Ethiopia Social Accountability Program (ESAP2)
Part of the Promotion of Basic Services (PBS2) Program

Grant Agreement (TF099878)

Quarterly Progress Report 7
October 2013
(Submitted 31 October 2013)
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<tr>
<td>BoFED</td>
<td>Bureau of Finance and Economic Development</td>
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<td>CA</td>
<td>Contracting Authority</td>
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<tr>
<td>CB&amp;T</td>
<td>Capacity Building and Training (also: Capacity Development and Training)</td>
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<td>CD&amp;T</td>
<td>Capacity Development and Training (ESAP2 Component)</td>
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<td>ChSA</td>
<td>Charity and Societies Agency</td>
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<td>CBO</td>
<td>Community Based Organizations</td>
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<td>CSC</td>
<td>Community Score Card (SA tool)</td>
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<td>CSO</td>
<td>Civil Society Organization</td>
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<td>CSF</td>
<td>Civil Society Fund</td>
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<td>CSSSP</td>
<td>Civil Society Support Program</td>
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<td>DP</td>
<td>Development Partners</td>
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<td>DFID</td>
<td>Department for International Development (UK Government)</td>
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<td>EA</td>
<td>External Auditing</td>
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<td>EC</td>
<td>European Commission</td>
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<td>EU</td>
<td>European Union</td>
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<td>ESAP</td>
<td>Ethiopia Social Accountability Program</td>
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<tr>
<td>ESAP1</td>
<td>Ethiopia Social Accountability Program Phase 1</td>
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<tr>
<td>ESAP2</td>
<td>Ethiopia Social Accountability Program Phase 2</td>
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<tr>
<td>IA</td>
<td>Internal Auditing</td>
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<tr>
<td>ICT</td>
<td>Information and Communications Technology</td>
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<td>IFR</td>
<td>Interim Financial Report</td>
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<td>FAQ</td>
<td>Frequently Asked Questions</td>
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<td>FTA</td>
<td>Financial Transparency and Accountability</td>
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<td>GA</td>
<td>Grant Agreement</td>
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<td>GoE</td>
<td>Government of Ethiopia</td>
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<td>GM</td>
<td>Grant Management</td>
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<td>GOPA</td>
<td>Gesellschaft für Organisation, Planung und Ausbildung (Company for Organisation, Planning and Training)</td>
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<td>GRM</td>
<td>Grievance Redress Mechanism</td>
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<td>IAid</td>
<td>Irish Aid</td>
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<td>IR</td>
<td>Inception Report</td>
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<td>JRIS</td>
<td>Joint Review and Implementation Support</td>
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<td>KfW</td>
<td>Kreditanstalt für Wiederaufbau (Reconstruction Credit Institute, German government-owned development bank)</td>
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<td>Logframe</td>
<td>Logical framework matrix</td>
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<td>MA</td>
<td>Management Agency</td>
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MBA Mass-Based Associations
MDG Millennium Development Goals
MDTF Multi Donor Trust Fund
M&E Monitoring and Evaluation (ESAP2 Component)
MDTF Multi Donor Trust Fund
MoFED Ministry of Finance and Economic Development
MoU Memorandum of Understanding
MDG Millennium Development Goals
MDTF Multi Donor Trust Fund
M&E Monitoring and Evaluation (ESAP2 Component)
MoFED Ministry of Finance and Economic Development
MoU Memorandum of Understanding
NGO Non-Governmental Organization
OM Operational Manual
QR Quarterly Report
PBP Participatory Budget Planning
PBS Protection of Basic Services
PCSO Proclamation on Charities and Societies
PET Public Expenditure Tracking
PFM Public Finance Management
PR Progress Report
PSNP Productive Safety Net & Household Asset Building Program
SA Social Accountability
SAIP Social Accountability Implementing Partner (Implementing CSO)
SoE Statement of Expenditure
SNNPR Southern Nations, Nationalities and People Region
STE Short-term Expert
SC Steering Committee
SC Steering Committee Meeting
TAG Transparency and Accountability Group
TECS Tracking Trends in Ethiopian Civil Society
TL Team Leader
ToR Terms of Reference
VNG Association of Netherlands Municipalities (Vereniging Nederlandse Gemeente)
WB World Bank

1 Rephrased into Promotion of Basic Services.
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# 1. Project Synopsis

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<th>Project Title</th>
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<tr>
<td>Contract Number</td>
<td>TF099878</td>
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<tr>
<td>Location</td>
<td>Ethiopia</td>
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<tr>
<td>Overall Objective</td>
<td>To 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.</td>
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</table>
| Specific Objectives           | 1. Service providers deliver qualitatively improved basic services in five focal areas to citizens.  
                                 2. Citizens empowered to demand for better basic services.  
                                 3. Citizens acquired skills to play a pro-active role in planning, budgeting, implementing and monitoring service delivery.  
                                 4. SAIPs capacity increased to empower citizens. |
| 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 |
| 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 |
| Project Duration              | Original: 22.5 months  
                                 Amendment 1: 38.5 months  
                                 Amendment 2: 50.5 months  
                                 Amendment 3: 50.5 months  
                                 (the duration period may further be increased in line with any increases of the budget in accordance with SCM decisions) |
| 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  
                                 (the budget can be adjusted from time to time with increases in the MDTF in accordance with donor commitments) |
| Date of Report                | 31 October 2013 |
| Reporting Period              | 01/08/2013/ to 31/10/2013 |
| Authors of Report             | Management Agency – ESAP2 |

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2 Education, health, agriculture, water and sanitation and rural roads.
2. Executive Summary

The current reporting period has been characterized by the fact that both Amendment 2 and 3 to the Grant Agreement were approved. The two endorsements resulted in an increase of the overall program budget which now totals close to US$ 23.5 million. The number of Social Accountability Implementing Partners (SAIP) currently benefiting from ESAP2 has extended from the original 30 to an overall total of 49 today. The amount for grants allocated for sub-projects to be implemented by the 49 SAIPs has increased to US$ 13.5 million.

The Management Agency (MA) in charge for the day-to-day monitoring and coordination of ESAP2 extended their number of staff employees with an additional training expert, an extra internal auditor, a finance officer and a grant coordinator. A second monitoring and evaluation expert will soon strengthen the ranks of the MA. As per 1 September a new team leader got involved on a permanent basis as well.

To keep the development partners up-to-date with the progress of ESAP2 and as preparation for the Steering Committee Meeting (SCM), which took place on 20 September 2013, three separate TAG meetings were scheduled during the current quarter. The MA participated in a PBS supervision mission to Somali region as preparation for the planned Joint Review and Implementation Session (JRIS) to be held in November 2013.

