



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

**Grant Agreement [TF099878]**

**First Quarterly Progress**  
**Report**  
**March 2012**

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## List of abbreviations

CA	Contracting Authority
CBO	Community Based Organizations
CSO	Civil Society Organization
CSF	Civil Society Fund
EC	European Commission
EU	European Union
ESAP	Social Accountability Program
ESAP1	Ethiopian Social Accountability Program Phase 1
ESAP2	Ethiopian Social Accountability Program Phase 2
FAQ	Frequently asked questions
FTA	Financial Transparency and Accountability
GoE	Government of Ethiopia
IR	Inception Report
Logframe	Logical framework
MA	Management Agency
M&E	Monitoring and Evaluation
MoFED	Ministry of Finance and Economic Development
NGO	Non-Governmental Organization
PBS	Protection of Basic Services
PCS	Proclamation on Charities and Societies
PR	Progress Report
SA	Social Accountability
SAIP	Social Accountability Implementing Partner (Implementing CSO)
STE	Short-term Expert
SC	Steering Committee
TAG	Transparency and Accountability Group
TL	Team Leader
ToR	Terms of Reference
VNG	Association of Netherlands Municipalities ( <i>Vereniging Nederlandse Gemeenten</i> )
WB	World Bank

## Project synopsis

Project title	Ethiopia Protection of Basic Services Social Accountability Program (ESAP2)
Contract number	TF099878
Location	Ethiopia
Contractor	VNG International in consortium with GOPA Consultants, and YEM Consultant Institute
Name Contracting Authority	World Bank Ethiopia Country Office Wollo Sefer, Bole Road, P.O. Box 913/11111 Addis Ababa, Ethiopia
Beneficiary	Citizens and citizens groups, civil society organizations, local government officials and service providers
Project starting date	11/10/2011 (effective starting date 01/11/2011)
Project end date	26/06/2013
Project duration	22.5 months ( <i>this duration may be increased in line with any increases this budget in accordance with SC decisions</i> )
Total project budget	7,5 million US Dollars ( <i>this budget will be adjusted from time to time with increases in the MDTF in accordance with donor commitments</i> )
Date of report	31 March 2012
Reporting period	01/01/2012/ to 30/03/2012
Authors of report	Management Agency – ESAP2
Overall objective	To strengthen the use of social accountability tools, approaches and mechanisms by (a) citizens and citizens groups, (b) civil society organizations, (c) local government officials and (d) service providers as a means to make basic service delivery more equitable, effective, efficient, responsive and accountable.
Specific objectives ( <i>minor adjustments have been made to the phraseology of the specific objectives and the logic in which they are presented but the meaning remains unchanged</i> )	<ul style="list-style-type: none"> <li>• Public basic service providers deliver improved quality public basic services in education, health, agriculture, water and sanitation and rural roads in response to community and citizens' needs.</li> <li>• Citizens' and citizens groups are empowered and increasingly demand for better quality public basic service delivery.</li> <li>• Citizens and citizens groups are aware of their responsibilities to plan, budget, implement and monitor basic service delivery.</li> <li>• Increased capacity of CSO's to empower citizens and citizens groups on the use of SA tools, approaches and mechanisms.</li> </ul>
Purpose	ESAP2 will give voice to the needs and concerns of all citizens regarding their access to basic public services – basic education, health, water and sanitation, agricultural and rural access roads. Through SAIPs, more commonly referred to as CSO implementing partners, the program will bring citizens into

	<p>dialogue with local governments and service providers to contribute to and increase the demand for improved quality public basic services. The program will make use of a range of tools, mechanisms and best practices to build and enhance local capacity on SA in support of GoE's wider efforts to improve transparency, accountability and citizens' participation in public basic services delivery. Service users and service providers will evaluate the access and quality of basic services using SA tools and agree on joint actions for service delivery improvements.</p>
Expected results	<ul style="list-style-type: none"> <li>• ESAP2 is effectively managed</li> <li>• A grant scheme is established providing grants to Social Accountability Implementing Partners</li> <li>• A robust M&amp;E of social accountability practices in Ethiopia is established and a learning initiative created</li> <li>• Capacities on social accountability are built for all stakeholders, notably (a) citizens and citizens groups, (b) civil society organizations, (c) local government officials and (d) service providers</li> </ul>
Components	<ul style="list-style-type: none"> <li>• Component 1: Program and Financial Management (including operations management)</li> <li>• Component 2: Grant management (including management of the contacts with CSO partners in the regions)</li> <li>• Component 3: Monitoring &amp; evaluation (including benchmarking and baseline surveys)</li> <li>• Component 4: Capacity building and training (including social accountability in general and project management for SAIPs)</li> </ul>
Component 1 – Program and Financial Management	<ul style="list-style-type: none"> <li>• Responsibility for overall management, coordination and directions of the program as well as handling of preparatory steps, including the selection of SAIPs by use of appropriate selection criteria;</li> <li>• Prepare annual plans and budgets for the implementation of SAP for discussion and approval by the SC;</li> <li>• Establish and implement a financial management system for the program;</li> <li>• Prepare and submit quarterly and annual reports to the SC;</li> <li>• Organize an annual financial audit of ESAP2, including the utilization of grant funds by the grantee SAIPs;</li> </ul>
Component 2 – Grant Management	<ul style="list-style-type: none"> <li>• Invite and appraise SAIP proposals, and select and sign contract agreements with the qualified SAIPs;</li> <li>• Ensure that SAIP-selected woredas meet certain pre-agreed criteria;</li> <li>• Disburse grants to the selected SAIPs;</li> <li>• Oversee and manage the accounting of the grants disbursed to SAIPs;</li> <li>• Develop financial reporting procedures and templates and train the SAIPs on how to submit monthly, quarterly and annual financial reports using the templates;</li> <li>• Provide the SAIPs direction and training on procurement procedures.</li> </ul>
Component 3 –	<ul style="list-style-type: none"> <li>• Develop a program Logframe with consensus-driven</li> </ul>

