



**Ethiopia  
Protection of Basic Services  
Social Accountability  
Program**

**Social Accountability  
Guide**

**First edition**

**Chapter 0 of 13**



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## o. Introduction to the Social Accountability guide

### o.1. Introduction

This Social Accountability guide has been developed to support the effective implementation by the grantees of Social Accountability projects at the woreda level, whilst including citizens, woreda officials and service providers. To this end, Capacity Development is the corner stone of the Ethiopia Social Accountability Program Phase 2 (ESAP2) and is reflected in a three-staged Capacity Development approach.

In **stage 1 (orientation)**: The Management Agency (MA) will be responsible for providing a six day orientation training session for the grantees on Social Accountability and the six main Social Accountability tools. This will happen immediately after being awarded their grant, in the initial phase of their project. This will ensure that all grantees are prepared and able to address the Capacity Needs of their targeted audience in stage 2.

In **stage 2 (rolling-out)**: The grantees will perform an awareness-raising workshop with citizens, woreda officials and service providers, and briefly explain the specific Social Accountability tools to be introduced to the woreda. Subsequently, the grantees will be responsible for the provision of the rolling out training for the woreda officials, woreda administrations and citizens on a selection of two out of the six Social Accountability tools.

In **stage 3 (monitoring and tailored support)**: Additional on-the-job support to the citizens, woreda officials/administrators and service providers, will be provided by the grantees, while the MA will provide additional coaching. The MA will play a close monitoring and supportive role in these Capacity Development initiatives.



Note: This guide will serve as the key point of reference for all Capacity Development support provided in all stages.

### o.2. Target Group

This guide is prepared for the grantees, to support their endeavours to provide support for the Capacity Development of citizens, woreda officials and service providers on Social Accountability during the rolling-out (stage 2), and for monitoring and tailored support (stage 3).

To ensure that the grantees make maximum use of this guide, the MA will also use this guide for the orientation training (stage 1).

### 0.3. Definitions and Concepts used

**Social Accountability** is understood to be the process by which ordinary citizens, who are the users of public services, can voice their needs, preferences and demands regarding public services, and are able to hold policy-makers and service providers accountable for any weak performance.

**Social Exclusion** is defined as a process whereby certain individuals are pushed to the edge of society and prevented from participating in public life because of their poverty, or lack of basic competencies (like physical and mental disabilities) and lifelong learning opportunities or as a result of discrimination.

**Social Inclusion** is a process which ensures that individuals and groups at risk of poverty and Social Exclusion, have access to the opportunities and resources necessary for them to participate fully in economic, social and cultural life, and to enjoy a standard of living and well-being that is considered normal in the society in which they live.

**Social Vulnerability** refers to the inability of people, organizations, and societies to withstand adverse impacts from multiple stressors to which they are exposed. These impacts are partly due to characteristics within social interactions, institutions, and systems of cultural values. Social Vulnerability is the broad category of various stressors and shocks that people experience while Social Exclusion is one type of stressor that people can experience.

**Gender** refers to the different social roles, responsibilities and identities of women and men and the power relations between women and men in a given society.

**Gender Mainstreaming** is the process of assessing and responding to the implications for women and men of any planned action, including legislation, policies or programs, in all areas and at all level.

**Gender Responsive Budgeting** is a means of integrating gender dimensions into all steps of the budget process so as to ensure that budget policies take into full consideration the gender dimensions in society and neither directly/indirectly discriminate against women or men.

**Social Audit** is an independent evaluation of the processes and related performance of an organization and its attainment of social goals. It enables an organization to assess and demonstrate its social, economic and environmental benefits

**Participatory Planning and Budgeting** is a process whereby the citizens decide on and contribute to decisions made about available public resources. Citizens participate directly or through organized groups in the different stages of the budget cycle, namely budget formulation, decision-making, and monitoring of budget execution.

**Community Mapping** is a mapping process conducted by the community for the community. It is a development tool that aims to tap into and expand the breadth of knowledge and experience within communities, in order to empower them and develop their capacity to deal with a variety of issues and problems and for developing solutions to these problems themselves.

**Citizens' Report Card** is a feedback mechanism tool. It allows service users to provide their feedback on issues of access, quality, responsiveness and costs of basic services. This tool makes use of both qualitative and quantitative research methods. The perceptions of service users and service providers are collected as primary data

**Community Scorecard** is a mechanism through which citizens monitor the quality, access, efficiency and effectiveness of community based public services. It provides the opportunity for citizens to analyse any particular service they receive based on their personal feelings, to express dissatisfaction, to provide encouragement if good work is done - and to suggest solutions if flaws still remain.