With regard to the progress on grant developments, the MA received with delay the second quarterly financial and technical reports from the first 30 SAIPs. There turned out to be serious inconsistencies in the majority of the financial reports which resulted in additional delays with releasing financial resources. The MA will release resources on a six-monthly rather than on a quarterly basis as from now to speed up the process, provided that the financial data submitted by the SAIPs will be in accordance with requirements.

The MA completed negotiations with 19 additional SAIPs in September. The total amount of the contracts with 16 additional SAIPs with whom a final agreement has been achieved reached a level of over US$ 4.0 million. The official entry date for each of the contracts was 1 October 2013 for an implementation period of 24 months until 30 September 2015.

All first group SAIPs (30) have been subject of a first external auditing during the current reporting period. The MA received only part of the final audit reports and will study these in the upcoming period.

The MA monitoring and evaluation section (M&E) was actively involved in the preparation and implementation of a nationwide baseline survey on ESAP2. The final report of the survey was released in August 2013 and the data served as an input to update the indicator level of the ESAP2 logical framework matrix.

The MA developed a standard monitoring protocol for field visits made by MA staff to check the progress of activities implemented by SAIPs. Involvement of key actors and scheduling briefing and debriefing sessions are an integral part of the protocol. In this way, the MA will keep every stakeholder abreast on the activities of ESAP2 in a particular Woreda and Kebele.

The M&E section is, together with the Capacity Development and Training (CD&T) unit within the MA, in charge for the assessment of the technical reports submitted by the
SAIPs. The M&E and CD&T section jointly started to make preparations for a benchmarking exercise to be organized as of January 2014 at regional level. Benchmarking sessions will be a learning exercise for SAIPs to exchange views on SA progress with peer organizations also involved in ESAP2.

The CD&T unit prepared a discussion paper on institutionalization of SA which was presented at the SCM of 20 September. The SCM has approved further discussion on strategic issues in the context of the emerging FTA/SA/GRM collaboration. A separate working group on guiding collaboration among these programs was established.

The CD&T unit developed a new design format for the pre-disbursement training which was organized in October 2013 for staff recruited by the 19 new SAIPs involved in ESAP2 implementation. Relevant guides, manuals and workbooks were updated to include the latest information. Together with staff of the new SAIPs, the MA also invited FTA coordinators, as well as representatives of MoFED, GRM and the ChSA to the training.\(^3\)

CD&T also completed a gender audit during the current reporting period. Main aim of the gender audit was to improve operations among MA staff to ensure that gender mainstreaming is incorporated at all levels of ESAP2 implementation.

The MA adjusted the procurement plan following the approval of Amendment 2 to the Grant Agreement which increased the overall ESAP2 program budget considerably. A formal no objection of the plan was received from the WB on 5 September 2013.

The MA considers visibility and communication a key aspect of ESAP2. An ESAP2 Newsletter will be published on a quarterly basis describing all relevant ESAP2 activities. The ESAP2 Website and Facebook page are used as information channels to share data with relevant stakeholders.

It is the policy of the MA to further strengthen horizontal linkages with programs and projects which have a direct relation with ESAP2 in order to share mutual experiences, to combine efforts and avoid duplications and/or overlap of activities and to aim at reducing the overall transaction costs on implementers at regional, Woreda and community levels.

The MA listed a number of key challenges at the end of this report of which staff turnover is considered to be an essential one. Other key issues touched are the delay in implementation partly caused by a late transfer of financial resources and partly due to other, internal reasons of which the poor communication between some of the lead SAIPs and sub-partners is one. SAIPs were urged to develop a planning and implementation schedule in which they clearly indicate how to catch up with delays in implementation to secure a timely and proper implementation of ESAP2 project activities.

Finally, information and observations from the field missions made by MA staff are a proper indication of the level of progress on ESAP2. Therefore, it is the MA policy to systematically plan monitoring field visits to check on the spot the level of implementation and the results on the ground.

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\(^3\) A separate training report with reflections on the training organized will be made available in November 2013.
3. Project Management

3.1 Introduction

The Ethiopia Social Accountability Program (ESAP2) being part of the Protection of Basic Services (PBS) program, is implemented by the Government of Ethiopia at Regional, Woreda and Kebele level. The project started in November 2011 and is financed through a World Bank (WB) managed Multi-Donor Trust Fund (MDTF). ESAP2 is governed by a Steering Committee (SC) which includes representatives of the Government, the civil society and development partners.

A Management Agency (MA) has been established to ensure efficient implementation and day-to-day co-ordination of ESAP2. The overall objective of ESAP2 is to strengthen the capacities of citizens, citizen groups and the Government through its service providers to work together in order to enhance the quality of basic public services delivered to the citizens of Ethiopia.

The current Quarterly Report (QR) is number seven in a series covering the period August – October 2013. The MA decided to adjust the content of the report considerably to put more focus on actual SA developments in the field, including support activities delivered by the MA to the implementing partners. By focusing more on direct field experiences and describing concrete cases, the MA has tried to provide an accurate picture of the current status of ESAP2 in general and the specific activity development level of the Social Accountability Implementing Partners (SAIPs) more in particular.

3.2 Management Developments

ESAP2 Development Status

The formal endorsement of Amendment 2 and Amendment 3 to the Grant Agreement has made allocations available to finance an additional number of 19 SAIPs. The number of SAIPs involved in implementation of ESAP2 has now reached a total of 49. With the formal approval of Amendment 2 and 3 to the Grant Agreement, the overall project budget increased to US$ 23,408,614. In Annex 2 to this report, an updated breakdown of the budget per category is presented.

The MA anticipated on the approval of both Amendment 2 and 3 by finalizing negotiations with the additional selected 19 SAIPs on time in order to give sufficient time to the SAIPs management to recruit their project staff and for the MA to prepare pre-disbursement training sessions scheduled for the period 1-19 October 2013.

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4 The MDTF is funded by the United Kingdom (Department for International Development - DFID), Ireland (Ministry of Foreign Affairs – Irish Aid), Germany (Kreditanstalt fuer Wiederaufbau –KfW, German Development Bank) and the European Union.

5 Amendment 2 to the Grant Agreement, financed through KfW, EU and Irish Aids funds, was signed by the WB on 25 July 2013 and countersigned by VNG International on 31 July 2013. Amendment 3, financed through Irish Aid, was formally endorsed by the WB on 18 September 2013.