<p>Monitoring and Evaluation</p>	<p>performance indicators to guide management of program results;</p> <ul style="list-style-type: none"> <li>• Establish a M&amp;E system for capturing program achievements and for sharing lessons learnt;</li> <li>• Establish and use an M&amp;E reporting and information dissemination process;</li> <li>• Ensure effective communication of M&amp;E findings to the SC as well as to SAIPs;</li> <li>• Commission woreda baseline data collection to guide program implementation and mid-term reviews to make course correction and glean lessons learned;</li> <li>• Supervise and support baseline surveys on the status of social accountability and delivery of basic services (including scope, input, budget, staffing and quality) in the SAP implementing woredas and in “comparison” woredas;</li> <li>• Train and support SAIPs to prepare and submit M&amp;E reports regularly;</li> <li>• Conduct regular field visits to identify constraints and challenges faced by SAIPs and make suggestions on how to address the constraints to enhance the outcomes of the program;</li> <li>• Hold discussions and leave Aide Memoires behind with the SAIPs to highlight field visit findings and agreed actions.</li> </ul>
<p>Component 4 – Training and Capacity Building</p>	<ul style="list-style-type: none"> <li>• Design socially inclusive and gender-sensitive social accountability training and capacity building modules and training plan;</li> <li>• Conduct training sessions in SA for relevant government officials, SAIPs and other stakeholders to enable them to engage effectively in the social accountability program;</li> <li>• Create and build capacities and skills of SAIPs on the use of SA tools and on facilitation of interface meetings between service users and service providers;</li> <li>• Provide substantive direction, leadership and analytical guidance to SAIPs on the implementation of the social accountability tools and mechanisms including entry and exit strategies, institutionalizing and sustaining SA, mentoring and training of local government officials and service providers, consensus building and acting as interlocutors among stakeholders.</li> <li>• Establish sustainable capacity (“Centers of Social Accountability”) at selected regional universities or training institutions to provide training for longer term goals.</li> </ul>
<p>Key deliverables</p>	<ul style="list-style-type: none"> <li>• Inception report</li> <li>• Program Logframe with expected outcomes and performance indicators</li> <li>• Grant manual</li> <li>• Financial manual</li> <li>• Annual work plan and budget, and action plan</li> <li>• Training and capacity building annual plan</li> <li>• Gender and local context sensitive social accountability training modules</li> <li>• Program operational guidelines, including management,</li> </ul>

	<p>procurement, M&amp;E template</p> <ul style="list-style-type: none"><li>• Baseline surveys in woredas</li><li>• Quarterly program and financial reports</li><li>• Social accountability database; including website with on-line repository of the program's database and relevant documents</li><li>• Training/capacity building workshops for SAIPs, service providers and other relevant actors</li><li>• Case study publications on assessment of experience and lessons learned</li><li>• Biannual program review and lessons learned dissemination workshops</li><li>• Media disclosure/ dissemination of social accountability approaches</li><li>• Centers of Social Accountability</li><li>• Program completion report</li></ul>
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## Executive summary

This is the first quarterly report (PR1) of the project Ethiopia Protection of Basic Services (PBS) Social Accountability Program (ESAP2) implemented by VNG International in consortium with GOPA Consultants and YEM Consultant Institute on behalf of the Government of Ethiopia (GoE). The report presents the results of the first quarter of the implementation phase from 01/01/2012 to 31/03/2012 in line with the provisions of the project's terms of reference (ToR) and provides a detailed work plan for the implementation phase.

During the first quarter of the implementation period a comprehensive review of the project environment has continued, particularly with stakeholders from different regions of Ethiopia through a series of regional launches in Adama, Dire Dawa, Mekelle, Hawasa and Bahai Dar. Stakeholders included local government officials from regions and woredas, citizens groups, civil society organizations (CSOs) and development partners.

In Addis Ababa, consultations with different stakeholders involved in the project implementation continued specifically with the Ministry of Finance and Economic Development (MoFED), the World Bank (WB) and the Steering Committee (SC).

The purpose of this first quarterly progress report is to review and report on the project's planned and actual progress during the last three months in relation to activities, and deliverables, and to plan the inputs and activities for further project implementation in order to achieve the expected results.

The progress report also provides an opportunity to update the project's work plan and staffing schedule, as well as the Logframe to respond to systematic monitoring of the progress and achievements of the project. The progress report also provides an opportunity to raise important issues for discussion by the SC and to request guidance and direction where needed.

This report was written by the Management Agency (MA) with their experienced contributions in relation to the four components of ESAP2. Overall, the first progress report was directed and quality assured by VNG International.



## Main achievements in the reporting period from January to March 2012

The report gives an account of activities and outputs of the last three months with the main achievements highlighted as follows:

### **Component 1 – Program and financial management**

The main milestone has been the design and delivery of a sound financial, accounting and administrative system and budget for the project and for the grant scheme.

Two meetings of the SC have been held in the first quarter of 2012. The SC on 12 January made detailed comments on the first draft of the IR and the report was revised. The revised report (p.10) included a number of options presented by the MA in relation to changes to the ToR and related issues. The revised IR containing these recommendations was approved by the SC on 7 March 2012. A number of proposals in relation to grants (regions, sectors, woredas, budgets, and partnerships) were also presented at this SC meeting and approved.

An annual work plan, staffing plan and a logframe with expected outcomes and performance indicators has been developed for the ESAP2 for years 1 and 2 and provisionally year 3 of the implementation period. Work on a comprehensive set of Program Implementation and Operational Manual is almost complete.

Accounting software is now in place and monthly and quarterly financial reports produced. Financial guidelines for grantees have finalized to the WB standard together with a financial risk assessment for shortlisted grantees.

Work has progressed in developing closer coordination and synergy with other PBS II components. The regional launches provided a good opportunity to meet with PBS II officials in the regions and this professional networking will continue as the grants scheme is rolled out across the woredas.

To date there has been most interaction with the FTA component on service standards and there is good potential for more interaction with the Local Investment Grant (LIG) component of PBSII. A concept note on the working relationships and mutual support between the MA and the FTA is under development as a result of ongoing meetings with FTA officials. The MA also attended a recent FTA three-day workshop in Adama which was extremely useful in forging this synergy.

A major milestone was reached with the planning, management, delivery and follow up of a full day Federal Launch for ESAP2 which took place in Addis Ababa on 14 February. This was followed by a series of two-day regional launches in five of the nine regions of Ethiopia between 15 and 29 February. These events brought together local government and CSO participants from the regions and the woredas and provided an opportunity for a capacity development needs assessment on the second day. A comprehensive launch report covering technical, financial analysis has been produced. These events also

provided valuable data for the Capacity Development and Training plan which is under development.

## **Component 2 – Grant scheme**

A further milestone was reached with the completion of a rigorous grant management manual. This comprehensive document provides extensive detail on all aspects of the grant making process and takes the applicant through a step-by-step understanding of the process and procedures that will be required during implementation of the successful project. This manual will be provided to all applicants to fully inform them as the detail needed in the application and thereafter if their application is successful. The grant manual has taken into account extensive feedback from relevant stakeholders, international best practice and the grant making experience of other donors in Ethiopia.

The grant manual details the application procedures, forms, guidelines, support systems for applicants and grantees as well as requirements in relation to sectors, regions, woredas, partnerships and budgets. The manual also provides clarity and detail on the support that is available to successful grantees from the four main components of ESAP 2 namely Capacity Development and Training, Grants Management, Financial Management and Monitoring & Evaluation. A concept note has been produced on the more generic support and follow up role of the regional coordinators who are a crucial interface between the grantees and the MA.

