

**Progress Report 1**

**January – March 2019**

**(Submitted:17 April 2019)**

**Ethiopia Social Accountability Program Phase 3 (ESAP-3)**

**Part of the Enhanced Shared Prosperity through Equitable Service (ESPES) Program**

**Grant Agreement TF0A9293**

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**List of Abbreviations**

ADC Austrian Development Cooperation (DP)

BO Branch Office of VNG International in AA

BoFED (Regional) Bureau of Finance and Economic Development

CBO Community Based Organization

CCRDA Consortium of Christian Relief and Development Associations

CD&T Capacity Development and Training (ESAP3 Component)

CE Citizen Engagement

ChSA Charities and Societies Agency

COPCU Channel One Coordination Program Unit (within MoF)

CoRHA Consortium of Reproductive Health Associations

CRC Citizen Report Card (SA tool)

CS Civil Society

CSC Community Score Card (SA tool)

CSF Civil Society Fund

CSO Civil Society Organization

CSSP Civil Society Support Program

DP Development Partner

DFID Department for International Development (DP)

DLI Disbursement Linked Indicator

EIO Ethiopian Institute of Ombudsman

ERA Ethiopia Roads Authority

ESAP3 Ethiopia Social Accountability Program Phase 3

ESPES Enhancing Shared Prosperity through Equitable Services

EU European Union (DP)

FGD Focus Group Discussion

FTA Financial Transparency and Accountability

GA Grant Agreement

GoE Government of Ethiopia

GOPA Company for Organization, Planning and Training (German based)

GRB Gender Responsive Budgeting (SA tool)

GRM Grievance Redress Mechanism

IA Impact Assessment

IAid Irish Aid (DP)

IDA International Development Association (part of WB Group)

MA Management Agency

MDTF Multi Donor Trust Fund

M&E Monitoring and Evaluation (ESAP3 Component)

MoF Ministry of Finance

MoH Ministry of Health

OM Operational Manual

PPB Participatory Planning and Budgeting (SA tool)

PETS Public Expenditure Tracking Survey (SA tool)

PIM Project Implementation Manual

PSNP Productive Safety Net & Household Asset Building Program

RF Results Framework

SA Social Accountability

SAC Social Accountability Committee

SAIP Social Accountability Implementing Partner (Implementing CSO)

SCM Steering Committee Meeting

SDC Swedish Development Cooperation (DP)

TC Technical Committee

VNG Association of Netherlands Municipalities (Netherlands based)

WB World Bank

WoFED Woreda Office of Finance and Economic Development

1. **Introduction**

Following the submission of the final draft version of the ESAP3 Inception Report (including Annexes) by the Contractor, VNG International, to the World Bank (WB) on 19 December 2018, the expectation was to formally start ESAP3 activities as of 1 January 2019. However the final signature of the Grant Agreement (GA) was delayed for procedural reasons. As a matter of fact, upon completion of the first quarter of the ESAP3 program, on 31 March 2019, the final GA had still not been signed[[1]](#footnote-1). However agreement was reached with the WB that expenses made can be claimed retroactively from the ESAP3 project budget as per 1 January 2019.

As happened both under the ESAP-BP (2016) and the extension of the ESAP-BP (2017), VNG International started to pre-finance both salaries of MA staff as well as project expenses through own resources. MA staff members were offered an agreement for a period of two calendar months until the end of February 2019 counting on the fact that the GA would be formalized by that date which unfortunately was not the case. Agreements with MA were prolonged for another period of two calendar months until 30 April 2019.

The fact that VNG pre-finances ESAP3 activities and salaries is extremely unusual and undesirable. Unfortunately this seems to be more a rule than an exception as it has happened more than once in the recent past. It is needless to say that this way of operation creates a lot of uncertainty, not only among MA staff but also among staff of partner organizations that are in an uncomfortable position of not exactly knowing when SA related field activities can resume. Most partner organizations do not have the luxury of keeping their SA staff on the payroll without knowing when an agreement with the MA can be expected and signed. The MA on its turn can only formalize agreements with partner organizations once the overall ESAP3 GA is signed. In this way we are spinning in circles, which could have had a negative impact on the motivation of those who have a high regard of SA.

The main activities implemented by the MA during the first three months of ESAP3 (January-March 2019) can be summarized as:

* Insert main observations in the draft version of the ESAP3 inception report and submission of a final clean version on 16 January 2019.
* Drafted both an annual plan and related budget for activities planned in 2019.
* Drafted, together with MoF, selection criteria for identifying an additional number of 77 woredas that will participate under ESAP3 in 2019.
* M&E system for ESAP3 under development.
* Preparations for the Pre-Disbursement Training (PDT) scheduled for mid-May 2019.
* Participated in both a TC as well as a SC meeting.
* Participated in the ESAP3 baseline – end-line discussions led by the WB.
* Organized a meeting between the Ma and the CSO umbrella organizations participating in the SCM.
* Provided inputs and guidance to the design of the IDA action plan for which the MoF is responsible.
* Finalized three case studies promised as part of the final activity package of ESAP2.
* Participated in a WB organized workshop where the SA-PSNP case study was discussed.
* Within the framework of the WB country partnership event, the MA managed to set up a booth highlighting ESAP activities through visuals, videos, publications and stories.
* The MA formally established 3 hub coordination offices and contracted three SA specialists who will be the focal access points for the MA at sub-national level. Two more hub offices are planned to be established later in 2019, early 2020.
* Final report covering the ESAP-BP Extension Phase (January-December 2018) submitted mid-February 2019.

The fact the MA is able to submit this first ESAP3 quarterly report ahead of time has to do with the fact that SA partners have not been able to implement any SA related field activities in the first three months of 2019 due to the late signing of the GA. This also meant that the MA did not have to collect any technical and financial reports from the lead partners, which resulted in the MA not having to wait for cluster reports. It is expected that future quarterly reports will be submitted as usual latest 45 calendar days after completion of a quarter.

1. **ESAP3 Preparatory Activities**
	1. **Cluster Assessment**

During the ESAP-BP and the Extension Phase to the ESAP-BP, the MA was, due to the limited financial resources available, forced to reorganize the organizational structure of the grantees. In order to economize on cost expenditures, the MA proposed a management structure of 22 clusters, each of them in charge for a number of woredas in the same geographical area. When discussing this proposal with the implementing partners, there was little enthusiasm mainly because most of the implementing partners had little or no experience with collaboration. Nevertheless, the MA continued focusing on a joint partnership structure before the start of the ESAP-BP which resulted in the fact that some of the 22 clusters ended up with eight sub-partners, which turned out to be quite a challenge for the lead organization in charge for the overall project management and as such being the direct counterpart for the MA.

Due to the fact that in 2019 agreement was reached that under ESAP3 SA will be expanded to 77 new woredas and these 77 new woredas ideally to be spread over the current 22 clusters for pragmatic reasons, the MA promised to make, before contract signing with the 22 clusters, a performance assessment of both the technical as well as financial operations of each cluster under ESAP2 separately[[2]](#footnote-2).

The cluster performance assessment was based on a self-assessment completed by each cluster and a technical and financial assessment for which the MA was responsible. The self-assessment was completed by both the lead as well as sub-partners and included issues such as registration with the ChSA, pool of SA expertise available, relevant technical and financial manuals existing, communication strategy available and related SA publications. Clusters could gain a scoring for each of the subject areas (see also Annex 4 to this report).

Each MA team (Grants/Finance, M&E and CD&T including Communications) updated the performance assessment tool that we used during ESAP2. Critical areas of performance assessment for Grants/Finance and CD&T/Communications were included. The M&E team is bringing all the areas of performance assessment together, so that we can more reliably and objectively compare performance with results on the ground.

The MA focused its performance assessment on the adequate technical achievements during ESAP implementation and the transparent financial administration, including timely submission of documentation and reports. For the final scoring the value of the MA counted for 60% and the cluster self-assessment for 40%. In this way, an overall total scoring was calculated which is presented in table 1.

The table below shows that four out of the 22 clusters had an excellent score of 85% and above. Eleven clusters show a score which is above average (between 75% and 85%). An additional three clusters ended up with a score which the MA considers as fair (between 66% and 75%), meaning that they still can continue but improvements are required. Finally with four clusters the MA had more difficulties because they scored below 65%. In Annex 3 to this report, a detailed cluster scoring grid prepared by the MA based on observations made by the main MA sections (Grants/Finance and CD&T/Communications) is included. In this way for each of the 22 clusters the specific strengths and weaknesses can be tracked.

Following the final written assessment, the results were shared with all 22 clusters who received a separate invitation for a debriefing session to be held at the premises of the MA[[3]](#footnote-3). In the period 14-30 March, the MA managed to have separate discussions with all cluster partners in order to explain the outcomes of the performance assessment and what consequences this could have for participation under ESAP3. By far the overall sentiment among partners was positive with some of them pointing out that it was the first time they were offered the opportunity to respond verbally to a performance assessment during an exit meeting.

However, some discussions turned out to be more difficult especially with the four clusters of which the final score was below average. Two of these four clusters (093-RW and 077-OWD) still managed to convince the MA of their good intentions and improved collaboration in the near future, although actual performance will be carefully followed by the MA. With the other two clusters (088-RTG and 061-LIAE), the discussion turned out to be less promising, mainly because of a credibility gap developed in the course of the ESAP-BP implementation. The MA therefore will have to search for a feasible solution to cover the gap that has been created by these two clusters. Clearly the target groups benefiting from SA at field level should not be victimized because of weak performance of a cluster. In the period to come, the MA will develop solutions one of them could be that other partner organizations will take over responsibility for the underperforming organizations.