6 Two sessions of one week each were scheduled (30 September – 5 October and 13-19 October respectively) in which representatives of SAIPs, Government and other stakeholders were trained and familiarized with the ESAP-2 program. Special emphasis was addressed to inter-institutional collaboration. Reference is made to section 4.3 of this report for an extensive description on the approach followed and first reflections of the training.
The entry date of the contracts with the additional 19 SAIPs has been 1 October 2013. This gives the SAIPs the opportunity to implement their project activities within the given project implementation period of 24 calendar months until 30 September 2015 which is three months before the overall completion of ESAP2 scheduled for 31 December 2015.

In summary, the current ESAP2 implementation status is as follows:

**Group 1: SAIPs 1-30**  
Implementation period: 1 January 2013 – 31 December 2014

**Group 2: SAIPs 31-49**  
Implementation period: 1 October 2013 – 30 September 2015

**Replacement ESAP2 Project Team Leader**  
VNG-HQ decided not to renew the contract with the previous team leader, Mr. Gerard van Mourik. His assignment ended in June 2013. In the period June-August 2013, the project director in charge for the ESAP2 program at VNG-HQ level, Mr. Rolf Swart, operated as interim team leader until a new candidate was recruited. The intended new team leader candidate, Mr. Rolf Hunink, travelled together with Mr. Swart to Addis Ababa mid-July to have an interview with a selected number of SCM members. The interview was held on 25 July with WB, DFID and MoFED representatives. The result of the session was a formal approval of the main stakeholders with the candidacy of the new ESAP2 project team leader, Mr. Rolf Hunink. It was agreed that the period of August 2013 would be used as a transition period where Mr. Hunink would gradually take over responsibilities from the interim team leader Mr. Swart. As of 1 September onwards, Mr. Hunink has become fully responsible as team leader for the management operation of the ESAP2 program.

**Recruitment Issues**  
Part of strengthening the capacity of the MA is due to a significant extension of its responsibilities, especially with the involvement of an additional number of 19 SAIPs meaning that additional experts had to be recruited to make sure that ESAP2 will continue to be managed in a smooth way.

The selection and recruitment process for an extra capacity development and training expert, a junior internal auditor, a finance officer, a grant coordinator and a driver were completed in September7. The selection report for the identified monitoring and evaluation expert was completed and shared with HQ and WB mid-October. In between, the capacity development and training expert and the junior internal auditor as well as the driver have already started their activities within the MA. The additional finance officer and grant coordinator are due to getting engaged shortly. At the same time, the financial manager has been designated as deputy project team leader.

**Transparency and Accountability Group**  
During the previous quarter, the Transparency and Accountability Group (TAG) met three times. The first session took place at the DFID premises on 3 September 2013. Two additional sessions were scheduled on 10 and 16 September respectively at the MA premises to discuss the ESAP2 logical framework matrix and the draft institutionalization note. The TAG session of 3 September was the first opportunity for the new ESAP2 team leader to touch base with the other participants of the group. The M&E and CD&T

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7 Formal approval from the WB for the capacity development and training expert and the junior internal auditor was received on 16 September 2013. Approval for the grant co-ordinator and the finance officer was received on 14 October 2013.
component leaders joined the team leader to the session. An update on SA developments within the ESAP2 program was provided as well as main managerial developments (approval of Amendment 2 to the Grant Agreement and staffing mutations). On the agenda of the meeting a discussion was planned on both the current logical framework matrix for ESAP2 as well as the draft institutionalization note. However, it was decided to schedule separate sessions on these two topics due to their complexity.

On 10 September TAG members met to receive a first-hand presentation on the draft institutionalization note prepared by the CD&T component leader. A fruitful discussion was the result with as main conclusion that the note provides a solid basis for discussion within the SCM. Especially the horizontal linkages foreseen with other components of the PBS program were seen as valuable.

On 16 September a follow-up TAG session was dedicated to the ESAP2 logical framework matrix again held at the MA office. There seemed to be some indistinctness among several TAG partners on especially the definition of the overall objective and specific objectives defined for ESAP2. A lively discussion was the result and agreement was reached on the fact that the MA together with the WB once again would study the logframe and wherever possible introduce changes to clarify things. A first discussion between the MA and the WB was held where few amendments to the matrix were introduced especially in relation to the indicators of achievement. The data collected through the baseline survey, completed in August, served as a direct input for making the amendments to the logical framework matrix. For more in-depth information on the baseline survey, reference is made to section 4.2.1 of this report.

**Steering Committee Meeting**

On 20 September 2013, members met at MoFED where the 45th Steering Committee meeting (SCM) was held chaired by the Minister of State, Dr. Abraham Tekeste. The MA was represented by the team leader and the M&E component leader. Based on a number of handouts, the team leader gave the SCM members an update of the current status of ESAP2. The extension of the program budget has resulted in an enlargement of the number of SAIPs benefiting through ESAP2. The overall number of SAIPs has grown from an initial group of 30 to 49 today. Such a massive expansion has resulted in the recruitment of additional staff for the MA.

It was reported that all staff attached to the new SAIP projects would participate in a pre-disbursement training session of one week scheduled for October 2013. From the MA side, the following topics were subject of discussion: collaboration with SAIPs, collaboration and information exchange with external organizations and related programs, field monitoring visits and the issue of communication and public relations.

In addition, the team leader provided a brief presentation on the institutionalization note following the previous discussion on this topic held in the TAG meeting of 10 September. An important outcome of the institutionalization discussion was the fact that the citizens engagement working group consisting of FTA/SA/GRM stakeholders, preparing a discussion note on intensification of mutual collaboration, ideally will have to take into

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8 The final version of the baseline survey report was circulated among the SCM members before the session of 20 September.
9 SCM members received on the spot an up-to-date a hard copy of the actual disbursements transferred to the first group of 30 SAIPs. In addition, the first Newsletter was distributed among the SCM members as well as a field monitoring visiting schedule which each member can enroll for whenever they find the time to participate.
account the suggestions presented in the separate institutionalization note. The MA suggested civil society organizations be invited to this working group.

Promotion of Basic Services

A Promotion of Basic Services (PBS-3) field supervision mission was organized as preparation for the upcoming Joint Review and Implementation Session (JRIS) to be held in November 2013. The mission was organized by the PBS Secretariat in the period 6-12 October to Somali Region. Main aim of the mission was to focus on cross-cutting issues in relation to PBS. In particular, the mission concentrated on assessing trends in regional public finance as well as progress on Public Finance Management (PFM) reforms, Financial Transparency and Accountability (FTA) developments (including the Grievance Redress Mechanism - GRM), procurement, PBS M&E systems and SA.