The call for proposals has been prepared and the call date is scheduled for 6 May 2012. The call for proposals and the grant manual will then be uploaded to the ESAP2 website and be available through CSO network organizations and MoFED representatives in all regions in hard and soft copy. The call will also be announced during the last week of May in the media and on radio.

Work is ongoing on the development of the grant management plan which will provide a strategic narrative framework for the entire grant making process from the design of the grant program, through implementation of the project to the end of project implementation monitoring and impact evaluation.

## **Component 3 – Monitoring & evaluation**

The milestone during the reporting period was the completion of an M&E system and an M&E plan for ESAP2. This involved a revision of the ESAP2 results framework and the development of an M&E plan to operationalize implementation of the revised logframe for the overall program. Each component is now integrated clearly and logically such that realistic and achievable consensus driven performance indicators can guide management and implementation of the program.

A series of meetings are ongoing to ensure synergy with the WB impact evaluators to ensure that the design and results from the M&E system are compatible with the framework of the independent impact evaluation which will be undertaken on closure of ESAP2.

Preliminary work is underway to establish an M&E system for successful grantees that will build on their existing M&E systems whilst providing a standard approach, processes, procedures and reports for all grantees. The development of M&E tools, mechanisms and templates is also ongoing.

#### **Component 4 – Capacity building & training**

A key deliverable was a series of dissemination and visibility events in the form of one federal and five regional ESAP2 launches which also provided an opportunity to undertake a capacity assessment of CSO's and woreda administrators. This provided an opportunity for the MA to showcase the ESAP2 program and to disseminate social accountability practise and approaches.

The Capacity Building and Training Plan has been drafted, but will be refined after the selection of grantees, regions and woredas is complete. A draft dissemination and visibility strategy for the program has been developed; a range of dissemination and visibility materials including pamphlets and factsheets have been developed, were printed and will also be put on the ESAP2 website. The content for the ESAP2 website, [www.esap2.org.et](http://www.esap2.org.et) has been developed and will be regularly updated. It provides an online repository for the ESAP2 database including the social accountability database. The website is now live and will be used to facilitate the call for proposals.

A concept note on social accountability has been prepared for discussion with prime stakeholders to inform the development of the Social Accountability Guide. A concept note regarding the proposed 'Centers of Excellence' has also been developed to highlight the need for an institutionalization and sustainability strategy to ensure social accountability is harnessed and mainstreamed through national, regional and local levels.

#### **Changes to the terms of reference and issues requiring SC endorsement**

During the reporting period of this progress report the changes requested in the revised IR were approved by the SC. There were no additional requests for changes during the period of this progress report. However a recommendation of the revised IR, approved by the SC on 12 January, requested the MA to prepare a proposal and budget on extending the Grant Agreement up to 36 months. This will be presented to the SC for approval.

#### **Planned activities**

For the next reporting period from 01/04/2012 to 30/06/2012 the following main activities are planned:

##### **Program and financial management:**

- Implement the final approved financial management manual; revise the project budget in line with the revised staffing plan; provide clarification for the WB on financial matters; review internal financial control systems in the MA; undertake financial risk assessments on selected SAIP's; and support the Grant Manager in the preparation of sub-grant agreements, contracts and annexes including financial provisions.

- Maintain the smooth running of the financial and operational management system for the effective, efficient and transparent use of funds and draft monthly and quarterly financial reports.
- Further develop the SA Guide for grantees and include guidelines on institutionalisation and a clear communication guide.

### **Grant scheme:**

- Set up a grant management system, which is both financial and programmatic, to provide a detailed framework for the entire grant management process up to, and including, the final close out procedures and processes.
- Release the call for proposals and the Grant manual and lead and respond to requests for clarification, in an open and transparent manner, and in close cooperation with other ESAP2 components;
- Prepare terms of reference for recruiting assessors, recruit them and provide training and guidance to the assessors.
- Oversee the application evaluation process; prepare a risk assessment schedule and guidelines and lead the risk assessment process to provisionally selected grantees; and identify a risk mitigation strategy based on the risk assessment reports.
- Lead the SAIP negotiation and contracting process; prepare sub grant agreements and facilitate contract signature.

### **Monitoring & evaluation:**

- Continue to develop the M&E plan, tools, mechanisms and templates and discuss major topics with the selected SAIP's
- Draft a plan of M&E implementation for the MA and for the SAIP's.
- Organise and undertake both the primary baseline data collection in close collaboration with MoFED administrators and the secondary access data collection in close collaboration with CSO's and after the selection of the SAIP's and woredas.
- Liaise closely with WB impact evaluators to select woredas for baseline data collection by the M&E in the target woredas and baseline data collection by the WB in the control group woredas.

### **Training & capacity building:**

- In response to ongoing consultations and needs assessment with stakeholders (networks, ESAP1 CSO's and CSO's outside Addis Ababa), update and revise the 2012 Capacity Development and Training Plan and the update and refine the SA tools and methodologies.
- Align the revised 2012 Capacity Development and Training Plan to synchronise with GoE interventions and with the Grant and M&E strategies when the grantees and woredas are known.
- Commence the establishment of SA expert pool to create sustainability options.

## 1. Project environment

This section elaborates on any significant changes to the project environment that have emerged during the last three months of ESAP2 implementation.

### 1.1 Legal and policy framework

There has been no change in the legal and policy framework and in particular the Proclamation on Charities and Societies (PCS) which was enacted on February 13th 2009.

### 1.2 Institutional framework

There has been no change in the institutional framework governing ESAP2 in the last three months. It remains supervised by a SC with important competences in terms of guiding the implementation of the program. Discussions and decisions made by the SC during the last three months have, however, been extremely well-informed and constructive. This has had a positive impact on implementation thus far and bodes well for future dialogue and understanding between the SC and the MA. It is appreciated.

The SC remains formed by:

Government of Ethiopia	State Minister MoFED, SC Chair Supreme Court Administration
Civil Society Organizations	PANE, CCRDA, COHRA
Development Partners	Irish Aid, DFID, WB

The Multi Donor Trust Fund for ESAP2 is currently formed by:

Ireland – Minister of Foreign Affairs / Irish Aid

Canadian International Development Agency (CIDA)

United Kingdom – Department for International Development (DFID)

Germany – Kreditanstalt für Wiederaufbau (KfW – German Development Bank)

European Union – Commission of the European Communities

The lead CSO partners from ESAP1 also remain unchanged from the Inception phase and they continue to provide active and helpful support to the MA.

### 1.3 Related projects

ESAP2 continues to learn a great deal from the lessons of ESAP1, and other ongoing projects, and in particular about the need for close collaboration with woreda administrations and national CSOs' before and during the implementation of grant projects.

