

Ethiopia Social Accountability Program (ESAP2)

Part of the Promotion of Basic Services (PBS2) Program

Grant Agreement (TF099878)

Quarterly Progress Report 17 January – March 2016

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List of Abbreviations

BoFED	(Regional) Bureau of Finance and Economic Development
CA	Contracting Authority
CB&T	Capacity Building and Training (also: Capacity Development and Training)
CBE	Community Based Education (through Jimma University)
CBO	Community Based Organization
CD&T	Capacity Development and Training (ESAP2 Component)
ChSA	Charity and Societies Agency
CRC	Citizen Report Card (SA tool)
CS	Civil Society
CSC	Community Score Card (SA tool)
CSO	Civil Society Organization
CSF	Civil Society Fund
CSSP	Civil Society Support Program
DA	Development Agent
DAG	Donor Assistance Group
DP	Development Partner
DFID	Department for International Development (UK Government)
EA	External Auditing
EC	European Commission
ED	Executive Director
EDD	Executive Directors Day
EU	European Union
ERA	Ethiopian Roads Authority
ESAP	Ethiopia Social Accountability Program
ESAP1	Ethiopia Social Accountability Program Phase 1
ESAP2	Ethiopia Social Accountability Program Phase 2
FAQ	Frequently Asked Questions
FBO	Faith Based organization
FGD	Focus Group Discussion
FTA	Financial Transparency and Accountability
FTA	Farmer Training Center
GA	Grant Agreement
GoE	Government of Ethiopia
GM	Grant Management

GOPA	Gesellschaft für Organisation, Planung und Ausbildung (<i>Company for Organisation, Planning and Training</i>)
GRB	Gender Responsive Budgeting (SA tool)
GRM	Grievance Redress Mechanism
GTM	Growth Transformation Plan
IA	Internal Audit
IAid	Irish Aid
ICT	Information and Communications Technology
IFR	Interim Financial Report
IR	Inception Report
JAP	Joint Action Plan
JBAR	Joint Budget and Aid Review
JRIS	Joint Review and Implementation Support
JU	Jimma University
KfW	Kreditanstalt für Wiederaufbau (<i>Reconstruction Credit Institute, German government-owned development bank</i>)
KSAC	Kebele Social Accountability Committee
LBW	Learning Benchmark Workshop
Logframe	Logical Framework Matrix
MA	Management Agency
MBA	Mass-Based Associations
MDG	Millennium Development Goals
MDTF	Multi Donor Trust Fund
M&E	Monitoring and Evaluation (ESAP2 Component)
MoCS	Ministry of Civil Service
MoE	Ministry of Education
MoFED	Ministry of Finance and Economic Development
MoH	Ministry of Health
MoLSA	Ministry of Labor and Social Affairs
MoU	Memorandum of Understanding
MoWIE	Ministry of Water, Irrigation and Electricity
MSC	Most Significant Change (stories)
NGO	Non-Governmental Organization
OM	Operational Manual
PPB	Participatory Planning and Budgeting (SA tool)
PBS	Protection of Basic Services ¹

¹ Rephrased into Promotion of Basic Services.

PCS	Proclamation on Charities and Societies
PETS	Public Expenditure Tracking Survey (SA tool)
PV	Participatory Video
PFM	Public Finance Management
PLWHA	People Living with HIV/AIDS
PR	Progress Report
PSNP	Productive Safety Net & Household Asset Building Program
PTSA	Parent Teacher Student Association
QDA	Qualitative Data Analysis
QNR	(SAIP) Quarterly Narrative Report
QR	Quarterly Report
RDO	Regional Development Organization
RLC	Regional Linkage Committee (between FTA and SA)
SA	Social Accountability
SAC	Social Accountability Committee
SAIP	Social Accountability Implementing Partner (Implementing CSO)
SASA	Start Awareness Support Action (community mobilization approach used by the CSSP program)
SC	Steering Committee
SCM	Steering Committee Meeting
SHG	Self Help Group
SNNPR	Southern Nations, Nationalities and People Region
SoE	Statement of Expenditure
STE	Short-term Expert
TAG	Transparency and Accountability Group
TECS	Tracking Trends in Ethiopian Civil Society
TL	Team Leader
ToR	Terms of Reference
TWG	Technical Working Group (appointed by the SCM includes WB and MoFED members)
URAP	Universal Road Accessibility Program
VNG	Association of Netherlands Municipalities (<i>Vereniging Nederlandse Gemeenten</i>)
WB	World Bank
WoFED	Woreda Office of Finance and Economic Development
WSAC	Woreda Social Accountability Committee
ZoFED	Zonal Office of Finance and Economic Development

1. Introduction

The Ethiopia Social Accountability Program, Phase 2 (ESAP2), being part of the citizen engagement component of the Promoting of Basic Services (PBS) program, is implemented by the Government of Ethiopia (GoE) at regional, woreda and kebele level.

Its overall objective is to strengthen the quality and capacity of citizen groups/representatives and the government to work together in enhancing the quality of public basic services delivered to the citizens of Ethiopia. The specific objective of ESAP2 is to strengthen the capacity of citizens, citizen groups and the government through its service providers to work together in order to enhance the overall quality of public basic services delivered to the citizens of Ethiopia.

The program is financed through a World Bank (WB) managed Multi-Donor Trust Fund (MDTF). ESAP2 is guided and supervised by a Steering Committee (SC) which includes representatives of the GoE, Civil Society Organizations (CSOs) and Development Partners (DPs). A Management Agency (MA) has been established to ensure an efficient implementation and day-to-day co-ordination of ESAP2.

The program started in November 2011 and was originally expected to finalize by 31 December 2015. In the Steering Committee Meeting (SCM) of 28 August 2014, it was formally agreed to extend the completion period of ESAP2 with another six months until 30 June 2016². The program focuses on all regions of Ethiopia including the two metropolitan areas Addis Ababa and Dire Dawa. A unique element of the program is the grant scheme character where 49 lead Social Accountability Implementing Partners (SAIPs) and 60 sub-partners operate as mediators between the providers and users of the basic services.

