ongoing |
| 3.4.1.2 Start developing partnership with selected research institutes for (joint) action research | |  |  |  |  | Ongoing |
| Output 3.4.2: ESAP3 activities and results are communicated and shared with federal level policy making bodies | 3.4.2.1 Quarterly newsletter for woreda/region and federal stakeholders | |  |  |  |  | completed |
| 3.4.2.2 Promote the website among federal actors | |  |  |  |  | 2020 |
| Output 3.4.3: Monitoring visits to ESAP3 field projects organized for federal and regional government stakeholders | 3.4.3.2 Exposure visits for federal sectors (time with MA monitoring & FTA-SA-GRM regional meetings) | |  |  |  |  | On hold; Requires IDA20 Loan |

Action research on SA policy and practice

The MA has agreed to enter into a loose, collaborative partnership with the "Accountability for Water Consortium, Action and Research Program" which is led by Water Witness International (WWI) and funded by the Hewlett Foundation. The MA will collaborate with the program’s country coordinator in supporting a number of research activities in Ethiopia on SA in the water sector, several of which will likely involve ESAP.

Table 19: Update Component 3 - M&E system

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Results framework | | MA - Activities | Q1 | Q2 | Q3 | Q4 | Progress |
| Output 3.5.1: Result framework revised and regularly updated | 3.5.1.1 Revise framework, identify SMART indicators 3.5.1.2 Annually revisit RF and update if necessary 3.5.1.3 Provide support to the design of the (WB-managed) baseline survey | |  |  |  |  | On track |
| Output 3.5.2: M&E system in place | 3.5.2.1 Develop M&E tools (data forms, narrative reporting formats, etc..) 3.5.2.2 Test M&E tools in the field 3.5.2.3 Develop comprehensive M&E plan  3.5.2.4 Develop M&E manual | |  |  |  |  | Currently under revision |
| Output 3.5.3: SAIPS and other stakeholders trained in M&E | 3.5.3.1 Design M&E training plan (based on TNA) 3.5.3.2 Train SAIPs and other stakeholders | |  |  |  |  | Ongoing |
| Output 3.5.4: Web-based M&E/management system in place | 3.5.4.1 Design web-based monitoring/management system 3.5.4.2 Implement monitoring/management system | |  |  |  |  | Ongoing |
| Output 3.5.5: Best practices identified and information shared | 3.5.5.1 Identify best practices 3.5.5.2 Share best practices (link with 3.3 and 3.4) | |  |  |  |  | 2020 |

During the quarter, the focus was on using the monitoring system, i.e. data collection and processing.

M&E officers were facing challenges in providing data, in particular with regard to the SA process, SAC membership and key SA events. Through coaching and mentoring on an almost daily basis, the MA M&E team provided support across the cluster leads to ensure that M&E officers and woredas experts were able to meet both quantitative and qualitative requirements.

An internal review of the M&E system started during the reporting, aiming to make the system more efficient and focused on collecting data that are relevant, reliable and used by users with clearly identified needs.

M&E priorities for next quarter

* Closely monitor data entry from WSAEs, liaise with M&E officers.
* Develop a training program for M&E officers
* Finalize schedule for MA monitoring visits (+ template) and start field visits
* Data analysis and input for next quarterly report
* Work with MA leadership and CD to finalize the revision of the M&E system

Missions and events attended by the MA

* Contributed to organization of and attended pre-JRIS mission to Afar and Tigray
* Attended JRIS meeting at federal level, made presentation on overall ESAP3 progress
* Organized field missions to Oromia and Tigray regions for DFID annual review.
* MA participated in and presented ESAP 3 status update and strategy on a national FTA workshop for 9 regions and 2 city administrations councilors, BoFED Channel one coordinators, GRM officers and regional FTA focal persons.
* Attended GPSA meeting held in Washington DC

MA staffing

MA’s junior M&E expert has been on maternity leave since Dec. 6, 2019. A replacement was assigned on a temporary basis. The MA recruited a cleaner and promoted the previous cleaner to a petty cashier/storekeeper position to minimize the burden on executive secretary who was responsible for those functions.

# Annex 1: Summary Report on Gender and Social Inclusion Experts Training

The 22 lead SAIPs recruited gender and social inclusion experts (GSIEs) as part of their preparatory works for ESAP3 at the start of the program. These experts provide support to project teams in gender and social inclusion activities, aiming to ensure a gender sensitive and inclusive social accountability process by building the capacities of women and vulnerable groups.