As a follow-up to the performance assessment of grantees CD&T facilitated an MA wide reflection on grantee start-up activities and subsequent performance assessment under ESAP3. CD&T contributed to the development of Content Guidance for Grantees, Job Descriptions, Budget Template (and related thinking about the future grant size), and Proposal Template.

|  |
| --- |
| **Table 1: 22 Cluster Performance – MA and SAIP Self-Assessment – Final Score** |
|  |  |  |  |  |  |
| **SAIP ID** | **Name of Cluster lead SAIP** | **MA Finance, Grants and CD&T Performance Assessment Score** | **Cluster** **Self- Assessment Score**  | **Overall Total**  |
| **abs.** | **%** |
| **Out of 60** | **Out of 40**  | **Out of 100** | **100.0%** |
| 047-HID | HIDO | 46.50 | 37.67 | 84.17 | 84.2% |
| 104-UEW | UEWCA | 47.50 | 30.67 | 78.17 | 78.2% |
| 093-RW | Rohi Weddu | 35.00 | 21.00 | 56.00 | 56.0% |
| 088-RTG | RTG | 30.50 | 23.33 | 53.83 | 53.8% |
| 109-WSA | WSA | 45.50 | 31.33 | 76.83 | 76.8% |
| 012-ADA | ADA | 45.50 | 30.67 | 76.17 | 76.2% |
| 064-MSC | MSCFSO | 59.00 | 33.00 | 92.00 | 92.0% |
| 032-ECC | ECC | 52.00 | 25.33 | 77.33 | 77.3% |
| 048-HFC | HFC | 49.00 | 32.00 | 81.00 | 81.0% |
| 077-OWD | OWDA | 33.00 | 29.00 | 62.00 | 62.0% |
| 051-IWC | ILU-IWCIDO | 46.00 | 31.33 | 77.33 | 77.3% |
| 061-LIA | LIAE | 31.00 | 30.03 | 61.03 | 61.0% |
| 038-EOC | EOC | 52.50 | 31.67 | 84.17 | 84.2% |
| 092-RCW | RCWDO | 42.00 | 30.33 | 72.33 | 72.3% |
| 050-HUN | HUNDEE | 49.50 | 30.33 | 79.83 | 79.8% |
| 020-CFA | CFAFI | 54.00 | 31.00 | 85.00 | 85.0% |
| 001-AFD | AFD | 39.50 | 30.00 | 69.50 | 69.5% |
| 003-AFSR | AFSR | 53.50 | 31.67 | 85.17 | 85.2% |
| 078-ODA | ODA | 40.50 | 29.33 | 69.83 | 69.8% |
| 058-KMG | KMG | 45.00 | 31.33 | 76.33 | 76.3% |
| 006-ADV | ADV | 51.50 | 32.67 | 84.17 | 84.2% |
| 011-ACSOT | ACSOT | 53.00 | 33.33 | 86.33 | 86.3% |
|  |  |  |  |  |  |
|   |  = excellent performance (> 85% scoring) |
|  |  |  |  |  |  |
|   |  = scoring above average (76% - 85%) |
|  |  |  |  |  |  |
|   | = scoring fair (66% - 75%) |
|  |  |  |  |  |  |
|   | = scoring below average (< 65%) |

**2.2 Capacity Development**

**2.2.1 Planning and Alignment with MoF IDA Investments**

The MA reviewed the CD&T planning developed during the inception phase using donor feedback. We also had several technical meetings with the ESAP3 colleagues at the MoF to align IDA financed activities of the Ministry with the MA planning and results framework. The MA supported the MoF with drafting a technical note explaining some of the most interesting, complementary ESAP3 investments on the side of the MoF, among others:

* Woreda and regional public hearings, which are an important pre-condition to institutionalize gender responsive and participatory planning and budgeting;
* Pro-poor sector oversight by woreda councils, which will enable the councils to provide better direction to woreda sector plans, with reference to priorities of citizens expressed in the SA process;
* Investments in public communication (e.g. school mini-media).

We made some progress with updating the FTA-SA linkage document and exploring possibilities to link more coherently with GRM and the sectors, and IDA funding available to support government actors in the linkage with ESAP3 MA and grantees. The following was agreed:

* The MA to write a note about proposed adaptations to the FTA-SA linkage document (version April 2016);
* The MoF to organize a team (or committee) to work on the update. Participants of this team are composed of: the MoF (SA, FTA and PFM specialists), the ESAP3 MA, the WB FTA/GRM coordinator and the EIO to advise on GRM;
* This team/committee will further define the process to update the linkage document and how this may link with the MoF citizen engagement framework deliverable;
* Update to be ready in June, so that BoFEDs, regional and woreda stakeholders and ESAP2 grantees are guided in their collaboration.

**2.2.2 ESAP2 Case Study – PSNP Pilot**

The MA finalized the ESAP2 PSNP case study with feedback from relevant actors[[4]](#footnote-4). Main findings of the PSNP-SA expanded pilot were presented to the PSNP donor community at a session organized by WB colleagues on 14 February 2019.

Agreement was reached on three points to be followed-up:

* A PSNP score card to be used under ESAP3. A working version needs to be ready by the end of April to be included in the ESAP3 M&E system. CD&T prepared a draft for consultation and feedback with PSNP stakeholders. By the end of May, we will need to design a longer (joint) process of action-research towards institutionalization of a score card in the PSNP program;
* Guided by the FTA-SA-GRM sector linkage committee (see 2.2.1 above), we can work out a PSNP-MA agreement/work-plan starting as of the end of May 2019;
* The MA will work with the PSNP team from May onwards on the identification of system bottlenecks that may be addressed with the ’sandwich’ approach to innovation (regional ownership, and whether the selection of system innovations fit with citizen priorities, and federal technical advice).

**2.2.3 Working Relationship with ERA and MoH**

The MA has re-established working relationships with both ERA and the MoH. The team developed sector specific SA policy briefs, and an information package that can be used to introduce officials to SA. We are planning training workshops to share international experiences with SA institutionalization, and to develop a work-plan for collaboration.

**2.2.4 Impact Evaluation and Research Agenda**

Learning from the experience during ESAP2, the MA and the donors are working to improve the Evaluation and Impact Assessment for ESAP3. Both the M&E unit and CD&T participated in the technical committee responsible for the design of the IA. The aim is not only to measure the effects of SA during the third phase but also to ease out information during implementation which, in combination with our own monitoring information, will help improve our future strategy. The MA has contributed to the design of the ToR for the baseline and provided feedback to the draft questionnaires.

ESAP is one of the largest SA programs globally. ESAP2 has demonstrated to be successful in improving service delivery. This makes ESAP an interesting program for organizations or individuals who want to research the mechanics of SA in various pro-poor sectors. ESAP will actively promote such independent research activities during phase 3.

‘Water-Witness’ (WW) is leading a consortium which includes Oxfam, WIN and Water-Aid that will specifically implement SA research in the water sector, in different parts of the world. WW has contacted ESAP with its plan to conduct such research in Ethiopia. Initial meetings have been promising and in May WW has planned a one week design mission to Ethiopia.

**2.2.5 Pre-Disbursement Training (PDT) Workshop**

The PDT workshop is an obligation before disbursements are transferred to grantees. We are upgrading the ESAP2 materials which develop capacity of the grantee project team as a whole covering the SA process, M&E, Grants and Finance Management (see figure 1 below). Next to updating the training manual to the requirements of ESAP3, we are developing a new “Guide for the woreda SA expert” – which is based on practices developed under ESAP2. This guide will replace the “SA Guide” - which will serve as a reference document.

We are also developing new woreda level training manuals, following the example of the council manual and workbook developed in 2018:

* SA Process and Tools;
* SA and PSNP.

**2.2.6 Additional SA News**

The Tigray Regional Government started various reforms to improve service provision, good governance and democracy. They established a regional statistics agency and motivate higher institutions for action research that improves the lives of the poor. With leadership from the regional vice president, the regional council drafted a law on accountability of service providers and officials, mainly focused on enforcement mechanisms of service provision. The regional council invited stakeholders, including SA experts of CSOs, to give their constructive comments.

During the last regular regional council meeting, councilors requested further assessment and enrichment of the draft law before approval. ACSOT subsequently organized a meeting and established a technical committee including:

* ACSOT (SA Experts);
* Tigray Regional Bureau of Justice;
* Regional Council Standing Committees;
* Mekelle University;
* Tigray Regional Bureau of Civil Service.

The main task of the technical committee will be to organize participation of citizens, citizens groups, civil society organizations, academics, politicians and civil servants to discuss and enrich the draft law. When passed, the law will help citizens and citizen groups to ensure the quality of basic service delivery which could help them in demanding for better services. It is also important for service providers and officials to have legal backing for responsiveness to citizen priorities. The law is expected to guide institutionalization of SA in government sectors.

**Figure 1 Overview of the Pre-Disbursement Training of Project Teams in ESAP3**

**2.3 Monitoring and Evaluation**

**2.3.1 Results Framework**

The final Results Framework (RF) was prepared during the inception phase and endorsed as part of the inception report. Some fine-tuning was required. A copy of the updated version is inserted as Annex 6 to this report.

* One comment to the RF was that component 1 targets draw on MDTF funds but some results under component 2 are only achievable if IDA funds are also included. Therefore, a column was added to indicate the funding streams necessary to achieve each result;
* At PDO level, one indicator was shifted to reflect the (impact of) the vertical system strengthening.

Other activities included:

* Shift from Excel to MS Access: the RF is now integrated in the project database;
* Fine-tuning of indicators, e.g. definitions, data collection procedures for each key indicators;
* Fine-tuning of the overall M&E system to ensure that the selected indicators can effectively be measured throughout project implementation.

**2.3.2 Development of M&E Manual**

In preparation of the PDT, the M&E team started to develop an M&E manual. The manual will introduce the results framework skeleton and M&E tools and instruments. The majority of the document will focus on instructions of how the mobile data collection application *‘Offline Surveys’* works, since it is new to the grantees. Also, the data collection procedures for each data form are explained in a detailed manner by showing survey screen shots on the mobile phone.

This document will guide woreda SA experts and M&E officers on how to fill the surveys. This is especially crucial, since the M&E team at the MA is only 1 ½ position, which means that limited support can be provided to the grantees. Since in the first quarters, most likely more support is needed, it is important that the grantees can rely on a comprehensive document.

During the PDT, the focus will be on building capacity of M&E officers and on how to use data forms, *‘Limesurvey’*, mobile application *‘Offline Surveys’* and Excel. Each cluster will have one fulltime M&E officer. This means that M&E officers will need to actively support the woreda SA experts, because the woreda SA experts will be the ones to collect data at woreda and kebele level. The M&E team started to prepare materials and organize sessions for the PDT, which is planned for mid-May 2019.

**2.3.3 M&E Tools**

The ESAP2 sector datasheets were reviewed together with selected SA practitioners and developed into standard score cards that can be institutionalized during ESAP3. Drafts have been shared with the Ministries with which we already have a working relationship: ERA, MoH and the PSNP stakeholders for their feedback.

The M&E team has developed monitoring tools and instruments that enable to capture data at facility or service level (e.g. a school, a health post, a cooperative), whereever possible. This will also enable the M&E team to capture data that are relevant for local, regional and federal governments. One of the problems in the ESAP2 M&E system was that most of the (quantitative) monitoring tools and instruments provided information aggregated at woreda level, but did not offer data about SA processes at kebele and facility level. Hence, the MA did not obtain a complete picture of what happened in the field. Therefore the following M&E tools are developed by the M&E team;

* Community Score Card (CSC);
* Data form – SA process;
* Data from - SA review;
* Data form – SAC membership;
* Data form – SA events.

***Community Score Card (CSC)***

The CSC is an instrument to find out from service users their level of satisfaction and experiences with various dimensions of service delivery. Importantly, not the score itself, but the process leading to a score is essential. In ESAP, CSC scoring is based on focus group discussions among various service users groups.