The current Quarterly Report (QR) is number seventeen in a series covering the period January-March 2016. The structure of the QR-17 deviates from its predecessors in the sense that field activities of SAIPs operating under ESAP2 ended by 31 December 2015. The Management Agency (MA) used the period January-March 2016 to collect all financial reports from the SAIPs, including final evaluation and audit reports, to finally close the ESAP2 field activity phase.

Main activities implemented by the MA during the current reporting period include:

- Collecting, reviewing and finally approving SAIP financial reports to close the ESAP2 field activities;
- Prepare draft contracts for the 22 clusters to be active under the ESAP2 ‘Bridging Phase’ based on approved technical and financial action plans;
- Negotiate with DPs on the ESAP2 ‘Bridging Phase’ which was due to start on 1 January 2016 for a period of 16 calendar months to end by 30 April 2017;

² Formally endorsed through Amendment No. 4 to the Grant Agreement, signed by the WB on 20 March 2015 and agreed by VNG International on 23 March 2015.

- Provide assistance and guidance to the international auditing team in charge for auditing the MA and a selected number of SAIPs throughout the calendar year 2015;
- Submitted a technical and financial proposal to integrate PSNP and SA in a selected number of 19 woredas where agriculture has been identified as one of the focal sectors;
- A second Social Network Analysis study was completed;
- Organization of the first national conference on Social Accountability, a two-day event by the end of March 2015;
- Participation in different co-ordination meetings, including the SCM of 28 January 2016.

2. Technical Progress

In this section, an overview of the main activities focused on during the period 1 January – 31 March 2016 is presented.

2.1 ESAP2 – Bridging Phase Preparation

Following the formal approval of the ESAP2 ‘Bridging Phase Concept Note’ at the SCM of 16 September 2015, the MA prepared a technical and financial plan of action which was discussed with the main stakeholders, the GoE and DPs in November 2015. Multiple adjustments were made based on comments received from both the GoE and DPs. The ESAP2 ‘Bridging Phase’, as underlined in both the concept note as well as in the plan of action, covering the period 1 January 2016 until 30 April 2017.

The MA started in October 2015 a process to encourage selected SAIPs, grouped together in geographical clusters, to develop a specific technical proposal indicating what main activities to be addressed during the ESAP2 ‘Bridging Phase’. The MA provided technical guidance in developing solid proposals by the 22 SAIP clusters which have been identified. As the financial resources during the ‘Bridging Phase’ are considerably lower compared to ESAP2, a number of selective instruments had to be developed to ensure effective consolidation of SA in all 223 woredas where ESAP2 had been implemented.

First, SAIPs were assessed on technical capacity and project management performance during ESAP2 which resulted in a number of SAIPs being excluded from the ‘Bridging Phase’. Second, due to limited financial resources, the MA stimulated the geographical clustering of SAIPs and partnership development based on successful collaboration during ESAP2. Third, a key element for an effective operation and proper use of resources was the presence of a SAIP branch office at regional and/or local level. Experience under ESAP2 has learned that SAIPs operating from a branch office rather than from headquarters in Addis Ababa, turned out to be far more effective since they managed to create solid working relations with main stakeholders, both users and providers of services including local authorities. Finally, an essential condition for SAIPs to operate under the ESAP2 ‘Bridging Phase’ was a valid registration and legal license to operate in the subject area. Such a valid license has to be issued by the Charities and Societies Agency (ChSA).

Consistent with the Final Bridging Phase Concept Note that was circulated in October, the MA prepared a technical and financial action plan. Following this, 22 clusters consisting of one lead and various partner organizations prepared their specific implementation plans covering the period January 2016 – April 2017, under guidance of the MA. By the end of 2015, all 22 proposals had been reviewed, formally approved by the MA and were ready for implementation.

For reasons beyond control of the MA, negotiations between the WB and DPs were time consuming which resulted in the ESAP2 ‘Bridging Phase’ not starting as planned on 1 January 2016. Although administrative agreements between two of the DPs and the WB were completed on time, negotiations between the EU and the WB took more time than expected. All this has resulted in a considerable delay which automatically will have repercussions for target achievement as indicated in the various action plans. At the SCM of 28 January, it was in principle agreed that if no progress had been achieved between the WB and the EU by early February 2016, the ESAP2 ‘Bridging’ should already continue based on the signed agreements and allocated amounts provided through Irish Aid and Austria Development Corporation. This however did not materialize.

At the end of the quarter covered by this report, the amendment to the agreement between the WB and VNG had not yet been signed³. Although the original intention of the ESAP2 ‘Bridging Phase’ was to avoid having a gap between the end of ESAP2 field activities, de facto this gap was created. The MA learned that some experienced staff of SAIPs involved in ESAP2 left their organization because of a lack of perspective, which is considered as highly unfortunate. Similarly, the MA itself was also subject of turnover due to the unclear situation on the ‘Bridging Phase’.

2.2 SA - PSNP Collaboration

Following the successful budget neutral implementation of the SA concept during ESAP2 in four overlapping woredas where both SA and PSNP have been active and following discussions at the PSNP – JRIS in November 2015, agreement was reached between the PSNP DPs, the WB, the MoA and the ESAP2 MA to introduce the SA concept in a wider number of woredas to improve PSNP performance through enhanced community participation⁴.