The MA maintains regular contact and experience sharing with the two other grant related projects that are of direct relevance to ESAP2 namely:

Civil Society Support Program, funded by Irish Aid, Norway, Netherlands, CIDA and DFID and managed by the British Council

Civil Society Fund funded by the European Commission and managed by GOPA Consultants

## 1.4 Cross-cutting issues

There are many challenges to adequately mainstreaming the socially excluded groups and social inclusion is a feature that many stakeholders would like to see more integrated and mainstreamed in ESAP2. To facilitate this, it has been further developed in the revised Logframe and has featured more prominently as a cross-cutting feature in the three related programmatic components of ESAP2 namely Grant Management, M&E and Capacity Development and Training. This process will be further strengthened and clarified based on the analysis of the social inclusion challenges in service delivery in the ESAP2 implementation woredas. Statistics on attendance at the federal and regional launches held during February indicated a 25% participation of women. ESAP2 grant applications and the guidelines for applicants also require specific illustrations as to how their proposals will address social inclusion. Social inclusion will also receive specific focus during the baseline data collection process following the award of grants.

## 2. Update on project design

In this section we review the project design as outlined in the ToR including an update of the assumptions and risks and a summary of all proposed alterations.

### 2.1 Review of project design

In the first three months of ESAP2, approval has been sought for changes in the IR and these were received by the SC. Other than this, there have been no other changes to the ToR during this period.

Discussions are ongoing with the SC and WB to extend the project duration to a total period of 36 months. This will allow a longer implementation period for grants awarded under ESAP2 and the MA has been requested to prepare a proposal and a budget to this end.

This proposal will enable ESAP2 to meet the ToR demands for a scaling up of social accountability activities, in terms of the number of woredas (from 86 in ESAP1 to 172 in ESAP2) and for additional activities to further institutionalize and sustain social accountability resources.

The ToR calls for a more inclusive and pro-active approach by the MA with clear linkages with the other PBS II and this is now more evident whilst at the same time maintaining the independence of ESAP2.

#### **Sectors covered by ESAP2**

The sectors covered by ESAP2 are unchanged since the ToR and remain as education, health, water and sanitation, agriculture and rural roads.

#### **Grant scheme**

At this moment ESAP2 has access to a grant budget of around US\$ 3.5 million, but it is expected that the WB will make available additional amounts. This in turn is subject to the availability of new funds from the MDTF. With the current available grant budget and an ESAP2 duration of 22.5 months it is not realistic to cover 172 woredas and 50-60 SAIPs since very little social accountability would be achieved with such small budgets per subproject. The SC has thus approved more substantial budgets for fewer sub-grants and the launching of one call for proposals for now. When further funds are available, the MA would enter into agreements with an additional number of qualified SAIPs.

#### **Geographical coverage**

There has been no change in the ToR requirement that ESAP2 cover nine regions and two cities, Addis Ababa and Dire Dawa and involving at least 172 woredas as the entry points for ESAP2 implementation. Implementation will focus more on the basic services sector and across levels within those sectors in the woredas and kebeles rather than at the level of individual service facilities.

## **Selection of SAIPs and woredas.**

On 7 March 2012, the SC approved the MA proposals regarding the selection of SAIPs and woredas and SAIPs are required to obtain the consent of the respective woreda administrations before submitting proposals to the MA.

## **Timeframe**

During the last three months the timeframe has remained at 22.5 months. The SC agreed that the norm for CSO subproject implementation should be up to two years and it has therefore invited the MA to develop a proposal for an appropriate extension.

## **Social accountability guide**

In this reporting period work continued on the “Social Accountability Guide”. This serves as a manual guiding the performance of the SAIPs and providing recommendations, advice and specific information related to the management of SA initiatives. The guide will be the central steering tool for the MA and the SAIPs allowing a uniform instrument for the implementation of the program, the grant projects, as well as financial management and evaluation.

## **Capacity building and training**

In the reporting period the MA continued to develop a comprehensive approach to capacity building and training that addresses not only the capacity gaps of stakeholders in terms of technical content of social accountability practices, but also in terms of institutional capacity needs. This means that capacity building will occur based on the institutional needs of a SAIP in the areas of M&E, grant management, technical tools of SA but also the “soft” skills of dialogue, communication and negotiation.

In ESAP<sub>1</sub> the Community Score Cards produced good results in setting the agenda for interface meetings. The interface meetings approach will be continued under ESAP<sub>2</sub> at woreda and kebele levels between citizens groups, service providers and woreda and kebele officials. However, grantees will be exposed to a few other SA tools, such as participatory planning and budgeting, budget tracking, gender responsive budgeting and service charters, etc.

## **Learning process**

Social accountability creates new dynamics and is an iterative process. This calls for the promotion of a general learning process and information sharing among all stakeholders. Mixing capacity building with a grant scheme is a great combination to improve the uptake of the capacity building and the quality of the grant projects. Learning benchmarks will facilitate learning between participating woredas, kebeles and CSOs. Weaker performing woredas, kebeles and CSOs will be enabled to learn and implement the practices of the ones that perform well.

## **Linking with other PBS components**

The challenge of ESAP<sub>2</sub> is to address the core accountability issues in a complementary way to the many other initiatives. This means linking to the other components of PBS II



as well as to the many stakeholders of the project (citizens, citizens' groups, CSOs, SAIP's, traditional leaders, local government officials, elected representatives, service providers etc ) at regional, woreda and kebele levels and in a gender sensitive manner.

Stronger links with other PBS II projects, funded by the MDTF, have been forged during the first three months of ESAP2 implementation. In particular, between the Capacity Development and Training component of ESAP2 and the Financial Transparency and Accountability component of PBS II with positive measures to strengthen program linkages through sharing information and capacity building exchanges. More specific links will be promoted in relation to service standards; training on budget planning and processing; social accountability tools such as participatory budgeting and budget tracking used by grantee woredas; sharing the social inclusion approaches to enhance the participation of marginalized groups; joint working on service standard assessments and exchanging lessons learnt on how to enhance institutionalization and sustainability. Further meetings are planned with FTA and will lead to a concept paper on an agreed way forward on joint working areas without compromising the independence of the two programs.

There is also good potential for collaboration with the PBS II Local Investment Grant (LIG) component. The grant manual recommends that each grant application is encouraged to consider involving the LIG woredas, because such woredas receive a larger share of the grant infrastructure funds. This suggests that there is more potential to bring the demand side (the community) and the supply side (the woreda administration) closer together in basic service delivery.

### **Sustainability**

A concept paper on the institutionalization and sustainability of SA mechanisms is under development and will provide a clear strategy for the systematic institutionalization of social accountability. Such a mechanism could be part of the local planning process and develop from participatory activities at the woreda and kebele level and be summarized in a "citizens' charter" or agreement.