The mission had a theoretical and practical focus. The first two days, presentations were made by relevant stakeholders and intensive in-depth discussions held with Regional and Woreda officials in Jijiga town in order to get first-hand information about the current status and on-going developments and progress against indicators specified. The following two days were spent on visits to four selected Woredas, Kebribeyah, Awebere, Babile and Tulu Guled respectively. The final day of the mission was addressed to debriefing the Somali authorities about main findings and suggestions for adjustments to be made. The outcomes of the mission will become a direct input to the JRIS meeting planned for November 2013. The MA has received an official invitation from MoFED to give a presentation at the JRIS session on 15 November.

The ESAP2 team leader was part of the mission which turned out to be an excellent opportunity for him not only to touch base with staff attached to the PBS Secretariat, but also to meet and discuss with both MoFED and BoFED mission team members in the field. In addition, representatives from SAIPs lead and sub-partners were met and discussions with field coordinators held mainly addressing the progress on SA activities in the two selected Woredas where the SAIP is currently active, Kebribeyah and Tulu Guled.

Coordination problems between the lead and sub-partners and the recent adjustment of the action plan which was only submitted some three weeks before the site visit to the MA made that limited progress on SA had to be reported within the two visited Woredas where the focus was on SA. The lead partner also mentioned that delays in the release of financial resources made it difficult to progress. The MA discussed the issues internally and decided to send a separate mission to the Somali region in November in order to provide on the spot assistance to the partners with implementation of SA activities.

10 There was some confusion at the start of the mission about the Babile Woreda to be visited during the mission. Due to the fact that ESAP2 includes a project in Babile Woreda, the idea was that this Woreda would be subject of the visit. However it turned out that three years ago, a new Woreda separated from Babile because of tensions that raised between the Oromo and Somali people of the Woreda Babile which in those days formed one entity. Today however, two different Babile Woreda’s exist, one located in Oromia and one in Somali region. The one currently based in Somali region was subject of the visit.
4. Project Progress and Planning

4.1 Grant Management

4.1.1 Achievements

**SAIP Disbursements following Financial Reporting**

In the period covered by the current QR, the total amount of disbursements transferred to the 49 SAIPs involved in ESAP2 implementation has reached an overall level of US$ 3,633,585 which is 27% of the total allocated amount for sub-project grants. For a detailed overview of all disbursements, reference is made to Annex 3 to this QR. The allocated resources were used for:

- finalizing equipment purchase;
- conducting project launching events;
- creating SACs and organizing sensitization workshops;
- SA roll-out training;
- recurrent expenses (staff salaries, payment of utilities).

All SAIPs submitted their second quarterly technical and financial reports during the current reporting period. About 30% of the SAIPs however did not meet the deadline of 15 August and submitted their reports far too late. The grant team, who is the first MA access point for receiving the reports, forwarded the technical reports to the M&E and CD&T departments for a thorough screening. The financial reports were reviewed by the grants section and cross-checked by the finance team.

Unfortunately most of the financial reports did not meet the required basic standards developed by the MA. Following this, both the MA grant and financial teams had to dedicate a lot of extra time with the SAIP officers in charge for finance to make them understand that fundamental improvements of the reports are required and necessary corrections to be made, including the submission of lacking key documentation.

Clearly, this screening process has resulted in additional delays in the approval of the reports and successively in the transfer of a further disbursement tranche. However, SAIPs must understand that they have to meet the basic requirements which have been explained to them during the pre-disbursement financial training and following refresher training courses. By the end of October, fifteen financial reports were approved by the MA grant and finance teams and forwarded to HQ for a final screening. To reduce the cash flow shortage of SAIPs, the MA decided to release advance payments for quarter three and four in one batch to avoid any interruption of project implementation. If the final screening will not reveal any other inconsistencies, the next disbursement tranche can be transferred into the SAIP bank account.

**SAIP External Auditing**

During the ESAP2 project implementation period, SAIPs will be subject of three external audits. The first of these audits took place in the third quarter of 2013 and includes the auditing of SAIP financial expenditures for the first six months of project implementation.

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11 In order to accelerate implementation of SA activities and to catch up with a backlog in financial transactions to the different implementing partners, the MA decided to combine disbursement tranches 3 and 4 to make sure that SAIPs will not be short of financial resources which could have a detrimental impact on project implementation. Clearly, transfers will only be made following correct financial statistics and proved documentation submitted by SAIP financial departments.
(January-June 2013). Partners had to follow MA procurement procedures, in line with WB requirements. The grants team assisted MA procurement in reviewing 30 external audit selection proposals. All SAIPs received the MA approval for the applied procedure selection of the external auditor. Seventeen SAIPs finalized the external audit process and submitted the audit reports to the MA. A first assessment of the reports learned that improvements on the content are required. Main conclusion of the external auditors was that all expenditures made so far are eligible and no incorrect transactions have been observed. This sounds rather strange since the MA, as discussed earlier, had different experiences with some of the partners. The fact that some SAIPs simply do not deliver the correct financial information to the MA when requiring for an advance payment, the lack of crucial documentation and the misinterpretation of statistical data is reason to believe that there is a substantial discrepancy on what the external auditors have come across and what the MA has experienced in recent times. The MA is therefore looking forward to the detailed reports of the external auditors, including the methodology used. The audit reports will be screened thoroughly and possible corrective actions taken accordingly.

**Grant Negotiations with 19 SAIPs**

The MA finalized the negotiation process with an additional number of 19 SAIPs which have been selected following the approval of the second and third amendment to the ESAP2 Grant Agreement. The grant team coordinated the negotiations and each negotiation team included MA staff representing the grants, M&E, CD&T and finance sections. With the submission of their final proposal, it turned out that most of the SAIPs had not taken into account the comments made by the MA during the negotiation process. The MA team was therefore forced to spend more time than initially planned with each future SAIP separately to rework on a revision of the standard document in order to improve the quality of the proposal including detailed budget breakdown, action plan and logical framework matrix, to bring it all in line with what had been agreed upon during the negotiation process. By the end of October 2013, the MA signed agreements with an additional number of 16 SAIPs. The total amount of the contracts signed with the new SAIPs reached a level of US$ 4,008,813. With the final three SAIPs contract negotiations have not been completed yet but are expected to be finalized soon.

**Pre-disbursement Training**

The grant team was actively involved in the preparation and actual training of finance officers, project managers and focal points of sub-partners attached to the newly identified SAIP projects who participated in the pre-disbursement training. Session plans were developed, presentations and exercises in relation to ESAP2 compliance procedures prepared, including information on contract obligations and budget amendments. The grants training sessions during the pre-disbursement training touched critical parts of grant management. The very practical orientation provided trainees with the necessary skills and knowledge on grant management required comply with project implementation rules and regulations.