The idea was to operate the expanded PSNP pilot initiative in parallel with the ESAP2 ‘Bridging Phase’ implementing activities, which were expected to start as of 1 January 2016. A crucial element of the agreement was that additional budget for specific SA-PSNP related activities would be allocated. The PSNP DP team drafted the ToR for the expanded SA-PSNP pilot. Main issues to focus on during the expansion phase include:

- How to ensure that PSNP clients continue to be engaged in the implementation and monitoring of the program;
- How the PSNP M&E system and management decision-making processes can be strengthened through the incorporation of SA;
- Learn lessons and build capacity on how to apply SA to the PSNP lowland areas;

³ Amendment no. 5 to the original Grant Agreement (contract number: TF099878) between the WB and VNG International was signed by the WB on 7 April 2016 and countersigned by VNG on 12 April 2016.

⁴ The pilot SA-PSNP activities were implemented in the following woredas: Raya Azebo, Erob, Shebadino and Kuyu respectively.

- Learn lessons and build capacity on how to apply SA to PSNP public works and livelihoods activities in addition to social protection activities.

Two main subject areas will be addressed during the on-going SA-PSNP collaboration. First, capacity building among participating SAIPs as well as PSNP stakeholders will form a key aspect of the expanded pilot to ensure that PSNP is mainstreamed into the regular activities of the ESAP2 'Bridging Phase'. Second, a proper functioning M&E system will be developed in order to guarantee solid outcomes. Performance indicators will have to be defined and developed. In addition, effective service standards will have to be identified and focused on during implementation. Furthermore, joint monitoring missions of ESAP2 and PSNP staff will be organized and a detailed feedback system worked out.

On top of the originally identified four woredas, an additional number of 15 new woredas have been identified where joint SA-PSNP related activities will be carried out⁵. For each of the woredas an additional budget of USD 5,000 has been allocated to implement SA-PSNP related activities. In addition to the specific woreda budget allocation, an additional and one-off amount of USD 5,000 was made available for an overall seminar to be organized at federal level for both MoA and SAIP stakeholders to familiarize them with the SA respectively PSNP concept. As such the total budget available for SA-PSNP related activities has been fixed at USD 100,000.

After submission of both the technical and financial proposal by VNG International, which is also in charge for implementation and coordination of ESAP2, on 15 February, parties were ready to formalize the agreement by the end of March 2016.

Following the submission of the technical and financial proposal, both the PSNP and ESAP2 management started to draft a guidance note aimed at all ESAP2 stakeholders (GoE, ESAP2 MA and SAIPs) involved in implementation of the activities. The guidance note will contextualize PSNP within the ESAP2 framework. It describes the flow of PSNP service delivery, PSNP service standards and describes the roles and responsibilities of PSNP stakeholders and ESAP2 implementers in the SA-PSNP collaboration.

2.3 First National Conference on Social Accountability

On 31 March and 1 April, a first National Conference on Social Accountability was organized in Addis Ababa by the MA in joint collaboration with MoFEC.

The **specific objectives** of the conference were:

- To deepen the understanding of sector ministries and other national stakeholders regarding SA. Process experiences of citizens, service providers and local government officials, as well as the improvement results and findings about sector performance were shared.

⁵ Libo Kemken, Tenta, Ebinat, Kahlu (Amhara), Seru, Kuyu, Dodota (Oromia), Gibe, Misha, Duna, Lemo, Soro, Shebadino (SNNPR), Raya Azebo, Ofla, Erob, Saeseitsaeda-emba (Tigray, Kebrebeyah and Gewane (Somali).

- To position SA in the good governance arena as promoter of a demanding citizenry and an enabler of functioning service providers, local administrations and local councils, and as such requiring one joint and nationwide facilitation and communication effort, rather than isolated sector initiatives.
- To learn from the roles of CSOs as interlocutors and CBOs as actors in the SA process that a) improved basic services, and b) generated an evidence base about basic service performance for policy dialogue.

Background information to the conference was a variety of papers with results, lessons learned and recommendations in the following areas:

- Building blocks for the future – an updated version of the rapid assessment for institutionalization conducted early 2015;
- Sector results, findings and lessons learned for each of the 5 basic PBS sectors;
- Gender Responsive Budgeting (GRB) – lessons learned and recommendations;
- Public Expenditure Tracking Surveys (PETS) – lessons learned and recommendations;

The main theme of the conference was “Social Accountability - results and lessons learned from Ethiopia”. The conference underlined a change in the mindset of the society and service improvement results achieved during the three year program implementation in the five basic public service sectors identified.

Prior to the conference, field visits were organized for international participants, sector ministries and DP representatives. This enabled participants to meet SA stakeholders at field level, and witness the service improvement results they have achieved.

In his opening remarks, the advisor to the State Minister of Finance and Economic Cooperation Ato Efreem Woldelessie said that “SA has left a long lasting impression among all stakeholders involved. Service users in the program woredas are better informed about their entitlements. Service providers have also been convinced of the fact that taking service users observations seriously can result in improved basic services. Respect, trust and mutual understanding have been key elements in this complex process.”

The advisor explained the commitment of the GoE to deepen SA initiatives with experiences gained under ESAP2. He further disclosed that the government plans to implement a third phase of SA program implementation.

The ESAP2 team leader, Mr. Rolf Hunink, welcomed participants and thanked the MoFEC for its ever present support and guidance as part of the program. Describing the overall aim of the conference, *“it is important not just listing the problems but to move forward by jointly formulating solutions to the problems raised.”*

The WB ESAP2 task team leader, Mr. Alex Kamurase described ESAP2 achievements as exceeding expectations. He said, *“the fact that about 200,000 citizens have been directly reached*

and have been imparted with skills on how to constructively seek their rights and negotiate with service providers is something to be proud of.”

As part of the program, theatre for Social Accountability (TSA) dubbed ‘Kemetyek...’ (Because we asked...) was presented to participants. The theatre created a platform for audience engagement and testimonies from citizens, service providers and local officials in the audience who have participated in the SA process.