In ESAP2, the CSC was routinely used at the beginning of the SA process and sometimes repeated later on, but has not been standardized and utilized systematically to monitor service improvements. Under ESAP3 this will change, as the CSC process will be executed on an annual basis. The CSC will be both used to make an assessment of public facilities/services and to monitor progress of service delivery over time. When used at several points in time (e.g. at start and then once every year), the CSC is a convenient way to measure progress against a baseline.

In addition, the CSC will be used to assess:

* which issues have been solved (or not solved, in process);
* at which level these issues have been solved.

The CSC process has been revised for SA institutionalization. The scoring process starts with different focus groups having an open discussionfirst on performance, then find the items the group has an issue with in the score card. The group only scores the selected items. It will be too much for groups to score all 25 items in the score cards we developed. The value of score cards is in the in-depth discussion - not the scoring itself. With SA expertise (or SAC) facilitation, the score cards can be consolidated across focus groups, keeping issues of the most vulnerable and of women on the agenda. The top issues or agreed priorities are brought to the kebele interface meeting. The consolidated score (which we presume is the JAP) gets monitored for progress and final accomplishments after one year so that we do not get JAPs dragging on for eternity. The score cards include a progress and final column, which also enables us to monitor if the issue gets a response from kebele, woreda or regional level.

In this quarter, the M&E team has developed the CSC survey and progress survey for each sector (health, education, agriculture, rural roads and WASH + PSNP). The M&E team started with reviewing sector sheets from ESAP2 to create a more concise version, together with the CD&T team. For health and the rural roads sector, an updated CSC was sent to the Ministries for feedback, because in these sectors the MA already has a working relationship developed.

For the PSNP sector, the CSC will be based on the Citizen Charter. The MA has sent an updated CSC for PSNP to PSNP stakeholders for feedback. For the other sectors, during the course of ESAP3, standardised CSCs will be developed together with the sector Ministries.

The M&E team developed the CSC and progress survey through *‘Limesurvey’*, which will be linked to the mobile phone application *‘Offline Surveys’*. The consolidated score will be entered in the offline survey app and uploaded in the central database. Data can also be stored (on the smartphone) and sent to other stakeholders (e.g. SAIP M&E experts, Project Coordinators) for a quality check. During this quarter, the M&E team was involved in developing and testing those surveys with the CD&T team, hubs and SAIPs on a regular basis. This was done to collect different inputs, especially whether the survey is manageable to woreda SA experts.

***Data Form – SA Process***

The data form SA process provides brief information about SA progress at sectoral, kebele and woreda level. This data form replaces the previous project information datasheet used under ESAP2, with two main differences.

* It is essentially a ‘simplified’ version, e.g. no detailed information about JAP implementation is recorded (which is recorded in a separate data form). It is hoped that this will result in less, but higher quality data;
* A separate entry is made for each sector where the kebele and/or woreda is involved, containing data about SA progress (5 steps), SA tool used, and whether or not a SAC is active.

It contains the following questions:

* Is there a SAC active in the kebele/woreda?
* In which step of the SA process are you now?
* Which sector is targeted/selected for ESAP3?
* Is this a new sector?
* Which facilities are targeted? (health, education, agriculture)
* In which step of the SA process in budget planning (PPB/GRB) are you?
* Are issues raised at zonal/regional level?

In this quarter, the M&E team developed a data form SA progress survey in *‘Limesurvey’*, which will be linked to the mobile phone application ‘*Offline Surveys’*. The woreda SA expert enters data in the smartphone. Ideally all woredas and kebeles are entered into the system at project start. Information can be updated anytime (when changes occur, e.g. when a new sector is selected, when the SAC moves from interface meeting to JAP implementation, when issues are raised at regional level etc.), but at least on quarterly basis. During this quarter, the M&E team was involved in developing and testing the survey with the CD&T team and SAIPs on a regular basis, to produce a final version. This was done to collect different inputs, especially whether the survey is manageable for woreda SA experts.

***Data Form – SA Review***

The data form SA review captures results/indicators that are difficult to measure through other data forms. It consists of statements that are directly related to the RF indicators. Each statement has a number of questions to guide the discussion and standardize the process. For example, it can measure whether the Council has checked if sector plans have been shared with citizens or whether instructions for providers have been put in place with regards to SA. The woreda SA experts, ideally together with the PC and/or M&E expert, administers and scores the checklist during the ‘review meetings’ with the SACs on a bi-annual basis. The score on this SA instrument will indicate woreda performance in terms of institutionalizing SA.

In this quarter, the M&E team developed a data form SA review survey in *‘Limesurvey’*, which will be linked to the mobile phone application *‘Offline Surveys’*. The woreda SA expert enters data (scores) in the smartphone. At the same time, he/she will also provide an explanation of the score in SAIP narrative reports. The SA review survey and narrative report are linked with each other. Since this a new instrument, it required more time to develop the instrument. First, the M&E team identified the indicators that need to be measured through the SA review survey. Together with the CD&T team, the M&E team formulated the statements, questions for discussion and scoring system. The survey was tested on a regular basis with the CD&T team, to develop the final survey. This was done through collecting different inputs, especially whether the survey is manageable for woreda SA experts.

***Data Form – SAC membership***

The data form SAC membership will be used to collect accurate information about functioning and composition of the W-SAC. During ESAP2, we learned that the composition of the SAC is one of the best predictors of successful SA implementation. Participation of vulnerable groups, PSNP clients and/or community representatives is correlated with better performance. Since quantitative information regarding the composition of the SAC was not available during ESAP2, the SAC membership form was developed.

The form contains basic information about the respective kebele, woreda, organization, name and function in the SAC (e.g. chair, vice chair, secretary, ordinary member) and is collected by the person responsible, e.g. woreda SA expert. It will be filled as soon as the W-SAC is established. In principle, the SAC data form will only be used once, although it is desirable that updates are made if substantial changes in membership take place, e.g. as a consequence of moving into new sectors. Information about a W-SAC can be collected retroactively, so we would be able to capture information about SACs that were established under ESAP1 and ESAP2.

In this quarter, the M&E team developed the SAC membership survey in Excel. It was decided that this form will not be developed in *‘Limesurvey’* and mobile data collection application, because it is more convenient to use Excel due to the logic of the survey. The M&E team was involved in developing and testing the survey with the CD&T team and SAIPs on a regular basis, which produced a final version. The regular testing was done to collect different inputs, especially whether the survey is manageable for woreda SA experts.

***Data Form - Events***

The data form event is to register basic information about the most relevant SA events and to obtain useful information about engagement of the main stakeholder groups, in particular vulnerable groups, in the SA process. The form will include, inter alia, place of event (kebele and woreda), date of event, participation of main stakeholder groups (multiple answers possible in a drop-down menu) and number of male/female participants for each of the stakeholder groups.

Only key SA events (training and key meetings, such as review meeting, interface meetings) will be covered. As regards to events organized at kebele level, only events that are attended by the woreda SA expert will be included. Mass events used for awareness raising or advocacy events, e.g. coffee ceremonies, theatres, are not tracked.

In this quarter, the M&E team developed the data form events survey in *‘Limesurvey’*, which will be linked to the mobile phone application *Offline Surveys*. The woreda SA expert enters data in the smartphone. The survey was tested on a regular basis with the CD&T team, hubs and SAIPs, to develop the final survey. This was done to collect different inputs, especially whether the survey is manageable for woreda SA experts.

1. **MA Coordination**
	1. **Coordination with the Ministry of Finance**

The MA, in close cooperation with the MoF (COPCU) will be jointly responsible for a solid execution of ESAP3 in the years to come. In order to operate in parallel, the MoF prepared during the reporting period its ESAP3 implementation plan based on the IDA funds made available. The IDA plan describes the GoE intentions to strengthen SA in addition to the plans developed by VNG International in its inception report submitted in December 2018, which covers the MDTF financial resource package. The MA worked closely with the MoF team in streamlining the IDA proposal as much as possible with the MDTF inception report/plan for the coming years.

Both plans/reports are strongly interrelated and demand therefore for a close collaboration between MoF and the MA. One of the first but crucial activities to be completed by the MoF was the final selection of the 77 new woredas where SA will be expanded in 2019. The responsibility for the selection process was with the MoF and the regional BoFEDS. Based on a number of selection criteria, regional authorities were requested to submit proposals for nominating additional woredas to be included in the 2019 expansion process[[5]](#footnote-5). The MoF organized on 22-23 February a workshop for BoFED representatives in which the ESAP3 program was presented, including the responsibility for selecting expansion woredas. The presentation was shortly later confirmed by an official letter from MoF to the regions.

On 1 April, the MA received the final list of 77 selected new woredas which will be subject to SA starting as from 2019 onwards through the MoF. In Annex 4 to this report, the full list of new woredas is presented.

The main task for the MA in the weeks to come is to make a logical but systematic spreading of the new woredas over the 22 clusters, to inform each cluster on the consequences of the new division and to make sure that clusters will submit both a technical and financial proposal based on a guideline and framework circulated by the MA. Proposals will have to be finalized and returned to the MA before the start of the PDT which is planned for the period 13-17 May 2019.

* 1. **ESAP3 Hub Coordination Offices**

As stated in the adopted Inception Report, the MA is planning to established in-country representation offices of hubs. The intention is to create ultimately five hubs spread over Ethiopia. Currently, the MA has recruited three hub coordinators of which two will start operations on 1 April and a third one will join the program as of 1 May 2019.

The first three hub offices will be created in Bahar Dar, Mekele and Hawassa resepectively. In the course of 2019, the MA plans to create additional offices in Dire Dawa or Harar covering the east and Nekemte, covering the emerging regions of Benishangul Gumuz and Gambela as well as the western part of Oromia.

The recruited hub coordinator will start operating from within the office of one of our ESAP2 lead partners. In Bahar Dar this is the Amhara Development Association (ADA) and in Mekele the Alliance of Civil Society Organizations of Tigray (ACSOT). Operational agreements have been established with these organizations. Clearly, the hubs will closely coordinate their activities with both the SA partners as well as with the regional and woreda administrators in the geographical area of their jurisdiction. With representatives of other CSO programs, the MA is in consultation whether joint offices can be opened and costs shared. With the Civil Society Support Program (CSSP) a discussion is currently on-going to look into the possibility of operating from one office in Hawassa and/or Dire Dawa if possible.

The ESAP3 hubs will have to gradually develop into mature SA field offices with sufficient human resources and operational facilities to organize monitoring field missions by these hub offices. This means that the MA plans to station its current two 4WD vehicles, which are based in Addis Ababa, as soon as possible at field level in Bahar Dar and Hawassa respectively. The MA hopes that the ESAP2 leftover balance can be used to purchase an additional three 4WD vehicles to be based at the other three hub stations. A written explanatory note was drafted and shared with the WB recently to be discussed with the GoE and DPs.