## 0.4. Capacity Development Rationale

### 0.4.1. Overall Objective

The overall objective of support to the Capacity Development of the (i) grantees and (ii) citizens, woreda officials and service providers, is to contribute to effective Social Accountability at woreda level.

### 0.4.2. Specific Objective

The specific objective of Capacity Development of the (i) grantees and (ii) citizens, woreda officials and service providers, is to improve their capabilities to adopt Social Accountability approaches and the related mechanisms and tools.

### 0.4.3. Results

As the Capacity Development approach described above comprises three stages, three distinct sets of results can be distinguished.

1. After the six day orientation of the grantees on Social Accountability and the main tools, they will have developed the capabilities to:
  - a. Understand the concepts of Social Accountability and Social Inclusion.
  - b. Explain Social Accountability tools to woreda officials/administrations, service providers and citizens.
  - c. Raise awareness on entitlements, responsibilities of various actors and service standards of the five ESAP2 sectors at woreda and kebele level.
  - d. Mainstream Social Inclusion into their project plans and the project implementation, including the participation of Socially Excluded groups in the community.
  - e. Develop - on the basis of this Social Accountability guide - training for the woreda officials/administrations, service providers and citizens on selected specific Social Accountability tools.





- f. Incite citizens and citizens' groups to engage, negotiate and voice their concerns on service delivery with woreda officials and service providers during interface meetings.
  - g. Effectively network and build partnerships with a variety of stakeholders contributing to improved service delivery in the project woredas.
2. After the training of the woreda officials/administrations, service providers and citizens on selected specific Social Accountability tools, they will have an increased understanding of:
    - a. The concept of Social Accountability and Social Inclusion.
    - b. Awareness on entitlements, responsibilities of various actors and service standards of the five ESAP2 sectors at the woreda and kebele level.
    - c. The selected specific Social Accountability tools and the basic principles on how to apply them in two of the five sectors of ESAP2.
    - d. The basic principles on how to mainstream Social Inclusion in woreda development plans and the delivery of services.
    - e. The need to engage, negotiate and voice concerns on service delivery in interface meetings.
  3. After the monitoring and tailored support to the citizens, woreda officials/administrators and service providers, they will have developed skills to:
    - a. Apply the specific Social Accountability tools in two of the five sectors of ESAP2.
    - b. Mainstream Social Inclusion in woreda development plans and in the delivery of services.
    - c. Engage, negotiate and voice concerns on service delivery in interface meetings.

## 0.5. Rationale of the Social Accountability Tools

Social Accountability consists of a wide range of tools that aim to address the information gaps in the government's planning and budgeting processes. This guide deals with the following six tools:

- Community Score Cards (Chapter 5)
- Citizens' Report Cards (Chapter 6)
- Community Mapping (Chapter 7)
- Participatory Planning and Budgeting (Chapter 8)
- Gender Responsive Budgeting (Chapter 9)
- Social Auditing (Chapter 10)

The tools gather information on the perceptions, experiences and views of citizens on the access to and quality of public services, and/or the views of service providers.



The Social Accountability tools are important for collecting information from a variety of sources and using this information for holding government officials accountable for their commitments to the public they serve. The tools allow for monitoring and feedback of service provision, which can be channelled into the planning phase of government to improve accuracy and budgeting in this process.

In the ESAP1 Phase most of the grantees applied Community Score Cards, Citizens' Report Cards and very few piloted Participatory Planning and Budgeting. The first two tools were successfully applied to gather citizens' feedback on services in the Participatory, Planning and Budgeting sectors. The Participatory Planning and Budgeting tool was not so effective as it was not able to complete the Participatory Planning and Budgeting cycle where citizens get to influence the budgetary decisions of a woreda.

In ESAP2 the intention is to continue with the Phase 1 tools but to also introduce grantees to complimentary tools that could possibly be applied in conjunction with the Phase 1 tools with reference to the Ethiopian context. These tools have already been applied as a pilot in Ethiopia and in East Africa. The tools include: Gender Responsive Budgeting, Community Mapping and Social Auditing.