The conference was organized to also deepen the understanding of sector ministries and other national stakeholders about SA to make them support SA activities that are spreading throughout the country under the leadership of the MoFEC. In this regard, the representative of the Ministry of Health expressed “respect and awe” for every stakeholder’s contribution in the SA process to improve health service delivery. He said, *“I have had the opportunity to hear about pleasant changes realized through the implementation of SA in different zones and woredas, specifically in the health sector... Good governance is an essential and highly important agenda for the Ethiopian government. Sector ministries are engaged in this initiative. In line with this plan, the Ministry of Health has designed a good governance package that will be implemented at the community level for the next 5 years. I have managed to comprehend that most of the good governance pillars in our package can be addressed through the existing Social Accountability framework. If we can collaborate, we can reach health facilities in a significant number of woredas and achieve greater results through community engagement.”*

In a similar note, a representative from the Ethiopian Roads Authority spoke about the organization’s desire to come on board of the SA initiative. She said, *“we are so happy with this program which alleviates our challenges. ESAP2 goes deep: facilitates arbitration, negotiation, and conflict resolution, and has brought a healthier mindset and mentality to all parties. It strengthens relationships between citizens and government: more love and understanding. Social accountability is the foundation for the democratic development agenda. Please step into our offices wherever you operate - we need to partner more.”*

The conference also informed participants about the nation-wide communication strategy of the Bridging Phase between ESAP2 and a follow up program, which aims to deepen broad based attitudinal change among the public as well as the civil service. Social Accountability Expert under ESAP2, Mrs. Lucia Nass said, *“we have developed key messages for the public on SA, Financial Transparency and Accountability (FTA) and Grievance Redress Mechanism (GRM). These messages are in line with each step of the budget and planning cycle of the government. Collaboration with MoFEC and different regions is expected on how these three programs can come together and have one unified national communication campaign with the resources they have.”*

The National Conference was attended by international participants who work on Social Accountability. Mr. Siapha Kamara, Chief Executive Officer for SEND - West Africa has been working on SA since 2002 in Ghana, Sierra Leone and Liberia. He said, *“the conference has been a great learning experience. The SA tools being implemented in Ethiopia are few, simple and user friendly. The fact that they are tailored to the service users and their simplicity is a plus for*

the project as it is empowering. Secondly, the commitment of the Ethiopian government to see SA as a tool for good governance and development is really commendable. I have also seen that capacity building has been across the board for the government and civil society organizations. This makes it much easier for them to work together. The project also creates a platform for networking between government and all state actors. Through this initiative, they can build trust on a solid foundation because to have effective SA you need to have trust between all stakeholders. I have also seen that a lot of emphasis has been given to capacity building at the grass roots level. For this reason, the potential for the project to be sustainable is quite high.”

Reflecting on the conference, Zelelew Mamo, SA Project Coordinator at Hope for Children (HFC) said, *“the project’s remarkable results achieved in each sector are now being shared. I believe we should also emphasize ESAP2’s innovative ideas and processes that led to these results. The best methods of implementation that made this possible can be used as a strategy in future SA interventions.”*

The event positioned SA in the good governance arena and encouraged a joint and nationwide facilitation and communication effort, rather than isolated sector initiatives. The event also created a platform to learn from the roles of Civil Society Organizations (CSOs) as interlocutors and Community Based Organizations (CBOs) as actors in the SA process that have improved basic services and generated an evidence base about basic service performance for policy dialogue.

The conference was closed with high level observations made by sector ministries DP representatives and conclusions about the relevance of SA for GTP2 service improvement and good governance objectives. A summary of the main outcomes of the conference was discussed by Dr Fletcher Tembo, SA researcher. He said: *“the international community is studying the SAVI program in Nigeria, but I believe they should come and learn from Ethiopia.”*

In a closing remark, Mrs. Bizuwork Ketete, speaking on behalf of the Development Partners (DPs) which funded the ESAP2 program said: *“CSOs are key, without them none of this would have been possible.”*

Over 200 participants including high government officials, representatives from MoFEC and regional BoFEDs, representatives of sector ministries, international organizations working on service delivery, DPs, SAC members and members of the press, took part in the conference which was co-hosted by the ESAP2 Management Agency (MA) and MoFEC⁶.

⁶ A full fledged and extensive report on the objectives, results, discussions and conclusions of this first national conference on Social Accountability was separately produced and distributed to the main stakeholders in April 2016: *“Social Accountability - Results and Lessons in Ethiopia, ESAP2 National Conference – 31 March – 1 April 2016”*.

2.4 National and International Audit

SAIP National External Audit

As one of the project closing requirements, SAIPs were expected to submit an external audit report up to the closing date of their ESAP2 field activities, scheduled for 31st December 2015. The first group of 30 SAIPs was subject to such an external audit for the fourth time, while the second group of 18 SAIPs was subject to the 2nd external audit for the project period ending on 31 December 2015. The deadline for submitting the final audit report was set at 15 February 2016. Although the deadline for submission has long passed, the internal audit unit provided detailed feedback to a number of SAIPs which did not meet the deadline as such and requested SAIPs to submit the final version of the audit report in line with the pre-defined ToR.

After thorough efforts, by the end of the current quarter, 41 SAIPs had submitted their external audit report to the MA. The remaining 7 SAIPs submitted only a draft version of the audit report which is still subject of review by the internal audit unit. The MA will continue to follow up on this issue until the remaining seven SAIPs will have submitted a correct and final version of their external audit report.

International External Audit on ESAP2-MA branch office and selected SAIPs

The planned international external audit of both the MA branch office and 12 at random selected SAIPs was carried out by Kago Kagwi & Associates, certified public accountants from Kenya in the period 4-22 April 2016 covering calendar year 2015.

The external auditors conducted an audit on 12 selected SAIPs, (2-NEWA, 3-ILU-IWCIDA, 5-HUNDEE, 6-PDN, 15-GDA, 16-ODA, 18-WAT, 24-WSA, 28-OWDA, 29-LIA, 31-APAP and 36-RCDE). Debriefing sessions were held with the management of each of the selected SAIPs after completion of the audit. Finally a debriefing session between the auditors and MA representatives was held on 22 April at the MA premises where the main initial findings were presented verbally. Subsequently, the auditors plan to share draft audit reports on the audited SAIPs and the branch office in which a management response is requested from the MA to each of the observations made.