**3.2 Steering Committee Meeting**

During this reporting period (January-March 2019), the MA participated in one Steering Committee Meeting (SCM), on 1 February 2019. Three main issues were on the agenda:

***Additional issue following the SCM of 22 November 2018***

* ESAP3 faces a financing gap of US$ 5 million from its original design, due to the withdrawal of USAID and a reduction of Sweden’s commitment. To reach the 500 expansion woredas, another $10-15 million is needed to be used from IDA or additional DP resources.
* Four funding partners signed the funding agreement with the WB. The EU was still pending.
* The WB is in its internal process to sign the GA with VNG International. Agreement was reached on a retroactive budget, as of 1 January 2019, providing the MA resources to cover operations even before the signing of the GA.
* The transfer of assets from ESAP2 to ESAP3 will be formalized following the submission of the international program audit foreseen for June 2019.

***Closure of ESAP2 and formal approval of ESAP3 work program and budget (MDTF part only)***

ESAP2 field activities were completed in September 2018 and cluster contracts ended with the submission of the final internal audit reports for each of the clusters in December 2018. The MA prepared the final technical and financial report to be submitted before mid-February to the WB. In addition three case studies were completed by the end of January 2019. A separate PSNP workshop to discuss the PSNP case study was planned for 14 February 2019.

The final date of MDTF closure is set for 30 June 2019. There is an approximate leftover balance of around US$ 300,000 from ESAP2. This balance could be used during ESAP3 or returned to DPs. The WB will organize a discussion among DPs on this subject[[6]](#footnote-6).

The MA reported that the Inception Report for ESAP3 had been submitted and approved by the WB. A final version included comments from stakeholders. The report will continue to be a living document and incorporate changes whenever needed.

A work plan and budget for 2019 had been submitted as well. Including the following additional observations raised and discussed during the SCM, the MA work plan and budget for 2019 was approved.

* The MoF observed that the number of woredas in the country is changing with some woredas merging, or splitting which needs to be considered.
* The MA is assessing the existing CSOs on their capacity and performance to find out whether they can continue under ESAP3. The process may create space for newcomers in 2019 especially in woredas where such newcomers have developed a track record. In 2020 and beyond there will be an open call for proposals which allows basically every CSO to apply.
* The DPs emphasized that the program design includes vertical and horizontal integration of the systems for SA which requires support from both the MDTF as well as the IDA resources.
* Capacity building of CSOs if taken on board will take place during the planned Pre-Disbursement Training (PDT) preceding the actual field implementation.
* The MA has frequent meetings with related CSO support programs to discuss whether joint actions can be organized to save on expenditures. Establishing joint field offices and mutual training sessions could be among such cost saving activities.
* The ESAP TC is considered as formal platform for information sharing among stakeholders. In addition the close working relationship established between COPCU and the MA since the start of ESAP3 is an instrument to keep each other abreast of program development.

***Update on the new CSO law***

The new draft CSO law is at the Parliament awaiting final approval. The Budget Standing Committee has been holding inclusive public hearings on the draft in the weeks before the SCM. The law is expected to be approved by the Parliament soon[[7]](#footnote-7).

**3.3 Technical Committee Meeting**

During this reporting period (January-March 2019), the MA participated in one Technical Committee Meeting (TC), on 22 February 2019. The main agenda point of the meeting was the ESAP3 IDA 20 work plan and budget.

The MoF presented its ESAP3 work plan and budget for the IDA $ 20 million support. The focus of the IDA support is on strengthening the supply side. On the woreda selection, the MoF stated that the ESAP3 woreda selection will directly involve the regional BoFEDs because a lesson learned from ESAP2 was that regions had not been involved in the woreda selecting process which might have affected the sense of ownership by regional bodies. This time, a first discussion on the selection criteria was held with the BoFEDs.

On the proposed activity to support school mini-media, DPs stated that the work plan needs to indicate how the MoF will manage this support. The MoF explained that its plan is to collaborate intensively with the regional education bureaus which will be encouraged to disseminate the SA message through school mini-medias. Media equipment will be purchased for the two best performing schools in ESAP woredas as an incentive. The MA mentioned that lessons from ESAP2 can be incorporated in this regard.

The idea of establishing ‘open forums’ was appreciated by DPs, but concern was expressed on how to manage these. The MoF said that the ‘open public forum’ is a new initiative under ESAP and will be conducted both at regional and woreda level. SA interface meetings have only a limited number of participants engaged with service providers. The ‘open forums’ however will help engaging the wider public. The forums will be facilitated by regional level SA focal persons and SA implementing partners.

The size of the budget allocated for research activities raised some questions. However, the MoF explained that these budgets not only pay for research but also include TA for federal sectors and the MoF whenever needed.

In terms of the remaining $10 million IDA resources, the MoF confirmed that during the first two years of ESAP implementation, MDTF resources will be used for the planned expansion to 177 woredas. IDA resources will be considered for further expansion beyond 2020. DPs raised the question whether part the $10 million IDA resources can be used to finance JAPs emerging from interface meetings. The WB clarified that the original idea of IDA resources is to support the expansion of ESAP to 500 woredas as targeted initially. Thus, the fund is allocated to be used where donor funding is short of reaching the 500 target ESAP3 woredas.

The WB reminded the MoF on the need for preparing an implementation plan for the IDA resources through consultation with regions and the ESAP MA. The approved plan is one of the disbursement conditions for the IDA resources for ESAP.

DFID mentioned that the UK government will be interested to support the GoE in its efforts to work with the international ‘Open Government Partnership’ and ‘International Budget Partnership’ initiatives. The WB stated that it would be interested to facilitate Ethiopia joining the Global Partnership for Social Accountability, an initiative from the WB.

**3.4 CSO Umbrella Organizations**

At the premises of the MA, a separate meeting between the ESAP3 MA and a representation of the civil society umbrella organizations, who are also represented in the SCM, was organized on 26 February 2019. The Executive Director of the Consortium of Reproductive Health Associations (CoRHA) and the acting director of the Consortium of Christian Relief and Development Associations (CCRDA) attended the meeting.

Apart from briefing both representatives about the main targets of the ESAP3 program, agreement was reached that the umbrella organizations should ideally play a more active role during the ESAP3 implementation process. In addition to their participation in the SCM, the MA and representatives of the umbrella organizations agreed to meet each other more frequently to see in what way the CSO umbrella organizations can support their members when it comes to SA related activities. The first event where the umbrella representatives will become involved in is the planned PDT for ESAP3 participating CSOs planned for mid-May 2019.

1. **Conclusion**

Although it was unclear when exactly the final ESAP3 GA was going to be signed, the MA started with preparatory ESAP3 activities as of 1 January 2019 to make sure that no additional time was lost. More difficult it turned out to be for our partner organizations, some of which had to lay off experienced SA staff after completion of ESAP2. They could not afford holding their staff on the payroll due to a lack of financial resources.

The MA prepared a letter for all organizations operating under the 22 clusters to start recruiting new staff to operate under ESAP3. All ESAP3 field staff, both old as well as new staff members, will participate in the PDT in May 2019 to become familiar with rules and regulations (both technical as well as financial) of the ESAP3 program. Both hard as well as soft copies of guidelines, instructions and templates will be shared similarly as was done under the previous ESAP2, ESAP-BP and Extension to the ESAP-BP program.

In between, the MA has contracted three hub coordinators who will at regional level become responsible to assist the MA with broadening the network relations with regional and local stakeholders and organize monitoring field visits from within the hub offices. In this way the MA expects to implement the overall ESAP3 program in a more efficient manner.

**ANNEXES**

##

## Annex 1 ESAP3 Synopsis

|  |  |
| --- | --- |
| **Project Title** | Management Agency to Implement the Ethiopia Social Accountability Program Phase 3 (ESAP3) |
| **Contract Number** | TF0A9293 |
| **Location** | Ethiopia |
| **Overall Objective ESAP3** | Support strengthening the SA system and mechanisms for enhanced service delivery in Ethiopia. |
| **Specific Objectives****ESAP3** | ESAP3 is composed of three major project components:* Component 1 includes the implementation and expansion of SA tools and approach in kebeles and woredas.
* Component 2 is based on the recognition that for SA to be sustainable it must be embedded within the overall institutions and systems of Government through a longer-term process.
* Component 3 includes all elements that support the management and overall functioning of the project.
 |
| **Contractor** | VNG International, GOPA Consultants and YEM Consulting Services |
| **Name Contracting Authority** | World Bank, Ethiopia Country OfficeWollo Sefer, Bole Road, P.O. Box 913/11111 Addis Ababa, Ethiopia |
| **Project Starting Date** | 11/10/2011 (effective starting date 27/4/2012) |
| **Project Starting Date** | Project Official signing date: 5 April 2019Project Start Retroactively: 1 January 2019 |
| **Project Duration** | May 2023 |
| **Total Project Budget** | According to unsigned Grant Agreement: million US$ 8,965,973.81 |
| **Date of Report** | 17 April 2019 |
| **Reporting Period** | 1/1/2019/ to 31/3/2019 |
| **Author of Report**  | ESAP3 – Management Agency Addis Ababa |

## Annex 2 ESAP3 Budget Breakdown

|  |  |  |
| --- | --- | --- |
| **Category** | **allocated budget under TF0A9293****in US$** | **% of Expenditures to be Financed****(incl. taxes)** |
| (1a) Grants for Sub-Projects under Part 1(a) of the Project | US$ 5,641,390.00 | 100% |
| (1b) Grants and Technical Assistance for Sub-Projects under Part 1(b) of the Project | US$ 769,280.00 |  |
| (2) Consulting Services, Training and Workshops (incl. Media Costs) under Part 2 of the Project | US$ 986,257.00 | 100% |
| (3) Management and Coordination Services Fees (incl. Goods) under Part 3 of the Project | US$ 1,569,046.81 | 100% |
| **OVERALL TOTAL** | **US$ 8,965,973.81** |  |