While the tools piloted in Phase 1 focused more on the planning phase of the government, the complimentary tools can be applied during the budget discussion, execution and auditing phases as well. For instance, Social Auditing assesses the performance and quality of government institutions in their planned activities versus what has been actually achieved with the resources they received. This information will be used in the next planning phase to make adjustments to any gaps during the budget discussion and execution phases. The information can also be used to review and improve internal and external auditing systems and monitoring mechanisms of external contractors.

The intention in ESAP2 is not to discard the Phase 1 tools but to add to them and compliment them with a grantees' package of Social Accountability skills to enhance their ability to engage in various phases of government planning and budgeting.

## 0.6. Approach

### 0.6.1. The Three-Staged Approach and a Modular Framework

As already explained above, a three-staged Capacity Development approach has been adopted.

In **stage 1**, the focus is on training the grantees to address the Capacity Needs of the citizens, woreda officials/administrators and service providers on all Social Accountability related subject matters. A modular framework has been developed for this so-called orientation training (see section 0.6.2). One of the results of this stage will be an action plan made by the grantees for the rolling-out at woreda level in stage 2.



Based on this same modular framework, in **stage 2**, a selection of specific Social Accountability tools and related sessions will be made, and used by the grantee for developing a training programme for citizens, woreda officials/administrators and service providers (see section 0.6.3). One of the results of this stage will be an action plan for the woreda for effective monitoring and anticipation of tailored support in stage 3.

In **stage 3**, the focus is on monitoring and tailoring support to citizens, woreda officials and administrators, and service providers by the grantees. MA experts in a regional setting will support the grantees' efforts (see section 0.6.4). It is ultimately at this stage that the Social Accountability Capacity Development will become fully active and mainstreamed throughout the woredas.

### 0.6.2. Training Programme for the Orientation

The orientation-training program is built around six days with a total of 12 sessions. The following box provides an overview of the training per day and per session. As a convention, each day and each session has a central theme. Days are split into four blocks of 90 minutes, in each session themes will mostly cover two subsequent blocks. In between blocks there is always a break (timing is allocated by trainer).



Table 1: Training Program for the Orientation

<b>Day 1: Social Accountability and the role of citizens, woreda officials and service providers</b>	
8h30-10h00	Session 1: Introduction to Social Accountability
10h30-12h00	
13h00-14h30	Session 2: Role of Citizens, Woreda Officials and Service Providers
15h00-16h30	
<b>Day 2: Social Inclusion and vulnerability, and the regional and woreda budget processes</b>	
8h30-10h00	Session 3: Social Inclusion and vulnerability
10h30-12h00	
13h00-14h30	Session 4: Overview of the regional and woreda Budget process
15h00-16h30	
<b>Day 3: Community Score Card and Citizens' Report Card</b>	
8h30-10h00	Session 5: Social Accountability tools - Community Score Card
10h30-12h00	
13h00-14h30	Session 6: Social Accountability tools - Citizens' Report Cards
15h00-16h30	
<b>Day 4: Community Mapping and Participatory Planning and Budgeting</b>	
8h30-10h00	Session 7: Social Accountability tools - Community Mapping
10h30-12h00	
13h00-14h30	Session 8: Social Accountability tools- Participatory Planning and Budgeting
15h00-16h30	
<b>Day 5: Gender Responsive Budgeting and Social Auditing</b>	
8h30-10h00	Session 9: Social Accountability tools - Gender Responsive Budgeting
10h30-12h00	
13h00-14h30	Session 10: Social Accountability tools - Social Auditing
15h00-16h30	
<b>Day 6: Capacity Development Results Framework and Action Plans</b>	
8h30-10h00	Session 11: Capacity Development results framework
10h30-12h00	Session 12: Participants' Capacity Development Action Plans
13h00-14h30	
15h00-16h30	Evaluation and wrap up

### 0.6.3. Training Programme for the Rolling-Out

The training programmes to be developed and delivered by the grantees will be preceded by an awareness-raising workshop with citizens, woreda officials and service providers, in which two specific Social Accountability tools will be selected.

For all training programmes the first four sessions (day 1 and 2) will be mandatory. For each of the two selected Social Accountability tools a day will be reserved (day 3 and 4). On day 5 an action plan for further rolling-out of the two selected Social Accountability tools will be developed, followed by the evaluation and wrap-up of the training. The programme is outlined in the next table (timing is allocated by trainer).