Due to the fact that the auditors also will pay a visit to VNG-HQ in The Hague in May, their final report is expected in June 2016. The MA internal audit unit will present an abstract of the final audit report including auditors' opinions and main findings in the next quarterly progress report.

3. Financial Completion SAIP Contracts under ESAP2

3.1 SAIP Final Disbursements and Financial Settlement

Since this quarter was the last quarter of the ESAP2 project implementation, the MA Finance and Grant sections were busy communicating SAIPs to submit their final quarterly report. Following this, the MA managed to review the SAIPs' quarter twelve financial reports on accuracy and compliance requirements. Consequently, disbursements were made to those SAIPs that required additional resources as per the final cash balance. In the period January-March 2016, five disbursement transactions took place with a total value of almost USD 39,000 to SAIPs that pre-financed either their final evaluation exercise or their completion audit out of own resources. All SAIPs were expected to forward their final financial report for formal endorsement within the first months of 2016 to the MA.

In table 1 below an overview is presented of the total disbursements rates provided to all 49 SAIPs from the start of the project in January 2013 until project end (31 December 2015). At first glance, the table shows that 93% of the total contract amount of USD 14.3 million has been disbursed being an amount of USD 13.33 million. In a separate column, the table shows the amounts SAIPs had to return to the MA as a result of overpayment respectively amounts that were transferred to SAIPs because of additional expenditures made such as the final evaluation and audit. In the next column the exact dates payments have been settled are included.

In a separate column the exact contract balance is shown which is automatically carried over to be used for planned activities by lead SAIPs and their partner organizations during the ESAP2 'Bridging Phase'.


Table 1 also shows that for 9 SAIPs out of the total of 49 SAIPs, the final financial calculation has not been completed yet due to a lack of evidence (receipts and/or other relevant documentation such as the late submission of final audit and/or evaluation report). The MA is in continuous contact with these SAIPs to complete the exercise as soon as possible as the delay could have repercussions for the proper implementation of the 'Bridging Phase' activities.


Table 1 ESAP2 Disbursements versus Contract Value (1)

No.	SAIP name	contract amount (2)	TOTAL disbursed Jan-Dec-13	TOTAL disbursed Jan-Dec-14	TOTAL disbursed Jan-Dec-15	disbursed until 31-Mar-16	final settlement	settling date	OVERALL TOTAL DISBURSED	%	contract balance	%
1	SOS Sahel	350,000.00	153,846.94	108,590.44	64,969.68	0.00	1,989.10	29-Apr-16	329,396.16	94%	20,603.84	6%
2	NEWA	350,000.00	144,629.93	123,793.89	72,780.49	0.00	6,212.66	15-Apr-16	347,416.97	99%	2,583.03	1%
3	ILU	349,991.51	151,092.62	107,996.74	76,049.42	7,294.15	(131.72)	27-Apr-16	342,301.21	98%	7,690.30	2%
4	PICDO	299,994.68	144,779.27	119,540.90	17,533.21	13,434.83	0.00	11-Feb-16	295,288.21	98%	4,706.47	2%
5	HUNDEE(3)	377,105.59	171,792.43	80,910.23	103,070.52	0.00	(11,259.16)	26-Apr-16	344,514.02	91%	32,591.57	9%
6	PDN	299,589.00	169,725.73	78,468.29	9,804.76	0.00	16,507.54	x	274,506.32	92%	25,082.68	8%
7	NSAC	300,000.00	149,939.25	100,031.85	40,442.05	0.00	7,993.84	x	298,406.99	99%	1,593.01	1%
8	HFC	349,661.11	136,400.85	111,815.71	88,713.84	0.00	568.41	29-Apr-16	337,498.81	97%	12,162.30	3%
9	EOC – DICAC	349,259.31	146,071.21	94,912.49	89,264.27	0.00	(10,876.43)	---	319,371.54	91%	29,887.77	9%
10	AFD (4)	415,522.77	176,178.00	70,148.32	133,651.41	0.00	12,908.71	15-Apr-16	392,886.44	95%	22,636.33	5%
11	TYA	349,268.06	169,854.23	80,557.03	67,073.84	0.00	(6,937.96)	---	310,547.14	89%	38,720.92	11%
12	PADET	299,621.62	139,808.39	95,673.86	54,102.21	0.00	7,535.75	15-Apr-16	297,120.21	99%	2,501.41	1%
13	MFCFSO	348,990.95	134,688.05	123,465.46	85,242.33	0.00	728.84	x	344,124.68	99%	4,866.27	1%
14	WCAT	301,313.53	130,437.40	64,349.03	68,218.59	0.00	5,868.22	22-Apr-16	268,873.24	89%	32,440.29	11%
15	GDA	297,303.69	163,490.95	103,210.01	24,123.84	0.00	4,242.78	x	295,067.58	99%	2,236.11	1%
16	ODA	349,943.96	170,212.47	81,372.69	61,055.69	5,697.94	0.00	---	318,338.79	91%	31,605.17	9%
17	ADA	347,996.42	148,362.00	85,311.96	99,145.42	0.00	8,024.88	22-Apr-16	340,844.26	98%	7,152.16	2%
18	WAT	299,549.03	122,673.04	118,006.86	43,544.85	0.00	1,181.18	---	285,405.93	95%	14,143.10	5%
19	AFSR	348,560.00	146,995.17	74,702.38	102,659.03	10,278.41	567.09	15-Apr-16	335,202.08	96%	13,357.92	4%
20	RTG	286,904.00	125,557.03	70,581.43	81,479.71	0.00	6,684.09	22-Apr-16	284,302.26	99%	2,601.74	1%
21	SL	241,456.84	115,468.22	80,912.35	26,294.03	0.00	(6,234.86)	24-Mar-16	216,439.74	90%	25,017.10	10%
22	MFM	318,996.37	142,664.52	86,921.45	71,464.80	0.00	(7,995.45)	3-May-16	293,055.32	92%	25,941.05	8%
23	KMG	201,521.92	98,912.84	35,320.05	61,531.32	0.00	(2,945.10)	x	192,819.11	96%	8,702.81	4%
24	WSA	349,989.64	115,954.32	120,200.13	91,684.12	0.00	2,725.87	x	330,564.44	94%	19,425.20	6%
25	UEWCA	344,975.83	178,328.03	46,852.44	99,398.83	0.00	(3,755.00)	x	320,824.30	93%	24,151.53	7%
26	JECCDO	349,934.82	188,718.13	71,378.00	74,666.06	0.00	(1,135.61)	x	333,626.58	95%	16,308.24	5%
27	AAWA	313,796.05	156,147.86	75,960.52	63,848.34	0.00	5,434.31	---	301,391.03	96%	12,405.02	4%
28	OWDA	299,999.09	149,581.43	86,060.59	46,515.09	0.00	7,013.16	22-Apr-16	289,170.27	96%	10,828.82	4%
29	LIA	297,598.15	199,115.13	69,210.41	23,725.62	0.00	4,397.73	25-Mar-16	296,448.89	100%	1,149.26	0%
30	VECOD	300,000.00	171,090.37	64,770.39	46,431.75	0.00	554.15	25-Mar-16	282,846.66	94%	17,153.34	6%
SUB-TOTAL 1-30		9,688,843.94	4,512,515.81	2,631,025.90	1,988,485.12	36,705.33	49,867.02		9,168,732.16	95%	470,244.76	5%