In order to provide technical and coaching support to all project team members, it was essential for the experts to have a thorough understanding of the SA process and its implementation. These experts are responsible for overall gender mainstreaming and social inclusion in SA projects in the intervention woredas and lead project teams in their gender mainstreaming activities and budget forecasting – so that every team member understands the importance of gender equality and social inclusion.

Although the experts have academic backgrounds and work experiences in various gender related fields, their familiarity to SA work was limited. Therefore, the need to equip GSIEs with the understanding of SA techniques and the importance of participation of vulnerable groups in the process was an important step in addressing the demands of citizens.

A two-day training on gender mainstreaming and inclusive SA was provided to the 22 cluster leads (19 GSIEs, 2PCs and one M&E officer), and covered the following topics:

*Social mapping: gender and social inclusion* - Participants learned which members of a society are often socially excluded and why, how to identify them and what the objective of identifying socially excluded people is. The main conclusion from this session was that social accountability experts need to have the understanding and skills to identify groups in the community, and find ways to include vulnerable groups in the SA process. Persons with disabilities are most often identified as vulnerable in almost all woredas of ESAP intervention. Hence, the MA invited the President of the National Center for Disability Development (ECCD) to deliver a presentation about the disability situation in Ethiopia. She stated that their national association would like to closely support the inclusion of persons with disabilities in programs such as ESAP.

* *ESAP, gender and other SA tools* - In these session participants were introduced to ESAP’s efforts in gender mainstreaming, the GRB as a tool and how other tools have integrated GRB steps. As it is a key element in ESAP3, participants were also trained on the application of gender analysis in a simulation exercise.
* *Mechanisms to cover project intervention woredas and updating action plans of GSIEs* - As each cluster lead’s GSIE is expected to support woreda experts, ranging from 5 (least) to nearly 20 (maximum), this session of the training enabled GSIEs to share experiences on how they can reorganize their work to support their team members on the actual task of gender mainstreaming and social inclusion in the SA process. Some of the suggestions include fostering effective collaboration with PCs and M&E officers, clustering their woredas and providing guidance, support on preparation of activities among others. This session was concluded by updating GSIEs’ current action plans based on the lessons gained from the preceding sessions. GSIEs agreed to send their updated action plans to the MA before the end of December.
  + *Documentation and capturing best practices and networking* – This session, delivered by the MA’s PR & communication expert, addressed the importance of documenting best practices and steps that should be taken by experts in capturing these stories. The presentation and group exercise deliberated on ways of featuring real people by using the WH questions to help in developing complete stories: What happened? When? Where? Who did what? Why? What was the result? What were the challenges? How did you overcome them? – Using probing questions, quotes and specific details were elaborated to make stories inclusive and include the voices of PwDs, PLWHA, women and other vulnerable groups. Platforms to share these documented stories were also discussed. The GSIEs then shared their contact details and ways to network among each other (peer-to-peer experience sharing).

The training concluded by highlighting the importance of considering gender mainstreaming as a business case. It was emphasized that the inclusion of vulnerable people in the SA process is a matter of right and can be achieved by creating citizens that demand their rights. A recommendation was made for GSIEs to work with existing organic and local structures of vulnerable groups such as people with disabilities and women and elderly associations at woreda, zonal as well as regional level.

# Annex 2: Summary Report - Social Accountability Training for Journalists

The ESAP Management Agency organized ‘Social Accountability for Journalists’, a two-day training for selected community radio and FTA program media professionals on 26 & 27 December 2019 in Bishoftu. The training’s objective was to familiarize journalists with the concept of SA and explore ways of collaboration between ESAP and the media. Community radios that have transmissions in SA targeted woredas were invited for the training. As a result, the event was attended by 23 journalists (three of which are women) from six regions and one city administration - Amhara, Benishangul, Harari, Oromia, SNNPR, Tigray and Dire Dawa.

The media outlets represented in the training were: ***Community Radios***: Finote Selam, Kombolcha, Argoba, Hawassa University, Sude, Welega University, Kembata, Debre Markos University, Welayeta, Haremaya University, Markos University, Metu University, Waghimera, Jimma University. ***FTA programs***: Dire Dawa Mass Media, Benishangul Gumuz Mass Media, Demtsi weyane Tigray Radio, Harari TV, South Radio and Television Agency, Oromia Broadcasting Network, West Harerge Oromia Broadcasting Network.

Training sessions focused on the role of media in SA, the SA concept and budget cycle, how to report SA messages, showcasing ground level implementation of ESAP in Bishoftu, the development of a media action plan and establishing a community of practice for the trained SA journalists.