The second day of the ESAP2 regional launches was dedicated to CSO's and Woreda officials meeting together in focus groups to brainstorm on issues related to social accountability. This provided valuable input to the draft concept note including the need to include woreda officials from the beginning of the grant application process and creating local level social accountability committees.

## **2.2 Proposed changes to the terms of reference**

There were no proposed changes to the ToR in the period of the progress report. A concept note has been developed on the mechanisms within each component to support the grantees in the regions and the advantages and disadvantages of having regional coordinators based permanently in Addis or in specific regions. As ESAP2 implementation proceeds at the regional level there may be a justifiable need to have a regional base and at that time the MA will review the case for establishing regional offices.

## 2.3 Update on assumptions and risks

The assumptions and risks identified during the inception phase have remained unchanged during the last three months. The risks and mitigation strategy has been updated and the table below summarizes the current risks affecting ESAP2 and the MAs mitigating strategy:

<b>Risks</b>	<b>Risk level</b>	<b>Impact</b>	<b>Mitigation strategy</b>
Insufficient time for the implementation of sustainable grant projects	High	High	In order to achieve high impact and sustainable results from the sub-projects we would recommend a minimum implementation period of 2 years for each grant project.
Insufficient budget to implement 50 to 60 grant projects in at least 170 Woredas	Medium	High	The current budget for the grant scheme is US \$3,5million, while the estimated number of grant projects is based on the original grant budget of US \$13,5million. The final number of grant projects should be based on the final total budget available for the grant scheme.
Uneven distribution of grant projects among the five PBS sectors	Medium	Medium	The grant scheme does include provisions ensuring a minimum number of sectors per grant application. In addition, there is a bonus system in place to stimulate applicants to target more than the minimum sectors.
Uneven distribution of grant projects among the regions	Medium	Medium	The grant scheme does include provisions for ensuring that grant applications which target regions or woredas of specific relevance for ESAP2 will be scored higher than those that do not.
Less experienced CSOs (but important for certain sectors or regions) will have insufficient capacity for being successful in applying for grant projects	Medium	High	The grant scheme will include provisions ensuring the participation of less experienced CSOs in grant projects. The capacity development plan will also give specific attention to building the capacities of such CSOs.
Social inclusion will be neglected as a cross-cutting issue	Low	High	Social inclusion is an important issue because various groups in society are not affected in the same way and do not have the same needs when it comes to basic services. Continuous capacity building, awareness raising, training and sensitization on social inclusion issues will for instance enable CSOs to increase female participation in terms of physical presence and free expression
Involvement of local government and local	Medium	High	Sustainability of social accountability can be addressed through the creation of

service providers			councils or committees that involve all stakeholders and build on and reinforce existing systems, committees, groups, CBOs and associations. This will encourage the direct involvement of government bodies in the overall project implementation to ensure its sustainability and the alignment with the government inspection programs.
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## 2.4 Management and coordination arrangements

During the last three months there were no changes to the management and coordination arrangements set out in the approved Inception Report.

The MA continues to provide technical assistance and capacity building, networking and support as needed. The main responsibilities of the MA remain as the overall program coordination and provision of proper guidance and support to the SAIPs. In addition, the MA continues to raise awareness on the program, collate and make available to the SC, and other relevant stakeholders, reports and publications on implementation activities of the program; to facilitate learning processes through M&E tools, design training and capacity building modules and deliver training for SAIPs.

### 3. Project progress in the reporting period

This section of the first progress report provides an overview on the four project components from a technical perspective, in terms of activities, progress made and milestones. The reporting period is from 01/01/2012 to 31/03/2012. The narrative is presented in narrative and tabular formats and strictly follows the ToR and the logic of reporting established in the Inception Report.

The reporting period was characterized by a push to deliver tangible results on time and to a good standard. In particular, the federal and regional ESAP2 launches, the M&E plan and revised Logframe, the grant scheme (preparing for the call for proposals), and significant advances on the SA Guide and the Capacity Development and Training plan for 2012. Planning in all components continued to be fine-tuned in response to feedback from the SC, the ESAP2 federal and regional launches and to ongoing consultation rounds to continue the effective positioning of the program with relevant stakeholders.

#### **Component 1: Program and financial management**

A main milestone has been the design and delivery of a sound financial, accounting and administrative system for the project.

Two meetings of the SC have been held in the first quarter of 2012. The revised IR report (page 10) included a number of options presented by the MA in relation to changes needed to the ToR and related issues. The revised IR was approved by the SC on 7 March 2012. A number of proposals in relation to grants (regions, sectors, woredas, budgets, and partnerships) were also presented at this SC meeting and approved.

An annual work plan, staffing plan and a Logframe with expected outcomes and performance indicators has been further developed for ESAP2 for years 1 and 2 and provisionally year 3 of the implementation period.

Work on a comprehensive Program Implementation Manual is almost complete. Monthly and quarterly reports are delivered and the Financial Manual for the Management Agency has been finalized to the WB standard.

Coordination and synergy with other PBS II components has improved. The regional launches provided a good opportunity to meet with PBS II officials in the regions and this professional networking will continue as the grants scheme is rolled out across the woredas.

To date, there has been most interaction with the FTA component on service standards and there is good potential for more interaction with the Local Investment Grant (LIG) component of PBS II. A concept note on the working relationships and mutual support between the MA and the FTA is under development as a result of ongoing meetings with FTA officials. The MA also attended a FTA three-day workshop in Adama which was useful in forging this synergy.

A major milestone was reached with the planning, management, delivery and follow up of a one-day Federal Launch for ESAP2 which took place in Addis Ababa on 14 February.

This was followed by a series of two-day regional launches in five of the nine regions of Ethiopia between 15 and 29 February. This which brought together local government and CSO participants from the woredas and provided an opportunity for a capacity development needs assessment on the second day. A report covering the technical and financial aspects of the launching events has been produced.

The first dissemination and visibility materials, including a leaflet and factsheets have been developed and printed. The ESAP2 website, [www.esap2.org.et](http://www.esap2.org.et) has been designed and the first content developed. The website provides an online repository for the ESAP2 database including the social accountability database and will be constantly updated. The website is now live and will be used to facilitate the call for proposals.

## **Component 2: Grant management**

A further milestone was reached with the drafting of a rigorous grant management manual. This comprehensive document provides extensive detail on all aspects of the grant making process and will be provided to all applicants to fully inform them as the detail needed in the application and thereafter, if their application is successful. The grant manual details the application procedures, forms, guidelines, support systems for applicants and grantees as well as requirements in relation to sectors, regions, woredas, partnerships and budgets. The manual also provides clarity and detail on the support that is available to successful grantees from the four main components of ESAP 2, namely Capacity Development and Training, Grants Management, Financial Management and Monitoring & Evaluation. The call for proposals has been prepared and the call date is scheduled for 6 May 2012. The call for proposals and the grant manual will then be uploaded to the ESAP2 website and be available through CSO network organizations and MoFED representatives in all regions in hard and soft copy. The call will also be announced in the media and on radio.