Table 1 ESAP2 Disbursements versus Contract Value (1), continued....

No.	SAIP name	contract amount (2)	TOTAL disbursed Jan-Dec-13	TOTAL disbursed Jan-Dec-14	TOTAL disbursed Jan-Dec-15	disbursed until 31-Mar-16	final settlement	settling date	OVERALL TOTAL DISBURSED	%	contract balance	%
31	APAP	213,068.10	60,897.82	75,519.27	51,067.74	0.00	(30,319.87)	x	157,164.96	74%	55,903.14	26%
32	EIFDDA (5)	269,574.85	88,513.77	77,035.80	86,236.74	0.00	(10,357.64)	---	241,428.67	90%	28,146.18	10%
33	ADCS	270,000.00	61,584.26	100,967.34	96,958.35	0.00	9,333.99	29-Mar-16	268,843.94	100%	1,156.06	0%
34	CFID	269,965.97	84,573.96	91,357.37	70,392.99	0.00	(695.84)	---	245,628.48	91%	24,337.49	9%
35	MENA	270,000.00	83,714.46	100,434.80	66,266.02	0.00	7,674.97	15-Apr-16	258,090.25	96%	11,909.75	4%
36	RCDE	213,221.68	68,685.72	59,398.00	59,460.69	0.00	12,815.67	x	200,360.08	94%	12,861.60	6%
37	CFAFI	269,987.22	95,550.03	56,066.46	95,706.97	0.00	(6,010.14)	28-Apr-16	241,313.32	89%	28,673.90	11%
38	REST	270,000.00	64,943.43	114,803.89	67,739.28	0.00	(6,462.93)	30-Mar-16	241,023.67	89%	28,976.33	11%
39	ADV	242,100.00	61,902.21	86,508.29	76,401.54	0.00	10,893.65	22-Apr-16	235,705.69	97%	6,394.31	3%
40	RVCWDO	270,000.00	75,352.96	103,256.89	65,399.54	0.00	10,970.63	22-Apr-16	254,980.02	94%	15,019.98	6%
41	SWDA	242,095.11	52,210.58	103,867.27	71,609.03	0.00	2,022.92	22-Apr-16	229,709.80	95%	12,385.31	5%
42	AEPA	213,300.00	55,908.37	42,980.34	54,172.85	0.00	0.00	---	153,061.56	72%	60,238.44	28%
43	EWLA	242,029.48	60,454.03	87,832.22	75,612.88	0.00	5,163.55	x	229,062.68	95%	12,966.80	5%
44	HIWOT	269,813.00	64,864.67	130,444.59	61,200.00	0.00	7,250.54	15-Apr-16	263,759.80	98%	6,053.20	2%
45	MLYAM	213,744.47	54,425.40	71,756.75	61,867.31	0.00	6,082.80	15-Apr-16	194,132.26	91%	19,612.21	9%
46	AMUDAEAS	270,000.00	83,408.37	95,931.33	75,259.59	2,123.75	0.00	---	256,723.04	95%	13,276.96	5%
47	GIEDA(6)	107,788.66	58,926.00	37,577.35	(14,304.66)	0.00	0.00	21-Nov-14	82,198.69	76%	25,589.97	24%
48	YMCCD	269,990.44	87,825.42	70,129.87	61,654.16	0.00	(12,842.30)	20-Apr-16	206,767.15	77%	63,223.29	23%
49	ECC	213,271.46	46,684.32	62,303.78	95,570.79	0.00	7,231.70	x	211,790.59	99%	1,480.87	1%
SUB-TOTAL 31-49		4,599,950.44	1,310,425.78	1,568,171.61	1,278,271.81	2,123.75	12,751.70		4,158,992.95	90%	428,205.79	9%
OVERALL TOTAL 1-49		14,288,794.38	5,822,941.59	4,199,197.51	3,266,756.93	38,829.08	62,618.72		13,327,725.11	93%	898,450.55	6%

 = SAIPs that qualified for ESAP2 Bridging Phase as lead or partner

 = SAIPs that did not qualify for ESAP2 Bridging Phase as lead or partner

 = SAIPs which final financial report has been approved.