* **Role of media in SA**: The role of media in SA in amplifying citizens’ voices, facilitating dialogue between the government and citizens, acting as a sound board for government policies and fulfilling the watchdog function to protect against abuse of power was presented. Discussions also centered on potential areas of collaboration between ESAP and the media – information exchange on service standards, budgets, policies and local development efforts, sharing credible evidence on the state of public services in ESAP implementing areas and the use of media as a platform for live citizen-state dialogues.
* **SA concept and budget cycle**: This session gave an overview of the three phases of ESAP and its links with FTA, GRM and the Ombudsman. The SA concept and its process of implementation, SA tools, the accountability system in a woreda governance structure, inclusion (working with vulnerable groups), the roles of the SAC and key messages along the government budget cycle were discussed. The session was also dedicated to identifying the types of radio programs community radios have that works on bringing citizens’ issues to light and holding government to account. As part of a group exercise, the journalists reflected on the role they can play at each step of the budget cycle - budget preparation, approval, execution and control – to increase citizens’ participation in the government’s planning and budgeting process. Key messages that have been prepared by the MA along this budget cycle were distributed to participants.
* **Reporting SA messages:** The purpose of reporting on SA, SA messages that should be covered by the media for an effective citizen engagement, potential sources of information for these messages, inclusive reporting and relevant reporting formats were discussed during this session. ESAP’s rich information from working in over 300 woredas was presented. Journalists can tap into this to provide the public information about its entitlements and check if the government is serving citizens’ interests. These included standards, government plans and budget, assessment of services by different groups, interface meetings, woreda level consolidated JAP (formulation, implementation and monitoring), issues that can’t be solved at woreda level and need the attention of the regional or federal government, SAC/forums where citizens can voice their needs, budget hearings and key messages along the budget cycle and council meetings.
* **Showcasing ground level implementation (Bishoftu Town SAC):** The Bishoftu woreda SAC presented an interesting account of their journey of implementing SA since the start of ESAP1 in the sectors of WASH, education and health. The presentation was delivered by Ato Dawit Bedane, one of the SAC heroes of 2015 and chairman of the SAC, and Getu Kassa, a member. Hearing the real life experiences of the WSAC gave journalists an insight into the implementation of the program at grassroots level and details on the involvement of different stakeholders.
* **Action plan development:** The training culminated in the design of a draft action plan from each journalist to produce a series of radio and TV programs on SA – to which a follow up support and feedback will be made by the MA. The previous training sessions which featured exercises that focused on identifying existing radio programs that are suitable to integrate SA messages, exploring the media’s role in disseminating messages along the government budget cycle, specific SA messages to report about and potential sources of information, provided inputs for the development of these action plans.
* **Community of practice:** A community of practice that can exchange relevant information on reporting about social accountability was established with the trained journalists as members. As part of this discussion, a telegram page (proposed by participants as a widely used channel) where the MA can share messages to the journalists and can also use as an information sharing platform among themselves was created.

The training went beyond familiarizing journalists with the concept of SA and created a platform where the MA learned from the media’s current practice, challenges and how to best collaborate with them. Almost all of the community radios invited already have programs that bear a resemblance to social accountability – they take up citizens’ issues to responsible government actors. Upon receiving a complaint from citizens on certain service issues, some of the radio stations send out researchers to assess if it is an individual’s complaint or an issue that is shared by most community members. As highlighted during the training, ESAP can support the media professionals in this aspect by providing them access to already consolidated voices of citizens in ESAP targeted woredas. This can be facilitated through the support of SAIPs and WSACs located in the areas where the community radios are active.