**Technical Assistance (TA) to SAIPs**

Most SAIPs request on-going technical support on how to include budget revisions for amendments of maximum 10% within a specific budget heading. The grants section assisted 10 SAIPs in developing budget modifications during the reporting period.

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12 The group of 19 new SAIPs had to recruit staff to be involved in ESAP2 when the basic negotiations were completed in September. In order to be able to send these new staff to the pre-disbursement training in Adama in October, SAIPs had to contract these employees as of 1 October 2013. Irrespective the fact that some details in the agreements between SAIPs and the MA had to be sorted out, it was accepted that the formal starting date of the agreement would be 1 October 2013 for a period of 24 months.
The grants team has developed its own management instrument through the Grant Advance and Settlement (GAS) sheet in which, in a systematic and detailed manner, all financial data and transactions are registered for each SAIP separately to provide full transparency. This GAS sheet is shared with the WB at regular intervals.

### 4.1.2 Challenges and Lessons Learned

**On Financial Reporting:**

- Low quality and incompleteness of financial reports from all partners created bottlenecks and delays in processing and finalizing disbursements. There is continuous contact with all SAIPs to meet deadlines and report in accordance with the standard procedures defined in the ESAP2 operational manual. Furthermore, SAIP staff is getting on-the-spot coaching advice from MA staff how to complete the financial reports. A major problem is the frequent staff turnover which requires the MA to invest continuously a lot of time in familiarizing new SAIP staff employees.

- The fact that both the contracting agency (WB) and the MA place high quality demands to the supply of correct financial data and related documentation submitted by the SAIPs to some extent has been an extra burden to the implementing partners as well as for the MA. However it is unthinkable that the fundamental procedures, rules and regulations will be eased which obliges the SAIPs to respect and act according to the “rules of the game”. The MA realizes that this could have direct negative repercussions on the time spent to clarify issues with financial departments of implementing partners. Nevertheless this is crucial in order to assure that correct financial reports will be submitted which will form the basis for a next financial transaction.

- External Audit reports were due in Q3. Therefore the financial report had a deadline of submission in August. Very few partners submitted financial reports before the deadline. Thus the MA only had effectively two months to review financial reports adding to the delayed disbursement for Q3.

- The grant negotiation process went smoothly. However, most SAIPs did not adhere to all the agreements listed in the negotiation memo document. This resulted in additional work for MA staff who had to review revised documents and discuss with SAIP focal points to reiterate agreements in the negotiations. This basically became a second round of negotiations with the same organization.

- Almost all partners requested for a budget modification. The budgets were standard to sign and finalize grant agreements. However, most SAIPs changed their action plan following the pre-disbursement training. With a better understanding of the project, partners are opting to re-budget and modify their current budgets. This process is not a simple exercise especially where the revision is more than 10% of a particular budget heading and when partners want to switch from budget heading. In addition, partners are delaying project implementation because their budgets do not correspond to the activities identified in their action plans.

### 4.1.3 Planned Activities for Next Quarter

- Finalize disbursements for quarter 3 and quarter 4 for the first 30 SAIPs. Starting with quarter 3 of 2013, the MA requests SAIPs to make a budget forecast for six rather
than three months in order to avoid that SAIPs will run out of financial resources which could give them an argument for not performing on schedule. The six month forecast will however not change the reporting requirements for SAIPs which will continue to be on a quarterly basis. With the new 19 SAIPs it has been agreed to apply the six month forecast from the start of their project activities;

- Finalize grant agreements with 19 new SAIPs
- Execute pre-disbursement training
- Provide technical support in development of procurement plan and final MA approval of the plan.
- Execute further quarterly disbursements
- Induction of new grants team member
- Finalize budget modification requests
- Coordination of third quarter financial and narrative report submissions of SAIPs for provisional MA approval
4.2 Monitoring and Evaluation (M&E)

4.2.1 Achievements

**National Baseline Survey**

The MA was actively involved in the design and final implementation of a comprehensive and nationwide baseline survey on ESAP2. The survey was designed to provide baseline information to enable pre- and post-program comparison. The survey focused on the potential ESAP2 target groups. SAIPs and other relevant stakeholders were involved in the initial identification of the target groups. Collected data were disaggregated by gender, age, region, Woreda and vulnerable groups (women, youth, disabled, people living with HIV and elderly). The data were used to update the ESAP2 logical framework matrix, including defining indicators with target setting to provide points for comparison. It also served to align the ESAP2 project with the overall PBS framework program. The final baseline survey report was published and shared with the ESAP2 SCM. As a result of the baseline survey, the matrix indicators with target setting and aspiration level achievement of the ESAP2 log-frame were fine-tuned and the document circulated to the SCM.

**Project Monitoring**

The MA developed a monitoring protocol for joint field visits made by MA staff (see: Annex 4). The purpose of the protocol is to provide field teams with a guideline which they have to follow systematically in order to be able to monitor progress the SAIP project activities have made, and to make comparisons between SAIPs possible. Field visits are jointly undertaken by two staff members representing different ESAP2 components. Field visits have been scheduled until the end of 2013. In November 2013, a first review of the field visit program will be executed. Following the review, a field visit plan for the first six months of 2014 will be prepared. Project monitoring is undertaken in coordination with BoFEDs, and with participation of SAIP project coordinators and M&E officers, service providers and sector officials and whenever possible, representatives of citizens and vulnerable groups.

During the current reporting period, site visits to 17 Woredas (in Addis Ababa, Afar, Oromia, Harari, Dire Dawa, Gambella and SNNP) where 13 SAIP lead- and sub-partners are active have been undertaken. A major observation as outcome of the visits has been that all SAIPs have completed the preparatory activities related to SA which include the establishment of representative Social Accountability Committees (SAC) at Woreda and Kebele levels, the provision of SA tools training for service users, service providers and Woreda officials, and the creation of Focus Groups representing citizens and service providers separately. Most of the SASs have started applying SA tools for service

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**Box 1: Stories from the Field (1)**

Amibara Woreda in Afar region is targeted by the Union of Ethiopian Women Charitable Association (UEWCA) in partnership with Rohi Weddu. After the SAC was established and trained, the members developed their action plan. The committee identified problems related to rural roads in their Woreda.

The committee members facilitated a discussion with Woreda officials, the rural roads desk and private investors on how to improve road access in their area. The Amibara Mechanized Agriculture farm Plc. welcomed their requests. The company mobilized its machineries, allocated budget for it and collaborates with community members to maintain the roads.
performance assessment with support from SAIPs. From the visits it was noticed that some SAIPs even started implementation of project activities irrespective of the delay in fund disbursement that followed their late and/or incorrect submission of quarterly reports (both technical and financial).