## Annex 3 Detailed Cluster Scoring Grid based on MA Finance, Grants and CD&T

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Code** | **Lead SAIP** | **Quality of finance report and documents** | **Respon****siveness** | **Documents complete** | **Timely submission of reports** | **Grant and Finance Score** | **Quality narrative report** | **Quality of datasheet** | **Quality of support to SAC** | **Regional partnership** | **Communicefforts** | **CD&T Score** | **Overall Total Score**  | **in %** | **Observations** |
| **Score** | **18** | **4** | **4** | **4** | **30** | **5** | **5** | **10** | **5** | **5** | **30** | **60** |  |   |
| 047-HID | **HIDO** | 12 | 2 | 4 | 2.5 | **20.5** | 3.5 | 3.5 | 9 | 5 | 5 | **26** | **46.5** | **78%** | SYGE had difficulty with staff turnover and finance issues. Management: mid 2018, a new WC on the job and implementation back on track; Live Addis SACs well supported by experienced staff; HIDO participated in joint monitoring with region and in FTA SA meetings; used FTA-SA radio opportunity; effort to link with woreda comm. office. |
| 104-UEW | **UEWCA** | 13 | 4 | 4 | 2 | **23** | 3.5 | 2.5 | 10 | 5 | 3.5 | **24.5** | **47.5** | **79%** | EWLA had a problem with staff turnover. Some gaps in supporting SACs; UEWCA organized good SAC experience sharing event with all partners; Good participation in FTA-SA meetings. |
| 093-RW | **Rohi Weddu** | 10 | 1 | 1 | 1 | **13** | 2.5 | 3.5 | 7.5 | 5 | 3.5 | **22** | **35** | **58%** | Quality of reporting and datasheets decreased due to staff turnover; Good support to SACs; Active participation, brought SAC members to FTA- SA meetings; WC (Awash town) used SAC hero for awareness raising elsewhere. |
| 088-RTG | **RTG** | 8 | 1 | 2 | 1 | **12** | 2.5 | 5 | 5 | 3.5 | 2.5 | **18.5** | **30.5** | **51%** | Quality issues due to staff turnover; Delay in implementation mid 2018 in Dulecha woreda; Council training was not impresssive; Not able to attend FTA-SA meeting due to overlapping activity.  |
| **Code** | **Lead SAIP** | **Quality of finance report and documents** | **Respon****siveness** | **Documents complete** | **Timely submission of reports** | **Grant and Finance Score** | **Quality narrative report** | **Quality of datasheet** | **Quality of support to SAC** | **Regional partnership** | **Communic. efforts** | **CD&T Score** | **Overall Total Score**  | **in %** | **Observations** |
| **Score** | **18** | **4** | **4** | **4** | **30** | **5** | **5** | **10** | **5** | **5** | **30** | **60** |  |   |
| 109-WSA | **WSA** | 15 | 3 | 3 | 2 | **23** | 5 | 5 | 7.5 | 2.5 | 2.5 | **22.5** | **45.5** | **76%** | Good report quality and datasheets (timely submission has improved); Support from lead to partners limited (PC did not visit woredas and FPs attend project team meetings); Support to WC and SAC limited; WCs not informed about FTA SA radio.  |
| 012-ADA | **ADA** | 15 | 2.5 | 2 | 1 | **20.5** | 4 | 4 | 8.5 | 5 | 3.5 | **25** | **45.5** | **76%** | Reporting quality and datasheets improved; Mixed experience of support to SACs; Weak partners need more support from lead; Active participation in FTA-SA meetings; Good communication efforts at woreda (use of magazine produced by Council and woreda communication office). |
| 064-MSC | **MSCFSO** | 18 | 4 | 4 | 4 | **30** | 5 | 5 | 9 | 5 | 5 | **29** | **59** | **98%** | Still good quality reporting and datasheets; SA more driven by Government (citizens not in lead); Good linkages with Council; Excellent regional partnership; Active participation in FTA-SA meetings and regional meetings organized by GRM; Good linkages with woreda communication office. |
| 032-ECC | **ECC** | 13 | 3 | 4 | 2 | **22** | 5 | 5 | 10 | 5 | 5 | **30** | **52** | **87%** | Good quality reporting and datasheets; Good implementation and support to SACs; Relationship with BoFED improved; Active participation in FTA-SA meetings; Showing PVs on regular basis for scaling. |
| **Code** | **Lead SAIP** | **Quality of finance report and documents** | **Respon****siveness** | **Documents complete** | **Timely submission of reports** | **Grant and Finance Score** | **Quality narrative report** | **Quality of datasheet** | **Quality of support to SAC** | **Regional partnership** | **Communic. efforts** | **CD&T Score** | **Overall Total Score**  | **in %** | **Observations** |
| **Score** | **18** | **4** | **4** | **4** | **30** | **5** | **5** | **10** | **5** | **5** | **30** | **60** |  |   |
| 048-HFC | **HFC** | 15 | 4 | 2 | 2 | **23** | 3.5 | 4 | 8.5 | 5 | 5 | **26** | **49** | **82%** | Reports and datasheets are ok; Not monitored in 2018 due to security issues; FTA-SA meeting not organized in Dire Dawa and Harar, but made efforts to send a person to Oromia meeting; Actively continued with FTA-SA radio in Harar and Dire Dawa (support SACs to use radio). |
| 077-OWD | **OWDA** | 10 | 2 | 2 | 0.5 | **14.5** | 3.5 | 4 | 6 | 2.5 | 2.5 | **18.5** | **33** | **55%** | Reporting and datasheets are ok; Not monitored in 2018 due to security issues; Serious delay in implementation by sub-partner due to extensive security issues and coordination problems; FTA-SA meetings not organised; FTA-SA radio not continued. |
| 051-IWC | **ILU-IWCIDO** | 12 | 4 | 2.5 | 3 | **21.5** | 5 | 5 | 8.5 | 3.5 | 2.5 | **24.5** | **46** | **77%** | Good quality reporting and datasheet; Good support to SACs (followed MA guideline; Good capacity of SACs; During monitoring, BP activities not started due to unrest; Participated in FTA-SA meetings; Limited communication efforts in extension phase. |
| 061-LIA | **LIA** | 5 | 1 | 1 | 2 | **9** | 3.5 | 5 | 6 | 3.5 | 4 | **22** | **31** | **52%** | Reporting requires improvement and datasheet still unsatisfactory; implementation (SAC support and council training) is ok; Regional partnership in Gambella improved; TSA in Gambella started and broadcasted on TV. |
| **Code** | **Lead SAIP** | **Quality of finance report and documents** | **Respon****siveness** | **Documents complete** | **Timely submission of reports** | **Grant and Finance Score** | **Quality narrative report** | **Quality of datasheet** | **Quality of support to SAC** | **Regional partnership** | **Communic. efforts** | **CD&T Score** | **Overall Total Score**  | **in %** | **Observations** |
| **Score** | **18** | **4** | **4** | **4** | **30** | **5** | **5** | **10** | **5** | **5** | **30** | **60** |  |   |
| 038-EOC | **EOC** | 18 | 4 | 4 | 3.5 | **29.5** | 3.5 | 3.5 | 9 | 3.5 | 3.5 | **23** | **52.5** | **88%** | Quality of reporting decreased and datasheets incomplete; At the time of monitoring extension activities not started due to staff turnover; However good capacity of SACs observed; Participation in FTA-SA meetings, reached out to regional councillors for council training; Continued with Sude community radio. |
| 092-RCW | **RCWDO** | 14 | 3 | 2.5 | 2 | **21.5** | 3.5 | 3.5 | 7.5 | 3.5 | 2.5 | **20.5** | **42** | **70%** | Challenges with reporting and datasheets; Overall implementation is ok in woredas; Good follow up JAP implementation; Lead support to partners limited; Participated in FTA-SA meetings; Limited communication efforts. |
| 050-HUN | **HUNDEE** | 15 | 2 | 3 | 2.5 | **22.5** | 5 | 5 | 9 | 4 | 4 | **27** | **49.5** | **83%** | Quality of reporting and datasheets is good; Good implementation by SAC in Jima Rare woreda (good service improvements and JAP monitoring); Implementation in Ambo ok (delay due to security issues); Cluster PC involvement limited; Did not participate in FTA-SA meetings and involvement has decreased; In woreda communication office part of SAC in Jima Rare woreda active. |
| **Code** | **Lead SAIP** | **Quality of finance report and documents** | **Respon****siveness** | **Documents complete** | **Timely submission of reports** | **Grant and Finance Score** | **Quality narrative report** | **Quality of datasheet** | **Quality of support to SAC** | **Regional partnership** | **Communic. efforts** | **CD&T Score** | **Overall Total Score**  | **in %** | **Observations** |
| **Score** | **18** | **4** | **4** | **4** | **30** | **5** | **5** | **10** | **5** | **5** | **30** | **60** |  |   |
| 020-CFA | **CFAFI** | 16 | 4 | 4 | 3.5 | **27.5** | 4 | 5 | 8.5 | 5 | 4 | **26.5** | **54** | **90%** | Reporting and datasheets good; Good support to SACs in Were Jarsso and Woliso woredas; Good participation in FTA-SA meetings; Produced PV on water sector in Were Jarsso woreda for regional responsiveness. |
| 001-AFD | **AFD** | 12 | 3 | 2.5 | 2.5 | **20** | 2.5 | 3.5 | 7.5 | 3.5 | 2.5 | **19.5** | **39.5** | **66%** | Reporting and datasheets ok; Good implementation in Male woreda (good capacity of SAC); In Nyangatom implementation limited; Participated in FTA-SA meetings; Not many communcation efforts. |
| 003-AFSR | **AFSR** | 15 | 4 | 4 | 3 | **26** | 3.5 | 5 | 9 | 5 | 5 | **27.5** | **53.5** | **89%** | Report and datasheets are good; In Malga woreda, good implementation (strong SAC); Participated in FTA-SA meetings; Started to provide content for FTA-SA radio. |
| 078-ODA | **ODA** | 12 | 0 | 2 | 1 | **15** | 5 | 3.5 | 8.5 | 5 | 3.5 | **25.5** | **40.5** | **68%** | Good report with details and datasheet with few issues; Very good implementation in Arsi Negelle (strong SAC and service improvements); Implementation in Aje woreda is proper; Participated in FTA-SA meetings; Efforts made for communication at woreda level. |
| 058-KMG | **KMG** | 13 | 3 | 4 | 2 | **22** | 2.5 | 2.5 | 9 | 5 | 4 | **23** | **45** | **75%** | Reporting and datasheets fair, needs improvement; In Kacha Bira woreda, implementation very good (strong SAC); Good participation in FTA-SA meetings; Continued with radio transmission. |
| **Code** | **Lead SAIP** | **Quality of finance report and documents** | **Respon****siveness** | **Documents complete** | **Timely submission of reports** | **Grant and Finance Score** | **Quality narrative report** | **Quality of datasheet** | **Quality of support to SAC** | **Regional partnership** | **Communic. efforts** | **CD&T Score** | **Overall Total Score**  | **in %** | **Observations** |
| **Score** | **18** | **4** | **4** | **4** | **30** | **5** | **5** | **10** | **5** | **5** | **30** | **60** |  |   |
| 006-ADV | **ADV** | 14 | 4 | 4 | 3 | **25** | 5 | 5 | 8.5 | 4 | 4 | **26.5** | **51.5** | **86%** | Good reporting and datasheets; Good implementation (strong SACs and good support); In Geta woreda, still focus on community contribution; Participated in FTA-SA meetings; Woreda communication office part of SAC; Use of community and FTA-SA radio. |
| 011-ACSOT | **ACSOT** | 18 | 4 | 4 | 2 | **28** | 2.5 | 3.5 | 9 | 5 | 5 | **25** | **53** | **88%** | Reporting and datasheets need improvement; Good implementation in 2 woredas (strong SACs and good service improvements); Improve learning and sharing within cluster partners (this can lead to improved reporting); Good regional partnership - also attended FTA-SA meeting in Afar; Continued with FTA-SA radio. |