*Table 2: Training Programme for Rolling-out*

<b>Day 1: Social Accountability and the role of citizens, woreda officials and service providers</b>	
8h30-10h00	Session 1: Introduction to Social Accountability
10h30-12h00	
13h00-14h30	Session 2: Roles of citizens, woreda officials and service providers
15h00-16h30	
<b>Day 2: Social Inclusion and Vulnerability, and the regional and woreda budget processes</b>	
8h30-10h00	Session 3: Social Inclusion and Vulnerability
10h30-12h00	
13h00-14h30	Session 4: Overview of the regional and woreda budget processes
15h00-16h30	
<b>Day 3: Social Accountability tool 1:</b>	
8h30-10h00	Extended sessions on selected tool: 4 x 90 minutes
10h30-12h00	
13h00-14h30	
15h00-16h30	
<b>Day 4: Social Accountability tool 2 :</b>	
8h30-10h00	Extended sessions on selected tool: 4 x 90 minutes
10h30-12h00	
13h00-14h30	
15h00-16h30	
<b>Day 5: Action Plans</b>	
8h30-10h00	Session 7: Development of action plans
10h30-12h00	
13h00-14h30	Evaluation and wrap up

In the above table, days 3 and 4 will need to be amended with the relevant information on the sessions.



### 0.6.4. Monitoring and Tailored Support





The MA will as part of its monitoring framework, implement a strategy of monitoring and provide tailored support based on the final grant proposals of the grantees and on their action plans developed during the orientation stage and the rollout stage. The tailored support is provided by the MA to the grantees, and will be an effective mix of technical assistance, coaching and supportive exchange of learning between woredas and grantees. The following factors will determine the support tailored for the grantees:

1. For grantees with limited previous experience with Social Accountability more attention will be focused on increasing their knowledge and skills, unlike grantees that have already participated in the previous phase of the Social Accountability programme.
2. Grantees in emerging regions like Afar, Gambella, Somali and Beninshungal-Gumuz have limited capacities, and civil society organisations operating in these regions will be prioritized with tailored support.
3. Where possible the MA will make use of the institutional capacity of ESAP1 grantees to assist less developed grantees with mentoring and coaching to help advance their capacity on Social Accountability.




This will be further elaborated on before the end of 2012.

### 0.7. How to Use This Document

In the next 12 chapters all 12 sessions are explained in detail following a standardized format. The chapters are divided into four main sections and are marked by a specific icon in the top corner of the page:

	Session overview (section 1)
	Hand-outs (section 2)
	Trainer notes for rolling-out (section 3)
	Slides (section 4)

The following icons are used for easy reference:

	<p>Important note (used at various places)</p>
	<p>Trainer notes specific for orientation when there is significant diversion from the rolling-out training (used in some trainer notes sections)</p>
	<p>Exercise (used in presentations)</p>

### 0.7.1. Session Overview

This first section always contains a summary of the session, with the following elements:

- Aim of the session
- Learning outcomes (what participants will understand at the end of the session)
- Additional results (tangible other outputs of the training, e.g. action plan, map)
- Time allocation (specific for orientation and for rolling-out training)
- Work form (e.g. presentation, group exercise, or plenary discussion)
- Key topics (for easy referencing)

This section will provide a good overview of what can be expected from the session, and can be used to prepare an overview of the sessions to be added to the training programmes.

### 0.7.2. Hand-outs

The second section always contains all the document/materials that will have to be distributed to the participants during that particular session. In case there are multiple hand-outs, each hand-out will be placed in a sub-section. Each hand-out will start with a box containing either instructions (in the case of forms) or (i) the key message (main conclusions and why this is important to know for the participants), (ii) the estimated reading time, and (iii) remarks (e.g. source/reference, observations, other sources for more information). Occasionally materials are included that are more advanced and intended for the trainer. These might also be handed out to participants if deemed appropriate.

Each trainer of the training teams (comprising no more than three trainers) will have to be acquainted fully with the subject matter. It will be mandatory for them to consult all the materials in this section prior to the session, read them carefully, and when unclear, consult with the MA.

### 0.7.3. Trainer Notes

The third section always starts with an overview containing:

- Key messages to be transmitted to the participants
- Timing of various parts of the session
- Work form (e.g. presentation, exercise, group or plenary discussion, role play, etc.)
- Hand-outs to be distributed during the session (found in section 2)
- Preparations to be made prior to the session
- Trainer materials for the trainer to be fully understood (found in section 4)
- Remarks with additional suggestions or observations

This overview is followed by the actual trainer notes per slide. Detailed and concise instructions are provided regarding the proper conduct of the session and broken down into manageable parts (printed in bold).