The established SACs are composed of community representatives, service providers, local government officials, members of vulnerable groups and persons representing CBOs (e.g. iddirs). Such an arrangement creates an excellent opportunity for vulnerable groups to get actively engaged in the service delivery performance assessment which enables them to finally demand for better services. Focus Groups are established and ready to apply the SA tools and as such to assess the delivery of basic public services against government standards among the members of their discussion groups.

The monitoring field teams had meetings with representatives of ordinary citizens and vulnerable groups to record their reflections about the SA project. They expressed that the SA activities, its tools and representation in SACs could enable community members to become more engaged with local governments in a constructive and meaningful way by using an evidence-based analysis.

Local government officials were approached during the field visits to receive their feedback on implementation of ESAP2 at local level. It has been evidenced that target citizens have information and are aware about the SA project carried out by SAIPs in their respective geographical areas. Feedback received from citizens and local officials touched areas such as the facilitation of SA tools to be applied, a strong involvement of local government officials, assigning capable community facilitators and a continuous follow-up on topics discussed in the SAC.

The participatory monitoring process contributes in creating a confidential atmosphere and gives a positive impetus to developing ownership among the different actors involved. Ideally, monitoring will have to result in an improved project performance and outcomes achieved, triangulating findings (e.g. from the quarterly SAIP reports) and improving local engagement.

After completion of a field visit, a field trip report is drafted which summarizes the main experiences of the team and includes corrective actions to be taken by the SAIPs to
improve performance. The MA organizes a debriefing session with the executive director of the responsible SAIP to discuss major findings as a result of the field trip.

For the pre-disbursement training organized in October, the M&E/CD&T team clarified and updated on certain activities, mentored on the technical aspects of the SA process and tools application as described in the original SA guide and implementation manual. Recommendations were made to exchange experiences/best practices on SA activities among SAIPs.

SAIPs prepare in a systematic way each quarter progress reports (both financial and technical) and submit these to the MA. The M&E and the CD&T team review the technical reports, assess the achievements against targets set and make recommendations for improvement.

Both M&E and CD&T have started making preparations, with the support of an external benchmarking specialist, to thoroughly analyze progress reports on the basis of a number of key issues. Benchmarking will be developed using the SAIP quarterly reports, the monitoring visit reports and the service benchmarking of the Ethiopian Government. It is planned to organize benchmarking events at regional level, starting as of January 2014. Main aim of the benchmarking exercise will be to bring together representatives of different SAIPs operating in the field in a particular region. SAIP representatives will then compare and exchange each other experiences and performance to identify standards of best practices. The benchmarking sessions will be a learning exercise for both the SAIPs as well as the MA.

4.2.2 Challenges related to SA Operations

- Initially, some Woreda officials and citizens had limited understanding about the ESAP2 concepts and demanded rather for physical infrastructure developments. The MA, together with the SAIPs will have to explain and keep on stressing in clear terms that ESAP2 is mainly focused on improving the access to service facilities and increasing the quality level of existing services.
- Local government officials and service providers are very busy as they are mainly engaged in prioritized government related activities which results in little time that can be allocated to SA project implementation. The MA will support SAIPs to show the benefits of the SA process to service providers, and that it pays off even during busy times.
- Reshuffling and/or turnover of the local government officials/service providers who attended SA training is a common problem throughout the country. The MA continuously underlines the importance of on-going sensitization workshops, so that gradually more and more citizens, providers and local officials become acquainted with the SA concept and will benefit from service delivery.
- In some regions and Woredas, targeted Kebeles are located far from the center of the Woreda. This can become sometimes a logistical nightmare, making it a true challenge to implement the project activities. The MA will support SAIPs to review their budget allocation for transport and assist them in making make resources available on time to field staff.

4.2.3 Lessons learned

- Continuous sensitization, proper coordination with key stakeholders (Woreda officials, service providers and community members) at regional and Woreda level
creates ownership for ESAP2 and enables stakeholders to proactively engage in the SA implementation process.

- Making use of existing community structures and committee members who gained practical experience through ESAP-1 helps a lot to better mobilize people, to identify target groups and to apply SA tools with a wide level of participation\(^\text{14}\).
- Integrating MA monitoring visits to SAIPs with sensitization of regional BoFEDs and other stakeholders has created a better understanding, increased collaboration and lubricated partnership between Government authorities and SAIPs. This will have a positive impact on implementing SA at Woreda level.

### 4.2.4 Planned Activities for Next Quarter

- Training and assisting the 19 new SAIPs in preparing and submitting qualitative quarterly narrative reports on time.
- Support the new SAIPs to establish their M&E system within the framework of the ESAP2 project.
- Review all 49 SAIPs quarterly narrative reports and supporting documentation.
- Conduct regular field visits to identify constraints and challenges faced by SAIPs and make suggestions on how to address constraints to enhance the outcomes of the project.
- Provide technical guidance and support to new 19 SAIPs to carry out their sector specific assessment
- Preparation for the SAIP learning benchmarks.

### 4.3 Capacity Development and Training (CD&T)

#### 4.3.1 Achievements

**“Social Accountability as a way of life\(^\text{15}\)” – discussion paper on institutionalization of SA prepared for the SCM**

The SC requested the MA to prepare a discussion note in order to guide SA institutionalization. In 2012, a draft note was circulated that focused on institutionalizing the ESAP2 activities. The second draft rather focused on strategic questions on institutionalizing SA beyond ESAP2 in the Ethiopian context. After internal discussion, a version was produced for external discussion with key SA experts, some ESAP-1 SAIP representatives and the Civil Society Coordination meeting. A final draft version was discussed in a special TAG meeting. The discussion paper was subject of the September SCM. The SCM has approved further discussion on strategic questions in the context of the emerging FTA/SA/GRM collaboration. The SCM agreed with the establishment of an working group to guide collaboration among these programs aiming for citizen engagement (PBS/B1) and to involve civil society representation. The three programs are putting together final touches to a report on complementarity and collaboration. Strategic questions on SA institutionalization are part of this report.

Critical issues that have been proposed for discussion and study in the FTA/SA/GRM expert group are:

\(^{14}\) Some SAIPs who operated already under ESAP-1 have gained experience with developing local organizational community structures that are still in place and can be used as a stepping stone under ESAP-2. For instance JeCCDO active in Bahar Dar during ESAP-1 managed to facilitate the establishment of a SAC which is currently still operational.