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Specific Measuring Parameters** |  |  |  |  |  |  |  |  |  |  |  |
| **Quality of Financial report**  | 1. Financial report free of ineligible expenditures |
|  |  |  | 2. Clear and free of suspicious expenditures |
|  |  |  | 3. Free of non-genuine supporting documents |
|  |  |  | 4. Within and in line with the approved budget |
|  |  |  | 5. Organize and referencing to documents |
|  |  |  | 6. Easily traceable and readable documents |
| **Responsiveness**  | 1. Timely/prompt replies to MA |
|  |  |  | 2. Willingness to clarify issues or submit remaining documents |
|  |  |  | 3. Follow-up with partners for issues or collection of reports |
| **Document Submission**  | 1. Presentation of sufficient supporting documents |
|  |  |  | 2. Submission of all required reports and documents including invoice detail ledger, appropriate hard and soft copies, bank reconciliations, ledgers, cash receipts etc. |
| **Timely submission of reports** | 1. Submission quarterly Narrative and Financial reports based on the deadline set |
|  |  |  | 2. Submission of external audit report based on the deadline set |
|  |  |  | 3. Submission of quarterly forecasts together with the financial report  |

**Annex 4 Capacity Assessment Questions**

The Capacity Assessment Questions below were meant as a snapshot of measuring the current capacity of each of the scaling grantees. The questions were used for the self-assessment and refection by the scaling grantee, and also used for bi-annual performance improvement assessment by the MA during ESAP3 implementation.

The Capacity Assessment of grantees will allow the MA to bring focus to its support towards scaling grantees and monitor their progress over time in their journey towards becoming mature SA organizations.

Statements are answered on a scale of 1 – 5: 1. Fully disagree; 2 Disagree; 3 Agree nor disagree, neutral; 4 Agree; 5 Fully agree. Some statements/questions require a narrative response as well.

1. As an organization, you ensure that the key position(s) recruited for your SA project, the Woreda SA Expert is the right person in terms of intrinsic motivation, willingness to live in the woreda, necessary skills and active attitude to learning. Key skills that you are recruiting for/nurturing in a woreda SA expert:
	1. Facilitation and conflict management/resolution
	2. Linking with CBO’s and community organizations
	3. Experience in at least one pro-poor sectors and willingness to learn about the others
	4. Perseverance and adjustment to local context
2. You actively support the Woreda SA Expert and ensure that this Expert reaches out to Woreda SA experts in other contracts to share experience and learn. Explain how you do this.
3. You have at least one Gender/Social Inclusion expert in your cluster.
4. Your organization is a ‘learning organization’ in the field of SA because:
	1. you help your Woreda Expert to document *how* they work (not just ticking boxes are reporting completed activities)
	2. Positive as well as negative experiences are shared in your monthly project team meetings in an honest manner
	3. Lessons are used to improve the practice of Woreda SA experts and lead to changes in the project activities
	4. Lessons and stories from your work are documented and shared with other SA experts for their reflection and learning
5. You actively use your SA expertise in other situations/projects outside the ESAP program. If you score 4-5 please provide examples.
6. Considering the new CSO law, do you think the specialization of your organization will continue to be one of mediation and facilitation of interface platforms (citizen-state dialogues), or one of lobbying and advocacy of social issues

**Annex 5 List of selected New ESAP3 Woredas (2019)**

|  |  |  |  |
| --- | --- | --- | --- |
| **Region** | **Zone/Kifle Ketema** | **Woreda** | **ESAP 3** |
| **Oromia** | Arsi | Bokoji town | 1 |
| Bale | Robe town | 3 |
| Goba |  |
| Sinana |  |
| Easter Hararghe | Aweday town | 2 |
| Meta |  |
| West Hararghe | Chiro town | 3 |
| Chiro |  |
| Tullo |  |
| West Shewa | Chelia | 1 |
| Southwest Shewa | Becho | 1 |
| West Wellega | Gimbi | 4 |
| Gimbi town |  |
| Nejo |  |
| Nejo town |  |
| East Wellega | Sasiga | 3 |
| Gudeya Bila |  |
| Guto Gida |  |
| Jimma | Dido, | 3 |
| Goma |  |
| Agaro town |  |
| Buno Bedele | Bedele town | 2 |
| Bedele |  |
| West Guji | Bule Hora | 1 |
| **Sub Total** |  | **24** |
| **Somali** | Fafan | Shabelay | 2 |
| Awbare |  |
| Shabele | Godet | 4 |
| Kelafo |  |
| Berano |  |
| Elele |  |
| Dollo | Warder | 4 |
| Lehel-Yoob |  |
| Galadi |  |
| Daratole |  |
| **Sub Total** |  | **10** |
| **Region** | **Zone/Kifle Ketema** | **Woreda Name** | **ESAP 3** |
| **Benishangul-Gumuz** | Metekel | Gilgel Belese | 1 |
| **Sub Total** |  | **1** |
| **Afar** | Zone 2 (Kilbeti Resu) | Abeala | 1 |
| Zone 4 (Fenti Resu) | Golina | 1 |
| **Sub Total** |  | **2** |
| **Amhara** | Awi Zone | Guagesa Shekidad | 3 |
| Enjebara city |  |
| Dangila |  |
| West Gojam | Denebecha | 3 |
| South Achefer |  |
| Fonetaselam city |  |
| East Gojam | Shebel Bereta | 1 |
| North Shewa | Mojanawodera | 3 |
| Basona worena |  |
| Angolela tera |  |
| OromIa | Batie | 1 |
| South Wollo | Dessie Zuria | 4 |
| Aregoba |  |
| Kombolcha town |  |
| Worrilu |  |
| North Wollo | Angot | 2 |
| Raya kobo |  |
| Waghimera | Aberegalle | 2 |
| Ziquala |  |
| North Gondar | Dabat | 1 |
| **Sub Total** |  | **20** |
| **SNNPR** | Gedeo | Dila zuria | 2 |
| Yirgachefe |  |
| Dawro | Loma | 1 |
| Gamo | Arbaminch zuria | 2 |
| Mirababya |  |
| Kefa | Gimbo | 2 |
| Bita |  |
| Banch Maji | Shewbench | 1 |
| Wolaita | Damot gale | 2 |
| Humbo |  |
| Alaba | Wera | 1 |
| Yem Liyu | Yem Liyu Woreda | 1 |
| **Sub Total** |  | **12** |

|  |  |  |  |
| --- | --- | --- | --- |
| **Region** | **Zone/Kifle Ketema** | **Woreda** | **ESAP 3** |
| **Addis Ababa** | Addis Ketema | Woreda 06 | 1 |
| Akaki Kality | Woreda 01 | 1 |
| Bole | Woreda 11 | 1 |
| Gulele | Woreda 01 and Woreda 05 | 2 |
| Lideta | Woreda 03 | 1 |
| Nefas Silk Lafto | Woreda 06 | 1 |
| Yeka | Woreda 05 | 1 |
| **Sub Total** |  | **8** |
| **Overall Total New Woredas in 2019** | **77** |