Note: a differentiation is made between the conduct of the training for the orientation and the rolling-out of the six Social Accountability tools. As a result, occasionally the trainers' notes are differentiated between the two stages, which is clearly indicated by the "Important" icon, as featured next to this paragraph.

#### 0.7.3.1 Orientation Training

All of the sessions on Social Accountability tools in the orientation training are built around a time frame of 2 x 90 minutes. That will provide sufficient time to explain a tool, but not how to apply the tool in a real life situation. Instead the grantees will be guided by the MA through the various steps while developing a potential plan for rolling out the tool in their woredas in the next stage.

#### 0.7.3.2 Rolling-out Training

The rolling-out training sessions on Social Accountability tools are all built on an extended timeframe of 4 x 90 minutes, which also allows time to familiarize participants in detail with the steps of the respective tool under the guidance of the grantee. The participants will be guided by the grantee through the various steps while developing an action plan for rolling out the specific tool, as well as indicating where further assistance might be required as a follow-up.



For the full adoption of a tool, additional tailored support will be provided by the grantee in stage 3. In this stage, the MA will also provide technical assistance to the grantee to enable them to provide tailored support to the woredas.

### 0.7.3.3 Slides

This last section of each session contains the standardized slides. These slides have been carefully designed for their particular purpose, and may not be altered by the trainers, although trainers are permitted to skip individual slides during their presentation. If trainers notice omissions and errors that need to be corrected, they should report this to the MA's Capacity Development and Training expert. Subsequently, the MA's Capacity Development and Training expert will be responsible for making the required changes and will send an updated set of slides for that specific session to all grantees. If the trainer doubts that they have the latest version of the slides, they should consult with the MA's Capacity Development and Training expert.

## 0.8. The Social Accountability Training Tool Kit

For each grantee a Social Accountability Training Toolkit will be made available. This toolkit will contain essential materials for the proper conduct of the trainings, and prior to any training session the toolkit must be checked by the trainer's team to ensure the set is complete. To replenish, please contact the MA's Capacity Development and Training expert.

- The contents of the Social Accountability Training Toolkit are:

### *Basic Training Materials*

- Coloured card (60 orange, 60 light green, 60 yellow, 60 white, 60 pink)
- Flip chart paper (4)
- Markers (15)
- Scotch tape (2)
- Flip chart stand (1 or more)
- A set of standard PowerPoint presentations
- A USB stick with updated PowerPoint presentations and the latest version of the Social Accountability guide.

### *Plasticized cards*

- 4 sets of plasticized cards: "Exercise Regional and Woreda functions" (session 2)
- 1 set of plasticized cards: "Role play Social Vulnerability and Social Inclusion" (session 3)
- 1 set plasticized pink cards: Stages of the Budget Cycle (session 4)



- 1 set plasticized yellow cards: “Woreda Planning and Budgeting” (session 4)
- 1 set plasticized cards: “Mock Budget Council” (session 4)
- 1 set plasticized cards: “Role play Enumerator”(session 6)
- 5 sets plasticized light blue cards: “Gender Based Budgeting Stages”(session 9)
- 5 sets plasticized light blue cards: “Gender Based Budgeting Actors” (session 9)

### *Posters*

- Posters: “Action Plan Matrix” (multiple sessions)
- Poster: “Input Tracking Form” (session 5)
- Poster: “Issues and Priorities Form” (session 5)
- Poster: “Scoring Matrix Form” (session 5)
- Poster: “Consolidated Scores Matrix Form” (session 5)
- Poster: “Community Map” (session 7)
- Poster: “Enumeration Form” (session 7)
- Poster: “Record Book Form” (session 7)
- Budget: “Process Calendar of Ethiopia”(session 9)

In each toolkit box this list of contents is provided.

Trainers should print out and distribute all hand-outs related to sessions. Hard copies of the following standard forms should be prepared prior to sessions for distribution by the trainers for the corresponding sessions.

- Action Plan Matrix (multiple sessions)
- Input Tracking Form (session 5)
- Issues and Priorities Form (session 5)
- Scoring Matrix Form (session 5)
- Consolidated Scores Matrix Form (session 5)
- Enumeration Form (session 7)
- Record Book Form (session 7)

PDF files of these forms can be downloaded from [www.esap2.org](http://www.esap2.org).