Work is ongoing on the development of the Grant management plan which will provide a strategic narrative framework for the entire grant making process from the design of the grant program, through implementation of the project, to the end of project implementation monitoring and impact evaluation.

## **Component 3: Monitoring & evaluation**

The milestone during the reporting period was the further development of the M&E system for ESAP2. This involved a revision of the ESAP2 results framework. An M&E plan was also developed to make operational the implementation of the revised logframe for the overall program. Each component is now integrated clearly and logically such that realistic and realizable consensus driven performance indicators can guide management and implementation of the program.

A series of meetings are ongoing to ensure synergy with the WB impact evaluators to ensure that the design and results of the M&E system are compatible with the framework of the independent impact evaluation which will be undertaken on closure of ESAP2.

Preliminary work is underway to establish an M&E system for successful grantees that will build on their existing M&E systems whilst providing a standard approach, processes,

procedures and reports for all grantees. The development of M&E tools, mechanisms and templates is also ongoing.

#### Component 4 – Capacity building & training

A key deliverable were the the aforementioned federal and five regional ESAP2 launches which also provided an opportunity to undertake a capacity assessment of CSOs and woreda administrators. This provided an opportunity for the MA to showcase the ESAP2 program and to disseminate social accountability practise and approaches.

The Capacity Building and Training Plan has been drafted but will be refined after the selection of grantees, regions and woredas is complete.

A concept note on social accountability has been prepared for discussion with lead stakeholders to inform the development of the Social Accountability Guide. A concept note regarding the proposed ‘Centers of Excellence’ has also been developed to highlight the need for the institutionalization and sustainability strategy of the capacity building to ensure social accountability is harnessed and mainstreamed through national, regional and local levels.

### 3.1 Summary of progress: activities in the reporting period

The table below provides an overview of the key deliverables foreseen by the terms of reference for the program and the progress made towards achieving them in the last three months.

Activity	Progress made / Milestones
<b>Component 1: Program and Financial Management</b>	
Responsibility for overall management, coordination and directions of the program as well as handling of preparatory steps, including the selection of SAIPs by use of appropriate selection criteria	MA fully operational Program Implementation and Operational Manual under revision Visual identity complete. Website designed, uploaded and live SAIP selection rescheduled to May
Prepare annual plans and budgets for the implementation of ESAP2 for discussion and approval by the SC	Updated overall work plan, staffing plan and budget breakdown completed for up to three years
Establish and implement a financial management system for the program	Financial manual completed and submitted to WB IFR template completed and submitted to WB Financial reporting templates for SAIPs’ completed
Prepare and submit quarterly and annual reports to the SC	Inception report approved by SC First quarterly progress report drafted
Organize an annual financial audit of ESAP2, including the utilization of grant funds by the grantee SAIPs	ToR for the external audit of ESAP2 completed
Ensure that SAIP-selected woredas meet certain pre-agreed criteria	SAIP selected criteria reviewed and streamlined
Provide substantive direction, leadership and analytical guidance to	No progress to report

Activity	Progress made / Milestones
SAIPs on the implementation of the social accountability tools and mechanisms including exit and entry strategies, institutionalizing and sustaining SA, mentoring and training of local government officials and service providers, consensus building, and acting as interlocutors among stakeholders.	
<b>Component 2 – Grant Management</b>	
Invite and appraise SAIP proposals, and select and sign contract agreements with the qualified SAIPs	Grant management plan work in progress. Grant manual completed (under review by WB/SC members) Call for proposals completed
Disburse grants to the selected SAIPs	No progress to report
Oversee and manage the accounting of the grants disbursed to SAIPs	No progress to report
Develop financial reporting procedures and templates and train the SAIPs on how to submit monthly, quarterly and annual financial reports using the templates	Financial manual completed and submitted to WB IFR template completed and submitted to WB Financial reporting templates for SAIPs' completed
Provide the SAIPs directions and training on procurement procedures	No progress to report
<b>Component 3 – Monitoring &amp; Evaluation</b>	
Develop program Logframe with consensus-driven performance indicators to guide management of program results	Logframe updated and completed
Establish and use a web-based M&E system for capturing program achievements and for sharing lessons learnt	No progress to report
Establish and use an M&E reporting and information dissemination process	M&E plan completed
Ensure effective communication of M&E findings to the SC as well as to SAIPs	No progress to report
Commission woreda baseline data collection to guide program implementation and mid-term reviews to make course correction and glean lessons learned	Ongoing with WB monitors
Supervise and support baseline surveys	Ongoing with WB monitors for target and control

Activity	Progress made / Milestones
on the status of social accountability and conditions of basic services (including scope, input, budget, staffing and quality) in the SAP woredas and in “comparison” woredas	groups when woredas are known.
Train and support SAIPs to prepare and submit M&E reports regularly	No progress to report
Conduct regular field visits to identify constraints and challenges faced by SAIPs, and make suggestions on how to address the constraints to enhance the outcomes of the program	Ongoing Five ESAP2 regional launches undertaken Concept note on ESAP2 SAIP support mechanisms completed
Hold discussions and leave Aide Memoires behind with the SAIPs to highlight field visit findings and agreed actions	No progress to report
<b>Component 4 – Capacity building &amp; training</b>	
Design gender-sensitive social accountability training and capacity building modules and training plan	Capacity Building and Training Plan work in progress Concept note on Social Inclusion drafted Concept note on ‘Centers of Excellence’ SA sustainability and institutionalisation drafted.
Conduct training sessions in SA for relevant government officials, SAIPs, and other stakeholders to enable them to engage effectively in the social accountability program	One-day workshops on social accountability training needs delivered in five regions with mixed focus groups of Woreda officials and CSO’s.
Create and build capacities and skills of SAIPs on the use of SA tools and on facilitation of interface meetings between service users and service providers	Training and Capacity Building Plan work in progress
Provide guidance to SAIPs on approaches for institutionalizing and sustaining social accountability including training and involvement of CBOs and MBAs	Concept note on SA sustainability and institutionalization drafted.
Establish capacity (“Centers of Social Accountability”) at selected regional universities or training institutions to provide training for longer term goals	Options discussed in approved IR Concept note on SA sustainability and institutionalization drafted.



### 3.2 Summary of progress: key deliverables in the reporting period

The table below provides an overview of the key deliverables foreseen by the terms of reference for the program and the progress made towards achieving them during the last three months.