**Annex 6 ESAP3 Results Framework (updated version – February 2019)**

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Nr** | **Comp.** | **Obj. level** | **Objectives** | **Indicators** | **Key Indic.** | **Baseline 2018** | **Endline 2023** | **SoV** | **Funding Source** | **Gov level** | **Comments** |
| 1 |   |   | **Project Development Objective (PDO)** |  |  |  |  |  |  |  |  |
| 2 |   |   | **To support strengthening the SA system and mechanisms for enhanced service delivery in Ethiopia** |   |   |   |   |   |   |   |   |
| 3 | 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 …)*** | **key** | 0 | 75% | SA Questionnaire |   |   | Proxy: % of service issues related to vulnerable groups (women, children, PSNP, etc…)  |
| 4 | PDO | PDO |  | **% of kebeles and woredas where councils are reported to approve and monitor JAPs** |  | 0 | 75% | SA Questionnaire |   |   | is actually output indicator 2a.7.3 |
| 5 | PDO | PDO |  | *% of issues raised at regional level that get solved* | *key* |  |  | *PMIS* |  |  | *proposed by WB Jan 2019* |
| 6 | PDO | PDO | **(b) for enhanced service delivery** | **% of citizens (men and women) reporting improved and quality basic services *(in at least two sectors);*** | **key** | TBE | TBE | Baseline / Endline survey |   |   |   |
| 7 | PDO | PDO |   | # of kebeles / woredas where service quality has improved (in the targeted sectors and as result of the SA process) | key | TBE | TBE | CSC  |   |   |   |
| 8 |  |  | **Component 1: To extend and expand SA in kebeles and woredas** |  |  |  |  |  |  |  |  |
| 9 | C1 | **Outcome** | **Outcome 1.1: # target woredas and kebeles increased** | # woredas covered | key | 223 (215) | 400 | PMIS (data form project information) + MA Quarterly Report  |   |   | Proxies:- % of new woredas that cover at least 50% of all kebeles- % of old woredas that cover at least 75% of all kebeles |
| **Nr** | **Comp.** | **Obj. level** | **Objectives** | **Indicators** | **Key Indic.** | **Baseline 2018** | **Endline 2023** | **SoV** | **Funding Source** | **Gov level** | **Comments** |
| 10 | C1 | **Outcome** | **Outcome 1.2: # of sectors increased** | # of sectors (min 5) that have gained planning input through SA process |   | 20% (old)0% (new) | 100 | PMIS (data form project information) + SA Questionnaire |   |   | SA process is driven by citizens, incl. selection of relevant SA sector(s); in addition, woreda budget is limited and expanding to other sectors may not be realistic. Often woredas prefer focus.Proxy: at least 1 sector benefits from 'full coverage' (1 in yr 1; 1 in yr 2) |
| 11 | C1 | **Outcome** | **Outcome 1.3: SA uptake expanded** |   |   |   |   |   |   |   | **Indicators to be revised in line with scaling plan (Oct 2018)** |
| 12 | C1 | Output | Output 1.3.1: SACs established, strengthened and/or given targeted support | # of SACs functioning in woredas/kebeles | key | 2000 (kebele)200 (woreda) | 4000 (kebele)400 (woreda) | PMIS (SAC Membership data form) + SA questionnaire |   |   | Proxy: # of grantee support to SACs (regular SAIP - SAC meetings) (1st year) |
| 13 | 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 | key | 0 | 180 (185) | PMIS (data form project information) + MA Quarterly Report  |   |   | different targets for old and new woredas?Proxy: # of interface meetings held and JAPs agreed upon |
| 14 | C1 | Output | Output 1.3.3: JAPs developed, implemented and monitored | **# (new) JAPs implemented and financed**  |  | 0 | 2000 | PMIS (JAP data form) |   |   | ESAP2 experience shows that monitoring JAPs is more difficult and unreliable than expected, see M&E FrameworkIf used, it should be disaggregated by sector and source of funding (incl voluntary citizen contribution) |
| 15 |  |  | **Component 2: Support institutionalization and sustainability of SA for enhanced service delivery** |  |  |  |  |  |  |  |  |
| 16 |  |  | **Component** 2a: - Support institutionalization and sustainability of SA for enhanced service delivery through horizontal integration |  |  |  |  |  |  |  | WE MAY CONSIDER A COMBINATION OF INDICATORS THAT, TOGETHER, GIVE A GOOD PICTURE OF A RESULT |
| **Nr** | **Comp.** | **Obj. level** | **Objectives** | **Indicators** | **Key Indic.** | **Baseline 2018** | **Endline 2023** | **SoV** | **Funding Source** | **Gov level** | **Comments** |
| 17 | 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** | key | 0 | 50% | PMIS (SAC membership data form) |   |   | Design doc: # ... effectively working on SA, progressively less dependent on external support' - can be linked with scaling strategy, see indicator aboveMechanisms identified to sustain community structures’ involvement in SA processes (after ESAP) |
| 18 | C2a | Output | Output 2a.1.1: Diverse and inclusive user groups and /or local networks (Iddir, …) identified and brought into SA process | # of (new) woredas that use Social Mapping to identify vulnerable groups |   | 0 | TBE | Social Mapping report |   |   | Proxy: Nr of user groups that participate in SA process (based on participation in meetings) - if detailed participant info can be obtainedfor old woredas is already done |
| 19 | 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 | key | 30% | 60% | Baseline / Endline survey |   |   | disaggregated by gender, vulnerable groups, PSNP beneficiaries, PLWHAs (citizens vs leaders of community structures)be specific on training subjectsNote baseline study 2013: % of those aware of rights is high (80%). % of those who actually demand their rights is much smaller than the % of those who claim they are aware of their rights (i.e. 32.7% in the education sector, 40.6% in water and sanitation, 18.1% in rural roads, and 25.4% in agriculture) |
| 20 | C2a | Output | Output 2a2.1: social mobilisation and awareness raising strategies | # of awareness and SA familiarization events (coffee ceremonies, theatres, …) |   | 0 | 1000 | PMIS (event data form) |   |   |   |
| 21 | C2a | Output | Output 2a.2.2: Service users (community structures) trained on SA including standards, entitlements and responsibilities, infomation law, approaches to engage service providers | **# of citizens (community structures) trained in SA (processes and tools)** |  | 0 | 50,000 | PMIS (event data form) + training reports |   |   | Proxies (survey):- % of citizens aware of their service entitlements/rights in the intervention woredas- % of citizens aware of their responsibilities |
| **Nr** | **Comp.** | **Obj. level** | **Objectives** | **Indicators** | **Key Indic.** | **Baseline 2018** | **Endline 2023** | **SoV** | **Funding Source** | **Gov level** | **Comments** |
| 22 | C2a | Output | Output 2a.2.3: Service users (community structures) claim access to information about service provision | % of kebeles and woredas that have access to actionable information services |   | 0 | 75% | SA Questionnaire |   |   | Baseline survey 2013: In responding to the question how many citizens in their project woreda participate in planning, budgeting, implementation and monitoring the quality of basic service delivery, more than two thirds (68.8%) said that less than 5% do soDisaggregated values for woredas (old vs new)and sectors |
| 23 | 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 | key | 0 | 50% | SA Questionnaire |   |   | disaggregated by gender, vulnerable groups, PSNP beneficiaries, PLWHAsProxies:- User communities actively involved in public service planning, budgeting, implementation and monitoring- changes in the original budget as outcome of citizen feedback (SA mechanism)- % of citizens/community groups that report that their views have been taken on board |
| 24 | C2a | Output | 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) | # of citizens that are trained in/familiar with GRB and/or PPB (new woredas, 1st year) |   | 0 | TBE | PMIS (event data form) |   |   | *disaggregated by gender, vulnerable groups, PSNP beneficiaries, PLWHAsProxies:*- # of citizens and community groups who have mainstreamed gender responsiveness (Design doc, p. 122 - too vague)*-* % of citizens reporting to have access to (understand) actionable information about woreda/kebele development plan, budget allocation and expenditure (surveys) |
| **Nr** | **Comp.** | **Obj. level** | **Objectives** | **Indicators** | **Key Indic.** | **Baseline 2018** | **Endline 2023** | **SoV** | **Funding Source** | **Gov level** | **Comments** |
| 25 | C2a | Output | Output 2a.3.2: Citizens (through community structures) in the intervention woredas and service sectors use established mechanisms to participate in budget planning | # of kebeles/woredas that use GRB/PPB to organise inputs for sector planning (all sectors) (new woredas, 2nd year) |  | 0 | 150 | SA Questionnaire |   |   | different levels, e.g. budget for one particular school vs budget for education sectorProxies:- # of citizens/community representatives reporting to actively participate in public meetings on budget (planning, …) - % of citizens that have participated…. |
| 26 | 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 | key | TBE | TBE | CSC  | both | F | Proxies:- % of providers reporting they have changed their attitude, behaviour- % of citizens reporting that providers have changed their attitude, behaviour- % of frontline service providers reporting that they are more responsive to citizens needs through the SA process…. |
| 27 | C2a | Output | Output 2a4.1: Providers trained on SA process and tools, including approaches to engage with service users, gender mainstreaming, …. | # service providers trained in SA |   | 0 | TBE | PMIS (training reports, meeting data form) |   |   | Proxy: % of ….Increased understanding among providers of SA processes and their role and responsibilities (survey) |
| 28 | C2a | Output | Output 2a.4.2: Providers are making standards available | % of targeted facilities that post service standards |   | 20% | 75% | CSC  | both | F | If possible, disaggregated values for frontline and woreda sector offices, regional sector bureaus; may not apply to all 5 sectorsProxy: # of sector guidelines, standards made available (e.g. citizen charters are gender specific, and pay attention to vulnerable groups) |
| 29 | 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 | key | 0 | 75% | SA QuestionnaireQuarterly reports (QDA) |   |   | score if possible, or (at least) one example per kebele - per service provision unit we are able to identify mechanism that promotes SA process/ interactions |
| **Nr** | **Comp.** | **Obj. level** | **Objectives** | **Indicators** | **Key Indic.** | **Baseline 2018** | **Endline 2023** | **SoV** | **Funding Source** | **Gov level** | **Comments** |
| 30 | C2a | Output | Output 2a.5.1: Instruction for providers put in place with regard to SA, including transparent management, budget made available, gender mainstreaming, …. | % of kebeles/woredas where instructions for providers have been put in place with regard to SA |   | 0 | 75% | SA Questionnaire |   |   | Indicator is about posting standards developed by region, showing they are available locally, but ideally also referring to how citizens can/will use the information.Proxies:% or # of targeted facilities that post budget public spaces% of citizens that report that providers manage services and facilities transparently (survey) |
| 31 | C2a | Output | Output 2a.5.2: Resources made available (e.g. for the interface meetings) | % of kebeles and woredas that have an allocation in the local budget for providers to engage in SA process |   | 0 | 75% | SA Questionnaire |   |   |   |
| 32 | C2a | Output | Output 2a.5.3: SA, FTA and GRM focal points work together and coordinate their activities with citizens at woreda level | # of joint SA-FTA-GRM planning en review meetings held |   | 0 | TBE | PMIS (event data form) |   |   | MOU on 4 areas of cooperation Proxy:- # of joint field visits conducted to monitor implementation of activities (monitoring reports) |
| 33 | 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 | key | 0 | 75% | SA Questionnaire | both | R |   |
| 34 | C2a | Output | Output 2a.6.1: Woreda administration trained in updated (inclusive of SA) budget planning cycle of the government (together with FTA) | # of service providers trained in SA mechanisms in planning/budgeting, including GRB |   | 0 | TBE | PMIS (event data form) |   |   | Proxy: increased understanding among woreda administration of SA processes and their role and responsibilities (SA Questionnaire?) |
| 35 | C2a | Output | Output 2a.6.2: Woreda administration puts mechanisms in place to ensure citizens' engagement in budget | # of woredas (kebeles?) where woreda administration has prepared a 'citizens engagement plan' |   | 0 | TBE | SA Questionnaire |   |   | Examples: timely information, budget sharing, opportunity to give comments, systematic feedback about their comments, inputs on budget |
| 36 | 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 | key | TBE | TBE | SA Questionnaire | both | R | Proxy indicators:- co-financing by citizens, additional budgets made available by GoE (get reliable information challenging as learned in ESAP-BP)- Reallocation of public resources towards priorities identified by SACs |
| **Nr** | **Comp.** | **Obj. level** | **Objectives** | **Indicators** | **Key Indic.** | **Baseline 2018** | **Endline 2023** | **SoV** | **Funding Source** | **Gov level** | **Comments** |