Notes:

- (1) = SAIP expenditure overview for the period January - March 2016, based on SAIP financial reports that have been checked by the MA.
- (2) = Following the approval of addendum 4 to the original agreement between the WB and VNG International, the following 20 SAIPs, representing the first batch of 30 SAIPs, received a 'cost extension' reflected in additional activities and a budget that goes beyond US\$ 300,000: 1-SOS Sahel, 2-NEWA, 3-ILU, 5-HUNDEE, 8-HFC, 9-EOC-DICAC, 10-AFD, 11-TYA, 13-MFCFSO, 14-WCAT, 16-ODA, 17-ADA, 19-AFSR, 20-RTG, 22-MFM, 23-KMG, 24-WSA, 25-UEWCA, 26-JECCDO and 27-AAWA.
- (3) = In the overall contract amount of 5-HUNDEE is US\$ 38,911.57 included being additional costs to be spend on SA activities to be implemented in Woreda Oddo Shakiso where formally 47-GIEDA was active. However, due to the fact that the contract agreement with GIEDA was terminated, HUNDEE continues activities in this Woreda and subsequently received additional funds, being part of the balance of GIEDA , to successfully implement the SA activities.
- (4) = In the overall contract amount of 10-AFD is US\$ 65,538.77 included being additional costs to be spend on SA activities to be implemented in Woreda Wadera and Liben where formally 47-GIEDA was active. However, due to the fact that the contract agreement with GIEDA was terminated, AFD continues activities in these Woredas and subsequently received additional funds, being part of the balance of GIEDA , to successfully implement the SA activities.
- (5) = The transfer to 32-EIFDDA in March 2015 should have been US\$ 42,350.68 rather than US\$ 42,360.68
- (6) = 47-GIEDA: The agreement with this SAIP was terminated as per 21 November 2014, which was accepted by the SAIP in their E-mail response of 21 November. A total amount of US\$ 105,450.34 (US\$ 39,911.57 transferred to HUNDEE and US\$ 65,538.77 to AFD) has been deducted from the original overall total contract amount of GIEDA which was US\$ 213,239.00. On 27 October 2015, the balance of the GIEDA bank account (US\$ 3,245.75) was transferred into the account of AFD. On 25 December 2015, GIEDA had transferred the final tranche of ineligible costs with a total amount of US\$ 14,304.66.

4. Conclusion

By 31 December 2015, project field activities under ESAP2 were formally completed. It seems justified to conclude here that both technically as well as financially ESAP2 field activities have been developed successfully over the last three years. Whereas at the start of program implementation, early 2013, knowledge about SA was relatively limited among virtually all stakeholders involved, today there is widespread discussion and appreciation at national, regional and local level on what has been accomplished jointly by our partner organizations, service users and service providers under the ESAP2 program. It is fair to say that SA has gained exposure at least in those woredas and kebeles where activities have been implemented since January 2013.

The MA already early 2015 realized that it had to keep the SA momentum going in order to avoid a downturn as happened between the end of ESAP1 and the start of ESAP2. We therefore were extremely pleased with the positive response on SA received from the GoE, more in particular from MoFEC, and the promise made by a number of DPs to guarantee financial resources for an ESAP2 ‘Bridging Phase’, which intended to cover the period between the end of ESAP2 field activities (end of December 2015) and the start of a future ESAP3 program. In such a newly developed program, SA will ideally be up-scaled to cover more woredas and kebeles in line with the principles, mechanisms and tools as used under ESAP2.

The MA in the period covered by this progress report mainly focused on closing ESAP2. As such, the selected SAIPs had to submit relevant documentation as described in the project close-out procedures of the ESAP2 operational manual and project agreement. While closing ESAP2 activities, the MA hoped to start the ESAP2 ‘Bridging Phase’ activities without interruption starting as of 1 January 2016. Unfortunately this turned out to be too optimistic. At DP level, only two out of three administrative agreements were signed by the start of January 2016, which in practical terms meant that the WB and VNG International could not sign an addendum to the ESAP2 agreement at that time, which basically delayed implementation of activities under the ESAP2 ‘Bridging Phase’ considerably. More important however is to recognize that the shorter implementation period under the ‘Bridging Phase’ will also result in a reassessment and adjustment of the indicators and outputs to be achieved during the implementation period in order to make the entire exercise realistic and achievable.

ANNEXES

Annex 1 Project Synopsis

Project Title	Ethiopia Social Accountability Program (ESAP2)
Contract Number	TF099878
Location	Ethiopia
Overall Objective	Strengthen the use of SA tools, approaches and mechanisms by (a) citizens and citizens groups, (b) SAIPs, (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	<ol style="list-style-type: none"> 1. Service providers deliver qualitatively improved basic services in five focal areas responding to community and citizen needs⁷. 2. Citizens empowered to demand for better basic services. 3. Citizens and citizen groups empowered and increasingly demand for better quality public basic service delivery 4. Citizens and citizen groups aware of their responsibilities to plan, budget, implement and monitor public basic service delivery. 5. Increased capacity of SAIPs to empower citizens and citizen groups on using SA tools, approaches and mechanisms
Contractor	VNG International, GOPA Consultants and YEM Consultant
Name Contracting Authority	World Bank, Ethiopia Country Office Wollo Sefer, Bole Road, P.O. Box 913/11111 Addis Ababa, Ethiopia
Project Starting Date	11/10/2011 (effective starting date 01/11/2011)
Project End Date	Original: 26/06/2013 Amendment 1: 31/12/2014 Amendment 2: 31/12/2015 Amendment 3: 31/12/2015 Amendment 4: 30/06/2016 Amendment 5: 28/02/2017
Project Duration	Original: 22.5 months Amendment 1: 38.5 months Amendment 2: 50.5 months Amendment 3: 50.5 months Amendment 4: 56.5 months Amendment 5: 64,5 months
Total Project Budget	Original: million US\$ 7.5 Amendment 1: million US\$ 14.0 Amendment 2: million US\$ 21.0 Amendment 3: million US\$ 23.4 Amendment 4: million US\$ 25.0 Amendment 5: million US\$ 29.0
Date of Report	10 May 2016
Reporting Period	1/1/2016/ to 31/3/2016
Authors of Report	Management Agency – ESAP2

⁷ Education, health, agriculture, water and sanitation and rural roads.