Key deliverable	Progress made in the last three months
<b>Component 1: Program and Financial Management</b>	
Inception report	Program implementation manual under revision  Inception report approved by the SC
Annual work plan, budget and action plan	Overall work plan, staffing plan and budget revised for years 1 and 2 and developed for year 3
Program Logframe	Logframe revised and included in the Inception Report  A shift in the specific objectives to improve the intervention logic and the measurement of indicators was included in the approved IR
Quarterly program reports	First quarterly progress report drafted and submitted to WB
Completion report	No progress to report
Quarterly financial reports	Financial manual for MA completed and submitted to the WB  Financial reporting (FR) templates completed and submitted to the WB
Media disclosure/ dissemination of social accountability approaches	Visual identity of ESAP2 approved  Communication and visibility plan drafted, still work in progress
<b>Component 2 – Grant Management</b>	
Program operational guidelines, including management, M&E template, procurement	Relevant documentation review completed  Grant manual drafted and submitted to WB
Grant management plan	Grant management plan drafted, outlining the most important steps in the grant process. Work in progress.
<b>Component 3 – Monitoring &amp; Evaluation</b>	
Program M&E template	ESAP1 M&E experience and system review completed  Logframe updated
Baseline survey report	M&E plan further developed, but will require ongoing refinements
Case study publications on assessment of experience and lessons learned	No progress to report
Biannual program review and lessons learned dissemination workshops	No progress to report
<b>Component 4 – Capacity building &amp; training</b>	

Key deliverable	Progress made in the last three months
Training and Capacity Building Plans	Ongoing consultations held with stakeholders (e.g. MoFED, CSOs, and donor. agencies).  Training and Capacity Building Plan drafted, but ongoing refinements still needed
Training/capacity building workshops for SAIPs, service providers and other relevant actors	Regional launching workshops delivered
Social accountability database	No progress to report
Social inclusion and vulnerability social accountability training modules	Social inclusion and gender sensitive indicators included in Logframe and Training and Capacity Building Plan
Social Accountability Guide for Grantees	In progress
Centers of Social Accountability at selected local universities/training institutions to provide training for longer term goals	Concept note regarding the “centers of SA/excellence”, and issues related to sustainability drafted.

### 3.3 Summary of progress: resources utilization in the reporting period.

This section provides an overview on the utilization of human resources and other services. The resource utilization remains largely unchanged in the last three months. The three consortium partners (VNG International, GOPA Consultants and YEM Consultants Institute) have created the MA which is responsible for the management and implementation of ESAP2.

In general, VNG International delivers expertise on all main disciplines of the project. GOPA Consultants delivers expertise on grants management and M&E. YEM Consultants Institute delivers national expertise on social accountability trainers and regional coordination. The MA will also make use of administrative support services from YEM after the first sub-grant agreements are signed with the SAIPs.

The MA’s project office in Addis Ababa executes the first line of administrative functions. From there the experts will be appointed, logistics will be arranged and local financial administration is executed. In line with the requirements of the terms of reference, the MA’s project team consists of long and short-term experts and support staff.

During the last three months missions were undertaken by VNG International headquarters as follows: Mr. Willem van Nieuwkerk as program director and Mrs. Eva Erren as project manager. Both have visited Addis Ababa at least once a month for meetings with the project office, the SC and the World Bank.

Other VNG International staff also visited Addis during the last three months namely: Mrs. Aarti Sugrim Senior Administrator on the financial management, Mrs. Judit de

Bever on the Grant Manual and Mr. Paul Munters on capacity building (World Bank's Capacity Development Framework).

During the last three months GOPA staff has been involved too. Mr. Philipp von Dryander has provided legal support to the MA and Mr. Thomas Tiedemann has been supporting the development of the grant manual.

### 3.4 Summary of progress: overview of no-objections received from the World Bank in the reporting period

During the last three months we have received “no objections” from the World Bank for the terms of reference for the involvement of the following experts:

General management	<b>Mrs. Sophia Nesri</b> , PR/Communication Officer
Program and financial management	<b>Mrs. Afrah Yousuf</b> , assistant
Grant scheme	<b>Mr. Thomas Tiedemann</b> , grant advisor
Monitoring & evaluation	No additions in the reporting period
Capacity building and training	<b>Dr. B.T Constantinos</b> , facilitator federal launch <b>Mr. Tesfaye Ejigu</b> , facilitator regional launches <b>Mr. Tamiru Lega</b> , facilitator regional launches

### 3.5 Summary of progress: overview of approved addenda

There is no addendum to the grant agreement yet.

## 4. Project planning for the next reporting period

This section highlights the project planning for the next reporting period from 01/04/12 to 30/06/12.

### 4.1 Planning of activities for next reporting period: activities

The table below provides an overview of the activities foreseen by the terms of reference for the program and the concrete actions that are planned for the next period.

Activity	Next reporting period
<b>Component 1: Program and Financial Management</b>	
Responsibility for overall management, coordination and directions of the program as well as handling of preparatory steps, including the selection of SAIPs by use of appropriate selection criteria	<p>Co-ordinate and supervise overall financial and operations management to ensure the effective, efficient and transparent use of funds and the smooth running of the project office</p> <p>Select, recruit, contract and supervise the support staff and provide logistical support for field missions</p> <p>Prepare an addendum request for extending the grant agreement to an implementation time of 36 months</p> <p>Further develop and produce visibility materials, maintain ESAP2 website</p> <p>Complete communication and visibility plan for ESAP2</p>
Prepare annual plans and budgets for the implementation of ESAP2 for discussion and approval by the SC	Review/monitor annual work plan and annual budget forecast for 2012
Establish and implement a financial management system for the program	<p>Financial Team of Project Office will go to VNG International in The Hague for in-house training</p> <p>Implement Financial Management Manual</p> <p>Complete and submit monthly expenditure reports specified per budget (internally)</p>
Prepare and submit quarterly and annual reports to the SC	The next progress report will be submitted to the SC on 5 July 2012
Organize an annual financial audit of ESAP2, including the utilization of grant funds by the grantee SAIPs	Select audit firm and Seek for “no objection” from World Bank
Ensure that SAIP-selected woredas meet certain pre-agreed criteria	<b>Completed</b>

Activity	Next reporting period
Provide substantive direction, leadership and analytical guidance to SAIPs on the implementation of the social accountability tools and mechanisms including exit and entry strategies, institutionalizing and sustaining SA, mentoring and training of local government officials and service providers, consensus building, and acting as interlocutors among stakeholders.	Develop a financial management training package for the implementing CSOs including financial guidelines and reporting formats and financial capacity assessment tools checklist for the implementing CSOs
<b>Component 2 – Grant Management</b>	
Invite and appraise SAIP proposals, and select and sign contract agreements with the qualified SAIPs	Seek for support from SC and WB for grant manual, including application procedures, selection criteria, various grant related forms, design guidelines and support systems for applicants and grantees. <b>Awaiting “no objection”</b>  Launch call for proposals for launching  Draft ToR for grant assessors  Design risk assessment framework on the capability of individual grant applicants
Disburse grants to the selected SAIPs	<i>This will be done after the next reporting period</i>
Oversee and manage the accounting of the grants disbursed to SAIPs	<i>This will be done after the next reporting period</i>
Develop financial reporting procedures and templates and train the SAIPs on how to submit monthly, quarterly and annual financial reports using the templates	Submit MA’s first financial report  Finalize financial manual for SAIPs (part of grant manual)
Provide the SAIPs directions and training on procurement procedures	Finalize training program for financial officers of SAIPs  <i>Training will start after the selection of the SAIPs (this will be done after the next reporting period)</i>
<b>Component 3 – Monitoring &amp; Evaluation</b>	
Develop program Logframe with consensus-driven performance indicators to guide management of program results	Ongoing monitoring of Logframe with indicators and OVIs
Establish and use a web-based M&E system for capturing program achievements and for sharing lessons learnt	Start design of web-based M&E system
Establish and use an M&E reporting and	Start addressing in a participatory manner how