| 37 | C2a | Output | 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 | **# councillors trained in SA** |  | 0 | TBE | PMIS (event data form) | both | R | dissagregated by administrated levelProxy: indicator about improved knowledge and understanding |
| 38 | C2a | Output | Output 2a.7.2: Council checks if sector plans have been shared with citizens and if it responds to their needs (gender, vulnerable groups) | % of kebeles and woredas where the council has checked if sector plans have been shared with citizens |   | 0 | 75% | SA Questionnaire | both | R | assumption: Council rep in SAC communicates sector plans and citizens needs with relevant councillors (standing comm) so that whole council can make informed decision |
| 39 | C2a | Output | Output 2a.7.3: Sector plans (incl JAPs) approved (and monitored by council) | % of kebeles and woredas in which the council approves the JAP and resource (re)allocation |   | 0 | 75% | SA Questionnaire |   |   | What matters with JAPs is that the council approves - so that they become part of government service delivery plans.Proxy: # of councils that provide space for SACs and other community based SA structures to articulate their priorities during budget hearings and public consultations |
| 40 |   |   | **Component** 2b: - Support institutionalization and sustainability of SA for enhanced service delivery through vertical integration |  |  |  |  |  |  |  |   |
| 41 | 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 | key | 0 | 75% | PMIS (project information) | both | R | changed following suggestion from WB to move original indicator to PDO level |
| 42 | C2b | Output | Output 2b.1.1: Non-State Actors identified and mentored to facilitate SA processes at higher levels | # of NSA trained (mentored) |   | 0 | TBE | MA Quarterly reports |   |   | Proxies:- # of training modules- # of NSAs engaged with regional innovation |
| 43 | C2b | Output | Output 2b.1.2: CSOs and regional government capacity strengthened to engage with one another | # of CSOs strenghtened in their capacity to capitalise on the opportunities offered by the FTA-SA-GRM partnership and the innovation grants |   | 0 | TBE | MA Quarterly reports + contracts with grantees |   |   | split it up in diverse citizen interests represented by CSOs; and focus it on the regional government regional actors, BoFED and secor, need to become more responsive in tackling systemic issues. |
| **Nr** | **Comp.** | **Obj. level** | **Objectives** | **Indicators** | **Key Indic.** | **Baseline 2018** | **Endline 2023** | **SoV** | **Funding Source** | **Gov level** | **Comments** |
| 44 | C2b | Output | Output 2b.1.3: interface established or reinforced | # of woredas that have developed a platform |   | 0 | TBE | MA Quarterly reports |   |   | Proxy: ToR for interface platform developed |
| 45 | C2b | Output | Output 2b.1.4: FTA-SA-GRM vertical mechanisms in BOFED and sectors are transparent, accountable and responsive | Guidelines for FTA-SA-GRM complementarity mechanisms available. |   | no | yes | MA Quarterly reports + government data |   |   |   |
| 46 | C2b | Output | Output 2b.1.5: Innovation grants used to pilot and/or do action research/policy dialogue | # (and/or size) of innovation grants | key | 0 | 50 | MA Quarterly reports |   |   | (1) SA systems Development (woreda government has systems to engage citizens, be accountable and transparent) in the following domains and (2) SA process for higher level functionsProxy: Lessons learned from innovation grants disseminated |
| 47 | 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** | key | 0 | 5 | MA Quarterly reports | both | F | assumption: (disseminate experiences via IDA grant) for all regions/woredasProxy: At least 2 other system development are institutionalised at federal, depending on SA innovation in the regions. |
| 48 | C2b | Output | Output 2.b.2.1: Charters of citizen right and responsibilities (= service standards for the public) agreed with pro-poor Ministries, and rolled-out with regions (roads, and health) | (# of) Citizens’ charter(s) of rights and responsibilities developed |   | 0 | 5 | MA Quarterly reports + government data | both | F |   |
| 49 | C2b | Output | Output 2b.2.2: With FTA, more critical citizen engagement moments in the budget cycle are identified and guidelines developed | Nr of ‘regional’ guidelines / standards developed to engage citizen engagement in the budget cycle |   | 0 | 5 | MA Quarterly Report + government data |   |   |  (use innovation grant to test, or is it already part of FTA?)Note some of these outputs are closely linked to C2a (e.g. output C2a.6.2)  |
| 50 | C2b | Output | Output 2b.2.3: Support provided to MoFEC, sector Ministries and/or other relevant federal actors to draw SA systems policy lessons from the regional innovation grants  | Papers developed on institutionalising independent SA expertise in the long run (joint gvt-CSO management mechanisms); including financing of independent SA expertise;  |   | 0 | 5 | MA Quarterly Report | both | F | SA expertise that warrents that citizens remain in the driver's seat of SA - developed by MA with MoFEC and sectors.Proxy: indicator related to training  |
| 51 |  |  | **Component 3: To properly manage, coordinate and monitor the project** |  |  |  |  |  |  |  |  |
| 52 | C3 | **Outcome** | **Outcome 3.1: SA programme is effectively managed** |   |   |   |   |   |   | R |   |
| **Nr** | **Comp.** | **Obj. level** | **Objectives** | **Indicators** | **Key Indic.** | **Baseline 2018** | **Endline 2023** | **SoV** | **Funding Source** | **Gov level** | **Comments** |
| 53 | C3 | Output | Output 3.1.1: Regional hubs established | # regional hubs established/functioning |   | 0 | 5 | MA Quarterly reports | both | R |   |
| 54 | C3 | Output | Output 3.1.2: Annual work plan and budget prepared and implemented timely | % of available resources used according to the work plan | key | 0 | 95% | MA Quarterly reports | both | F | % project completion (timely implementation in line with plan of action) (MS Project?) |
| 55 | C3 | Output | Output: 3.1.3: Programme operational guidelines including management procurement templates developed, validated and operationalised | **Availability and functionality of SA operational guide and procurement templates** |  | 0 | 2 |   |   |   |   |
| 56 | 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 | key | 0 | 95% | MA Quarterly reports, MA Financial Reports, contracts |   |   | Targets to be set for the different CSO types to ensure inclusiveness, attention for poorest, etc..Proxies:- # CSOs selected and contracted- **Grants are disbursed to eligible grantees as per set criteria and standard procedures efficiently & timely** |
| 57 | C3 | **Outcome** | **Outcome 3.2: CSOs and other relevant actors play an effective interlocution/facilitation role between citizens and service providers to implement SA projects and innovation grants**  | **# of CSOs and facilitators with effective interlocution capacity in place and functioning** |  | 0 | TBE | MA Quarterly reports |  |   | **Proxy: # of other actors (academic institutions, think tanks, private sector) with effective interlocution capacity engaged in facilitating ESAP processes** |
| 58 | C3 | Output | Output 3.2.1: Scaling and innovation grantees are capacitated to play their SA facilitation and coordination roles and duties | **# of grantees trained (mentored)** |   | 0 | TBE | MA Quarterly reports + training reports |   |   | Proxies:- # of training modules- # of learning benchmark workshops, writeshops, etc…..) |
| 59 | C3 | **Outcome** | **Outcome 3.3: Improved local and international access to and benefit from SA practice knowledge** | **# of partnerships and alliance with global and regional SA forums and platforms** |   | 0 | 5 | MA Quarterly reports + online information other (global) platforms | both | F / R | *from design doc: not yet clear if this indicator can be measured satisfactorily* |
| 60 | C3 | Output | Output 3.3.1: SA knowledge and exchange platforms in place and functioning | Massive Online Open Course (MOOC) in place# of SA papers |   | no | yes | ESAP website / other online platform | both | F | **Proxies:- # of experience-exchange and reflection events organised**- inputs and facilitation guidance for regular FTA-SA-GRM partnership meetings  |
| 61 | C3 | Output | Output 3.3.2: Partnership and networking with global SA forums and communities of practice established | SA expert pool/network established |   | no | yes | ESAP website / other online platform |   |   | **Proxy: # of partnerships and memberships accessed in global en regional SA platforms** |
| **Nr** | **Comp.** | **Obj. level** | **Objectives** | **Indicators** | **Key Indic.** | **Baseline 2018** | **Endline 2023** | **SoV** | **Funding Source** | **Gov level** | **Comments** |
| 62 | C3 | Output | Output 3.3.3: National SA practice dissemination media channels and knowledge management portal established and functional | **# of local media outlets (FM), websites, newsletters and social media that make available SA information** |  | TBE | TBE | ESAP website / other online platform + audience survey | both | R | Proxies: - Communication strategy developed/implemented- **# and frequency of listeners/users/subscribers** (survey?) - targets TBD, e.g. related to visitors |
| 63 | C3 | **Outcome** | **Outcome 3.4: Evidence-based collaborative SA interventions and action research feeds national policy making and practice** | **# of research products and inputs used by policy SA makers and practitioners** |  | 0 | 5 | MA Quarterly reports | both | F / R | 1 per year*from design doc: not yet clear if this indicator can be measured satisfactorily* |
| 64 | C3 | Output | Output 3.4.1: Action research on SA policy and practice | **# of studies conducted** |  | 0 | 5 | study reports | both | F | 1 per yearProxy: Action research agenda developed |
| 65 | C3 | Output | Output 3.4.2: ESAP3 activities and results are communicated and shared with Federal level policy making bodies | **Quarterly and annual reports submitted** |  | 0 | 20 | MA quarterly reports + quarterly newsletters |   |   | Design doc p 124 |
| 66 | C3 | Output | Output 3.4.3: Monitoring visits to ESAP3 field projects is organised for federal and regional government stakeholders | **# of monitoring visits made to ESAP3 projects attended by the resp federal and regional government agencies** |  | 0 | 10 | MA Quarterly reports + visit protocols | both | F / R | 2 per year |
| 67 | 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 | key | no | yes (2nd year) | ESAP website / other online platform | both | R | **Proxies:- M&E reports feed project management decision making & learning- # of bi-annual programme review and lessons learned dissemination workshops** |
| 68 | C3 | Output | Output 3.5.1: Result framework revised and regularly updated | Results framework approved |   | yes | yes (Inception phase) | MA Quarterly Report |   |   | Inception phase |
| 69 | C3 | Output | Output 3.5.2: M&E system in place | M&E Manual developed |   | no | yes (1st quarter) | M&E manual |   |   | 1st quarter |
| 70 | C3 | Output | Output 3.5.3: SAIPS and other stakeholders trained in M&E | # of training events/people trained |   | 0 | 100 | MA Quarterly reports + training reports |   |   | SAIPS needs to commit to the M&E approach |
| 71 | C3 | Output | Output 3.5.4: web-based M&E/management system in place | web-based platform designed and functioning |   | no | yes (1st year) | ESAP website / other online platform |   |   | 1st year |
| **Nr** | **Comp.** | **Obj. level** | **Objectives** | **Indicators** | **Key Indic.** | **Baseline 2018** | **Endline 2023** | **SoV** | **Funding Source** | **Gov level** | **Comments** |
| 72 | C3 | Output | Output 3.5.5: Best practices identified and information shared | # of ‘success stories (woreda-level problems solved at regional level) |   | 0 | 5 | MA Quarterly reports + SAIP quarterly reports | both | R | case studies of best practices |

1. Ultimately the final Grant Agreement TF0A9293 was signed by the WB on 4 April and countersigned by VNG International on 5 April 2019. [↑](#footnote-ref-1)
2. Similar performance assessments were executed by the MA during the implementation period of ESAP-2 in December 2013, July 2014 and August 2015. [↑](#footnote-ref-2)
3. The only debriefing session held on location in Tigray region was with the ACSOT cluster (number 22) due to the fact that the lead as well as all sub-partners are based in Mekele. [↑](#footnote-ref-3)
4. Under ESAP2, three case studies were developed, on SA and PSNP, SA and woreda councils and SA and Sector Ministries (Health and Rural Roads). All three studies were published late January 2019. [↑](#footnote-ref-4)
5. Among the selection criteria for expansion of SA to new woredas are the following: population size, low level of basic service delivery or PSNP benefiting woreda, SA spill-over impact from ESAP2, rural-urban balance, highland-lowland balance and peer-to-peer learning through neighbouring woredas. [↑](#footnote-ref-5)
6. Reference is made to section 3.2 above. [↑](#footnote-ref-6)
7. At the time of publication of this report, the new CSO law had been formally adopted. [↑](#footnote-ref-7)