\(^{15}\) Phrase coined by Dr. Abraham, Chair of ESAP-2 SCM on behalf of MoFED.
- How can independence of citizen engagement be realized in the context of Ethiopia? Is it realistic to suggest that eventually SA in Ethiopia will be a balance between demand-driven and supply-led initiatives? In that case, how can citizens be protected when they hold service providers accountable?
- How to reward “ideal” behavior of service providers (individuals and facilities): What is in it for the service providers? Consider existing Government systems for learning and performance management, as well as monetary and non-monetary incentives.
- How to sustain a pool of FTA/SA/GRM experts (i.e. SAIP/NGOs, private consultants and Government experts) in Ethiopia? Consider how Regional and Woreda stakeholders might access the services of these experts, and consider who will pay.
- How to sustain citizen and civil service education and training for FTA/SA/GRM? How may this be organized and financed?
- What is the need for independent research and innovation and how may this be organized and financed? Consider options beyond a physical organization with permanent staff.

**New Design for Pre-disbursement Training**

With 19 new SAIPs coming on board, CD&T organized a mini-workshop among the ESAP2 components, to review and address issues raised during the evaluation of the first pre-disbursement training which was organized for a first group of 30 SAIPs earlier this year and to overcome implementation difficulties observed among these first grantees.  

**Figure 1:** ESAP2 Pre-disbursement Training Design for the October 2013 Sessions

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16 With 19 additional SAIPs a contract will be signed following the approval of Amendment 2 and 3 to the overall Grant Agreement.
Annex 5 to this quarterly report summarizes the key lessons learned from the first pre-disbursement training organized under ESAP2 in February 2013 for representatives of the first 30 SAIPs and the improvements applied during the second pre-disbursement training organized in October 2013 for 19 additional SAIPs.

The review of training and capacity development experiences thus far led to a complete redesign of the training sessions for the new 19 SAIPs, which practically followed the ESAP2 project cycle in a parallel layers of SA, M&E and Finance & Grants sessions, as illustrated in figure 1 above. In addition to the training redesign, various MA manuals have been updated, and a training workbook has been created per subject area, as follows:

- SA Guide
- SA Implementation Manual
- Monitoring and Evaluation Manual
- Operational Manual
- Workbooks per profession (i.e. Project Coordinator, Focal Point Sub-Partner, Woreda Coordinator, Monitoring and Evaluation Officer, Finance Officer, External participants, such as FTA, ChSA and MoFED, and Executive Directors).

The new training design had the following characteristics:

- The SA guide, tools and exercises are leading, but they were used in a different manner. The training program followed the SA process that the SAIPs will go through during project life. This enabled a more practical orientation. In addition to the SA Guide content, new content had been developed based on practical experiences of the first 30 SAIPs (i.e. establishing the SAC, identifying target groups and collaborators in
Next to M&E knowledge and skills, M&E officers were trained on the relevant SA process and tools.

Next to Grants and Finance content, Finance Officers were trained on the relevant SA process, to enable them to understand SA as a citizen, as well as the nature of costs under ESAP2.

Project teams were trained together, including project coordinators, Woreda coordinators, M&E officers and finance officers, as well as focal points and finance staff from sub-partners. This enabled team building from the start of the project. During the training, the teams worked together to review and improve their own project logframe, action plan and budget based on insights gained during the training.

Executive Directors were invited on the final day of training for a creative review of important insights gained by the project teams during the week. Special theme on this day was “communication and media”.

The MA also hosted a meeting with representatives of MoFED and ChSA. Representatives of the new SAIPs were trained in the first and third week of October 2013, the month in which their projects have started. The MA also invited regional FTA coordinators, to forge relations with SAIPs, as well as representatives of MoFED, GRM and the ChSA.

**Reflections on Pre-disbursement Training organized in October 2013**

Early October the pre-disbursement training took place in two rounds of five days each. Over 200 participants were trained from the 19 new SAIPs and their sub-partners. We also welcomed representatives from MoFED, ChSA and the regional FTA coordinators.

Previously, we had organized separate training for each professional group. This time, the whole project team was trained together in the same week. This enabled all participants to develop at least basic understanding of the Social Accountability process, and helped to build the project team. In addition, each professional group developed specific knowledge and practical skills:

- **Woreda Coordinators**: How to make a good start with the SA project in the Woreda; involve vulnerable groups and citizen representatives from the start, and network with others (e.g. FTA); train service users, service providers as well as Woreda officials in the selected social accountability tools; facilitate constructive dialogue at interface meetings; and prepare for sustainability.

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A separate report on the pre-disbursement training experiences will be published in November 2013 and distributed to relevant stakeholders.
• M&E Officers: How to do a rapid assessment, develop good indicators and set-up a good data flow; monitor and support Woreda coordinators; organize for ongoing documentation and quarterly reporting.
• Finance Officers: How to comply with Grant Obligations; work with the procurement plan, and account for expenditures; process budget modifications, and request funds; use the quarterly financial reporting formats in excel.

Under guidance of the Project Coordinators, teams started to revise and improve the logframe, action plan and budget based on lessons learned during the training. On the last day of the training, Executive Directors were invited to discuss partnership issues and to attend a creative review of important learning in the week.

The results of the training evaluation (week 1), illustrated in figures 2 and 3 below as well as the comments in box 3, showed a very high level of satisfaction with the training overall and the facilitation. Suggested improvements in the words of participants were:
• Pay special attention to newly employed team members: newcomers need deep and very good, especially relaxed training.
• Be careful not to ask participants to move a lot physically, i.e. use rooms that are easily accessible to all.
• It is not fair to disband participants in the afternoon, as transport becomes more difficult. (Note: in week 2 we allowed participants to stay in the hotel and depart the next morning.)
• A very fantastic training organized with practical exercises. To be successful please follow, comment and support us, even if possible out of your plan and do not leave the sub-partners to only the lead organizations.

We hope that these 19 new SAIPs will encounter less start-up and implementation difficulties than the 30 SAIPs that have gone before, but the proof is in the pudding.

Figure 2: Evaluation week 1 – Overall training

Figure 3: Evaluation week 1 - Facilitation
Gender audit of Grants, CD&T, and M&E support to SAIPs

One of the attributes of ESAP2 is the involvement of members of socially vulnerable groups in the sensitization and application of SA with the ultimate goal of improving service delivery. As gender is a cross-cutting attribute to all social groups, this attribute of identity and perspective is key to highlight and examine.

The aim of the gender audit assignment was to improve operations among MA staff to ensure that gender-mainstreaming is incorporated at all levels of ESAP2 implementation, which includes the development of project materials, program practices and capacity building and mentoring of the SAIPs.