# Annex 3: SAIPs Grant Disbursement and Expenditure Overview as of 31 December 2019

| **#** | **Name of Lead SAIP** | **Agreement Ref. Number** | **Total Grant Amount in USD** | **Total Advance in USD** | **Q1 Approved Expenditure in USD** | **Q2 Expenditure as per SAIPs report in USD** | **Total Expenditure in USD** | **% (Advance vs Expenditure)** | **Un-settled balance (Advance- Expense)** | **Balance  (Contract amount- Expenditure) in USD** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1 | HIDO | ESAP3/2019/01 | 144,058.78 | 77,585.63 | 21,069.37 | 70,407.53 | 91,476.90 | 118% | (13,891.27) | 52,581.88 |
| 2 | UEWCA | ESAP3/2019/02 | 142,327.20 | 96,683.65 | 34,487.78 | 48,852.00 | 83,339.78 | 86% | 13,343.87 | 58,987.42 |
| 3 | RW | ESAP3/2019/03 | 95,007.83 | 57,121.48 | 25,888.08 | 30,492.00 | 56,380.08 | 99% | 741.40 | 38,627.75 |
| 4 | MCMDO | ESAP3/2019/04 | 49,911.31 | 30,127.67 | 8,479.54 | 31,832.44 | 40,311.98 | 134% | (10,184.31) | 9,599.33 |
| 5 | WE-A | ESAP3/2019/05 | 399,246.85 | 144,813.39 | 22,895.03 | 102,062.01 | 124,957.04 | 86% | 19,856.35 | 274,289.81 |
| 6 | ADA | ESAP3/2019/06 | 153,222.15 | 90,342.49 | 22,494.02 | 50,226.97 | 72,720.99 | 80% | 17,621.50 | 80,501.16 |
| 7 | MSCFSO | ESAP3/2019/07 | 167,183.90 | 105,578.68 | 49,752.21 | 54,436.07 | 104,188.28 | 99% | 1,390.40 | 62,995.62 |
| 8 | ECC | ESAP3/2019/08 | 210,625.86 | 117,831.12 | 30,866.35 | 52,170.67 | 83,037.02 | 70% | 34,794.10 | 127,588.84 |
| 9 | HFC | ESAP3/2019/09 | 116,766.32 | 68,794.93 | 16,045.59 | 44,338.23 | 60,383.82 | 88% | 8,411.11 | 56,382.50 |
| 10 | OWDA | ESAP3/2019/10 | 140,763.09 | 76,033.53 | 52,268.24 | 88,373.20 | 140,641.44 | 185% | (64,607.91) | 121.65 |
| 11 | ILU | ESAP3/2019/11 | 299,644.14 | 141,349.91 | - | 70,321.38 | 70,321.38 | 50% | 71,028.53 | 229,322.76 |
| 12 | LIA | ESAP3/2019/12 | 35,047.80 | 21,253.91 | 5,895.88 | 17,500.79 | 23,396.67 | 110% | (2,142.76) | 11,651.13 |
| 13 | EOC-DICAC | ESAP3/2019/13 | 69,716.07 | 37,364.48 | 13,327.83 | 22,645.57 | 35,973.40 | 96% | 1,391.08 | 33,742.67 |
| 14 | RCWDO | ESAP3/2019/14 | 213,028.02 | 123,522.65 | 23,096.14 | 52,075.66 | 75,171.80 | 61% | 48,350.85 | 137,856.22 |
| 15 | HUNDEE | ESAP3/2019/15 | 82,684.08 | 56,517.53 | 9,812.22 | 31,773.49 | 41,585.71 | 74% | 14,931.82 | 41,098.37 |
| 16 | CFAI | ESAP3/2019/16 | 70,426.95 | 44,447.11 | 24,494.47 | 24,867.45 | 49,361.92 | 111% | (4,914.81) | 21,065.03 |
| 17 | AfD | ESAP3/2019/17 | 87,681.21 | 45,613.03 | 8,376.50 | 18,112.01 | 26,488.51 | 58% | 19,124.52 | 61,192.70 |
| 18 | AFSR | ESAP3/2019/18 | 79,337.78 | 54,842.55 | 31,655.92 | 23,858.99 | 55,514.91 | 101% | (672.36) | 23,822.87 |
| 19 | ODA | ESAP3/2019/19 | 229,435.44 | 154,332.27 | 23,049.31 | 37,812.82 | 60,862.13 | 39% | 93,470.14 | 168,573.31 |
| 20 | KMG | ESAP3/2019/20 | 128,135.65 | 80,383.10 | 27,969.00 | 42,069.76 | 70,038.76 | 87% | 10,344.34 | 58,096.89 |
| 21 | ADV | ESAP3/2019/21 | 81,000.70 | 54,889.39 | 13,997.86 | 40,935.51 | 54,933.37 | 100% | (43.98) | 26,067.33 |
| 22 | ACSOT | ESAP3/2019/22 | 209,497.79 | 137,327.82 | 68,287.50 | 9,314.16 | 77,601.66 | 57% | 59,726.16 | 131,896.13 |
| **Total** | | | **3,204,748.92** | **1,816,756.32** | **534,208.84** | **964,478.71** | **1,498,687.55** | **19.89** | **318,068.77** | **1,706,061.37** |