Annex 2 ESAP2 Project Budget Breakdown⁸

Category	allocated grant in US\$	% of expenditures to be financed (incl. taxes)
(1) Goods	493,599	100%
(2) Consultants Services	2,700,060	100%
(3) Management and Coordination Services	7,955,014	100%
(4) Training & Workshops (incl. media costs)	1,161,316	100%
(5) Grants for Sub-Projects	16,722,950	100% of goods, works and services
OVERALL TOTAL	29,032,899	

⁸ Following the approval and formal signature of Amendment No. 4 to the grant Agreement (No. TF099878) between the WB and VNG International (March 2015).

Annex 3 Sector coverage and SA Tools applied by SAIPs

No	SAIP	sectors covered & # of Woredas					SA tools applied in # of Woredas					
		Agri	Edu	Health	WASH	Road	CSC	CRC	GRB	PPB	PET	Other(CM)
1	SOS Sahel	1	1	1	3	1	4	1	0	1	0	0
2	NEWA	0	1	3	1	0	5	0	0	5	0	0
3	ILU	1	2	1	0	1	5	0	0	5	0	0
4	PICDO	1	1	1	1	2	4	1	0	5	0	0
5	HUNDEE	1	1	2	1	0	5	0	0	5	5	0
6	PDN	2	3	0	0	2	3	1	0	0	2	0
7	NSAC	2	1	2	2	2	5	3	2	0	0	0
8	HFC	1	1	1	1	1	2	0	0	2	0	0
9	EOC-DICAC	3	0	5	4	4	5	0	0	5	0	0
10	AFD	1	1	1	2	0	5	0	0	5	0	0
11	TYA	1	2	2	0	1	5	0	0	0	0	0
12	PADET	1	0	3	1	0	3	2	0	0	0	0
13	MSCFSO	2	1	1	1	0	3	2	0	0	0	0
14	WCAT	1	2	0	1	1	2	3	0	0	0	0
15	GDA	1	0	0	5	0	5	1	0	0	0	0
16	ODA	0	0	3	2	0	5	0	0	0	0	1
17	ADA	2	5	5	2	1	5	0	5	5	0	0
18	WAT	0	3	2	1	0	5	0	1	0	0	0
19	AFSR	1	2	2	0	0	3	2	0	0	0	0
20	RTG	0	1	1	0	1	3	0	0	3	0	0
21	SL	0	0	4	0	4	2	2	0	3	0	0
22	MFM	0	3	3	2	1	4	0	0	4	0	0
23	KMG	0	3	3	0	0	3	0	0	3	0	0
24	WSA	0	1	2	1	1	5	0	0	0	0	0
25	UEWCA	0	1	2	1	1	3	2	0	0	0	0
26	JECCDO	0	3	0	3	0	4	0	0	4	0	0
27	AAWA	0	4	4	0	0	4	0	0	0	0	0
28	OWDA	0	2	1	1	1	5	0	0	0	0	0
29	LIA	2	2	0	1	0	3	2	0	5	0	0
30	VECOD	2	3	1	3	1	3	2	0	0	0	0
SUB-TOTAL		26	50	56	40	26	118	24	8	60	7	1

No	SAIP	sectors covered & # of Woredas					SA tools applied in # of Woredas					
		Agri	Edu	Health	WASH	Road	CSC	CRC	GRB	PPB	PET	Other(CM)
31	APAP	0	3	3	0	0	3	0	0	3	0	0
32	EIFDDA	0	2	2	1	0	5	0	0	0	0	0
33	ADCS	2	2	1	0	0	4	0	0	0	1	0
34	CFID	0	5	5	0	0	5	0	0	5	0	0
35	MENA	2	2	2	3	1	3	1	0	0	1	0
36	RCDE	0	1	1	1	0	3	0	0	0	0	0
37	CFAFI	0	2	2	1	0	5	0	0	0	0	0
38	REST	0	0	5	5	5	5	0	5	5	0	0
39	ADV	1	1	1	1	0	4	0	4	0	0	0
40	RVCWDO	1	2	0	2	0	2	3	3	0	0	0
41	SWDA	0	2	1	1	0	4	0	0	4	0	0
42	AEPA	3	3	3	0	3	3	0	0	3	0	0
43	EWLA	0	2	0	0	2	2	0	0	2	0	0
44	HIWOT	0	5	5	0	0	5	0	0	5	0	0
45	MLYAM	0	3	3	0	0	3	0	0	3	0	0
46	AMUDAEAS	0	5	5	0	0	5	0	0	0	0	0
47	GIEDA ⁹	0	0	3	3	0	2	0	0	1	0	0
48	YMCCDA	0	2	3	0	0	5	0	0	5	0	0
49	ECC	3	3	3	0	0	3	0	0	3	0	0
SUB-TOTAL		12	45	48	18	11	71	4	12	39	2	0
OVERALL TOTAL		38	95	104	58	37	189	28	20	99	9	1

- CSC = Community Score Card
 CRC = Citizen Report Card
 GRB = Gender Responsive Budgeting
 PPB = Participatory Planning Budgeting
 PET = Public expenditure Tracking
 CM = Community Mapping

⁹ The agreement with GIEDA was formally cancelled by the termination letter of 14 November 2014. Activities in the three woredas covered by GIEDA were officially taken over by HUNDEE and AfD respectively following the formal transfer of assets which was officially completed on 19 March 2015 in the presence of a representative of the ChSA.