Activity	Next reporting period
information dissemination process	SAIPs should define the most important topics for their M&E system
Ensure effective communication of M&E findings to the SC as well as to SAIPs	Draft information dissemination process M&E reports will be shared with the SC and SAIPs ( <i>will not happen in next reporting period</i> )
Commission woreda baseline data collection to guide program implementation and mid-term reviews to make course correction and glean lessons learned	Prepare baseline study (incl. sampling, development of questionnaires etc.) (actual baseline can only be done after the selection of woredas and kebeles)  Develop M&E and benchmarking data collection system
Supervise and support baseline surveys on the status of social accountability and conditions of basic services (including scope, input, budget, staffing and quality) in the SAP woredas and in “comparison” woredas	Prepare baseline study (incl. sampling, development of questionnaires etc.)  <i>(actual baseline can only be done after the selection of woredas and kebeles)</i>
Train and support SAIPs to prepare and submit M&E reports regularly	Prepare training (course plan, teaching materials etc.)  <i>Actual trainings can only start after the selection of SAIPs</i>
Conduct regular field visits to identify constraints and challenges faced by SAIPs, and make suggestions on how to address the constraints to enhance the outcomes of the program	Conduct preliminary field visits
Hold discussions and leave Aide Memoires behind with the SAIPs to highlight field visit findings and agreed actions	<i>This will be done after the SAIPs are selected</i>  (sustainability should be ensure by social accountability database)
<b>Component 4 – Capacity building &amp; training</b>	
Design gender-sensitive social accountability training and capacity building modules and training plan	Finalize Capacity Building and Training Plan for 2012 based capacity and needs assessment
Conduct training sessions in SA for relevant government officials, SAIPs, and other stakeholders to enable them to engage effectively in the social accountability program	Finalize Training and Capacity Building Plan Select and contract trainers (ToR already drafted)  Draft more ToR and selected and contract new trainers as needs arise  <i>Delivery of training will start after SAIPs are</i>

Activity	Next reporting period
	<i>selected</i>
Create and build capacities and skills of SAIPs on the use of SA tools and on facilitation of interface meetings between service users and service providers	<i>Capacity building activities will start after selection of SAIPs</i>
Provide guidance to SAIPs on approaches for institutionalizing and sustaining social accountability including training and involvement of CBOs and MBAs	<i>Guidance to SAIPS will start after selection</i>
Establish capacity (“Centers of Social Accountability”) at selected regional universities or training institutions to provide training for longer term goals	Discuss with stakeholders and decide on most suitable option for creation of CSAs (ongoing)

## 4.2 Planning for next reporting period: deliverables

The table below provides an overview of the key deliverables foreseen by the terms of reference for the program and what is planned for the next period from 01/04/12 to 30/06/12.

Key deliverable	Planned deliverables next reporting period
<b>Component 1 – Program and Financial Management</b>	
Inception report	<b>Completed</b>
Annual work plan, budget and action plan	At the end of June the annual work plan, budget and action plan will be updated
Program Logframe	Logframe with indicators and OVIs will be monitored
Quarterly program reports	At the end of the next reporting period, a progress report will be submitted
Completion report	This report will be based on the TOR, the Inception Report and the Progress Reports, and will be finalised on the 15th of August 2013
Quarterly financial reports	Once we get a “no objection” from World Bank on the financial reporting templates, the MA will start submitting quarterly financial reports
Media disclosure/ dissemination of social accountability approaches	New communication and visibility materials will be developed in this period and existing ones revised after initial feedback
<b>Component 2 – Grant Management</b>	
Program operational guidelines, including management, M&E template, procurement	Grant manual (=Program operational guidelines) should be endorsed before grant scheme can be launched, incl. application procedure, applicant / application criteria, forms, M&E templates, support system for applicants and SAIPs for

Key deliverable	Planned deliverables next reporting period
	sub-grant implementation
Grant management plan	Grant management plan.
<b>Component 3 – Monitoring &amp; Evaluation</b>	
Program M&E template	Start addressing in a participatory manner how SAIPs should define the most important topics for their M&E system
Baseline survey report	Prepare for baseline study <i>Actual baseline can only be done after the selection of woredas and kebeles</i>
Case study publications on assessment of experience and lessons learned	First case study publication foreseen in the coming reporting period (on website)
Biannual program review and lessons learned dissemination workshops	First biannual program review and lessons learned workshop will take place in July 2012.
<b>Component 4 – Capacity building &amp; training</b>	
Training and Capacity Building Plans	Conduct field visits to regions for social accountability promotion  <b>Finalize overall Training and Capacity Building Plan</b>
Training/capacity building workshops for SAIPs, service providers and other relevant actors	<i>Trainings will start after the SAIPs and woredas / kebeles have been selected</i>
Social accountability database	It will be an ongoing exercise to update the website with case studies from ESAP2 grant projects, but also other good practice cases relevant to the situation in Ethiopia will be posted on the website
Social inclusion and vulnerability social accountability training modules	<i>Trainings will start after the SAIPs and woredas / kebeles have been selected</i>
Social Accountability Guide for Grantees	Social accountability Guide drafted
Centers of Social Accountability at selected local universities/training institutions to provide training for longer term goals	Discuss with stakeholders and decide on most suitable option for creation of CSAs

### 4.3 Potential obstacles for next reporting period

In general, there is good potential that the current enabling and supportive environment of social accountability in Ethiopia will continue and the social accountability concepts considered important under the GoE Growth and Transformation Strategy will continue to receive strong backing by the GoE and development partners.



However, two potential obstacle for the delivery of the planned results for the next reporting period to 30 June 2012 could hamper the implementation of the grant scheme:

- Delayed removal of the conditions for effectiveness by the World Bank (grant scheme cannot be launched before conditions have been removed);
- No approval of the addendum for extending the project implementation period up to 36 months (no sub-grant agreement can be signed before the addendum has been signed between VNG International and the World Bank).