# Annex 4: Key Indicators

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Nr** | **Component** | **Obj level** | **Objectives** | **Indicators** |
| 1 | PDO | PDO | (a) strengthened SA system | % of kebeles and woredas that have aligned SA processes with their budgeting and planning practices; (or % of woredas were JAPs have been aligned …) |
| 2 | PDO | PDO |  | % of issues raised at regional level that get solved |
| 3 | PDO | PDO | (b) for enhanced service delivery | % of citizens (men and women) reporting improved and quality basic services (in at least two sectors); |
| 4 | PDO | PDO |  | # of kebeles / woredas where service quality has improved (in the targeted sectors and as result of the SA process) |
| 5 | C1 | Outcome | Outcome 1.1: # target woredas and kebeles increased | # woredas covered |
| 6 | C1 | Output | Output 1.3.1: SACs established, strengthened and/or given targeted support | # of SACs functioning in woredas/kebeles |
| 7 | C1 | Output | Output 1.3.2: in new woredas 2-year SA cycle completed | # woredas/kebeles that have completed the SA process (5 phases) in at least 2 GoE budget cycles |
| 8 | C2a | Outcome | Outcome 2a.1: local community structures and service user groups organised in order to use SA to improve public services strengthened | Proportion of local community structures and service user groups that are member of SAC |
| 9 | C2a | Outcome | Outcome 2a.2: citizens claiming their entitlements through the SA process | % of citizens claiming (demanding) their service entitlements in the intervention woredas through the SA process |
| 10 | C2a | Outcome | Outcome 2a.3: citizens’ role in budget planning, implementation and monitoring increased (reinforced) | # of kebeles and woredas where citizens' role in budget cycle has increased |
| 11 | C2a | Outcome | Outcome 2a4: frontline service providers are more responsive to prioritized needs of citizens through the SA process | # of kebeles and woredas where frontline service providers are more reponsive through citizens needs through the SA process |
| 12 | C2a | Outcome | Outcome 2a5: Structures/procedures to ensure SA processes are established within the service provider institutions (and/or sector bureaus) | % of kebeles and woredas with examples of structures/procedures to ensure SA processes are established within the service provider institutions |
| 13 | C2a | Outcome | Outcome 2a6: Woreda administration lead a woreda planning and budgeting cycle that is transparent, accountable and responsive to citizens | % of woredas that have increased the nr of budget hearings |
| 14 | C2a | Outcome | Outcome 2a7: government accountability and oversight structures (kebele, woreda council) strengthened to embed and sustain SA initiatives in their mandated roles and functions | % of kebeles and woredas where the council actively monitors JAP implementation |
| 15 | C2b | Outcome | Outcome 2b.1: CSOs and regional government work together (under the FTA-SA-GRM partnership) to resolve prioritised, systemic woreda-level issues… | # of issues raised/discussed under the FTA-SAS-GRM partnership at regional level |
| 16 | C2b | Output | Output 2b.1.5: Innovation grants used to pilot and/or do action research/policy dialogue | # (and/or size) of innovation grants |
| 17 | C2b | Outcome | Outcome 2b.2: Policy framework is developed for all regions/woredas, based on successful innovations and together with federal level (MOFEC and sectors) | # of policy lessons, guidelines, etc provided by Federal level based on innovation grant experiences |
| 18 | C3 | Output | Output 3.1.2: Annual work plan and budget prepared and implemented timely | % of available resources used according to the work plan |
| 19 | C3 | Output | Output 3.1.4: Grant management scheme is established providing grants to SAIPs as per approved procedures and directives | % of grant money disbursed |
| 20 | C3 | Outcome | Outcome 3.5: A M&E system is established for assessing project performance, impact and availing information for management decision making | Stakeholders (SC members) have direct access to relevant project data through a web-based platform |

1. This number might be higher since the exact number of kebeles that exist in some woredas is not reported [↑](#footnote-ref-2)
2. Going forward, the MA will revise its terminology from ‘functionality’ to ‘status’. The indicator measures whether A SAC exists, but not really its functionality. [↑](#footnote-ref-3)
3. The colours in this column indicate progress against quarterly MA planning as follows: green – on track or completed; orange – delay or change required; red – flagging the issue for WB attention; white – not started. [↑](#footnote-ref-4)
4. These are the numbers provided by the MoF to the MA based on the selection by regions and city administrations. However, upon checking, the MA discovered that three woredas in Addis Ababa were already covered during ESAP2. The actual number of new woredas thus stands at 74. [↑](#footnote-ref-5)
5. In ESAP’s database, the grievance redress mechanism (GRM) is currently included as part of the woreda finance office. This needs to be disaggregated and will be corrected going forward. [↑](#footnote-ref-6)