An intern at the MA was supported to conduct the participatory gender audit. Key findings and recommendations of the gender audit are:

- All five public service sectors have a gender policy and several of these have practical guidelines for mainstreaming gender in the sector at Woreda level. ESAP2 could promote these sector policies and guidelines related to gender mainstreaming among SAIPs.
- There are opportunities to further improve gender mainstreaming in the manuals provided to SAIPs. Some MA staff has not been exposed to gender training and concepts of mainstreaming. ESAP2 implementation could benefit from investing in gender capacity for all staff.
- Gender mainstreaming is part of the M&E and CD&T strategy. When this is followed through, it holds promise for gender specific results in the SAIP projects, as per the logical framework.
- Several SAIPs have relevant gender experiences. ESAP2 could promote sharing these experiences among SAIPs, for instance as part of the learning benchmarks organized by the MA.

The final gender audit report will be available in October 2013.

4.3.2 Summary of SAIPs Training Data
The following data have been extracted from SAIPs Quarterly Narrative Reports for the period April-June 2013.18

- A total of 10,895 citizens, service providers and local government officials (male: 7,824; female: 3,035) attended familiarization and sensitization workshops. Female versus male representation is 38.8%.
- SAIPs provided training sessions for a total number of 581 Woreda officials and basic service providers (female representation was 175 being 30%) on SA tools, including CSC, CRC, and PBP.
- SAIPs performed training sessions for a total of 871 citizens on SA tools, their service entitlements and their responsibilities in planning, budgeting, implementation and monitoring of basic service delivery. For a breakdown of citizens per vulnerable group reference is made to table 1 below.

**Table 1: Breakdown of Citizen Participation in SA Training as per Vulnerable Group**

<table>
<thead>
<tr>
<th>Type of participants in SA training by SAIPs (April – June)</th>
<th># of participants</th>
</tr>
</thead>
<tbody>
<tr>
<td>Woman</td>
<td>403</td>
</tr>
<tr>
<td>Children</td>
<td>139</td>
</tr>
<tr>
<td>Elderly</td>
<td>48</td>
</tr>
<tr>
<td>Youth</td>
<td>144</td>
</tr>
<tr>
<td>People with disabilities</td>
<td>47</td>
</tr>
<tr>
<td>People living with HIV or AIDS</td>
<td>61</td>
</tr>
<tr>
<td>Other socially excluded people</td>
<td>127</td>
</tr>
<tr>
<td><strong>Total number of training participants:</strong></td>
<td><strong>871</strong></td>
</tr>
</tbody>
</table>

4.3.3 Planning and Budgeting of Training and Workshop until Project End

CD&T developed, in joint consultation with the other ESAP2 components, a joint training and workshop plan for all ESAP2 components till project end. The training and workshop plan and budget have been submitted for approval. In table 2 below, the main training activities are listed, including the duration, maximum number of participants and timing.

**Table 2: ESAP2 Training Plan for the period 2013-2015**

<table>
<thead>
<tr>
<th>#</th>
<th>Training/workshop</th>
<th># of days</th>
<th># of participants</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Pre-disbursement training new SAIPs (SA, M&amp;E, Grants and Finance)</td>
<td>5</td>
<td>200</td>
<td>x</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Regional workshop for BOFED, sectors and SAIPs</td>
<td>1</td>
<td>165</td>
<td>x</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Communication training for SAIPs</td>
<td>3</td>
<td>100</td>
<td></td>
<td></td>
<td>X</td>
</tr>
</tbody>
</table>

18 The quarterly reports of SAIPs for the current reporting period were not yet available at the time of writing this report. Data presented here were not yet available when the quarter 6 report was finalized.
4.3.3 Planned Activities for the Next Quarter

- Training and assisting the 19 new SAIPs to start up the SA projects, and developing capacity of the 30 SAIPs.
- Developing Public Expenditure Tracking Survey tool and training of SAIPs that plan to use this tool.
- Developing SAIP capacity for participatory video process and boost the ESAP2 YouTube Channel to reach the wider public with positive experiences of citizens, service providers and woreda officials about SA.
- Follow-up on the FTA/ESAP/GRM collaboration, in particular the SA institutionalization questions.
5. ESAP2 Support Services

5.1 Finance and Operations

5.1.1 Finance

**SAIP Fund Utilization**

One of the basic responsibilities of the MA is to ensure the proper fund utilization of ESAP2. A key mechanism through which the MA checks the proper utilization of funds is through the verification of quarterly financial reports submitted by SAIPs. During the current quarter (August-October 2013), the MA received quarterly reports in which SAIPs listed various workshops and/or training sessions which they conducted. Although the financial report review process is still in progress, it has been observed by the MA that there is an increased understanding among SAIPs about the financial reporting requirements of ESAP2. This has resulted in the SAIPs being today in a better position compared to previous quarters. The fact that the MA finance team provides on-the-job training and mentoring support to those SAIPs which have limited financial capacity has had a positive impact and contributed to a better understanding among SAIPs. In addition, the MA having had consultations during the SCM, took the initiative to simplify some of the requirements which were thought to be too strict for the collaborating SAIPs, however without infringing the basic rules and regulations of the ESAP2 project. A clarification letter with the relevant information was circulated among the SAIPs in September.

**External Audit**

VNG International HQ was subject of an external audit in June 2013\(^9\). The audit covered the period October 2011 until December 2012. The auditing team basically focused on HQ level in The Hague. The impact of the audit for the MA at field level was limited due to the fact that during the period of auditing a limited number of transactions at MA level had taken place. Observations and recommendations on asset management were addressed to both the MA and the respective SAIPs. All other recommendations basically covered topic areas for which HQ is in charge. The final audit report was shared and discussed with the WB, an Action Plan for addressing issues raised in the report was agreed and corrective actions will be taken in the upcoming period. The next audit, planned for spring 2014, will take place both at HQ in The Hague and at MA level in Addis Ababa.

5.1.2 Operations

**Procurement**

The MA revised the procurement plan following Amendment 2 to the grant agreement. Due to the fact that new budget amounts have been allocated to goods and services under amendment 2, the procurement plan had to be revised to accommodate these changes. The MA prepared a revised version of the procurement plan and submitted it to the WB, which gave its formal no-objection on 5 September 2013. Following the approval of the procurement plan, the MA managed to purchase a 4WD vehicle which will be mainly used for the planned field trips to the selected Woreda’s and Kebeles. Additional office equipment (furniture and computers) will be purchased once the new staff employees have started their operations.

\(^9\) The audit was conducted by the Indian based audit firm Lachan & Co. Chartered Accountants.
5.1.3 Challenges

- The quarterly financial reports submitted by the SAIPs were not up to the expectations of the MA and a lot of time has been spent in making necessary corrections on irregularities in the reports.
- There are a few SAIPs which lack the capacity to strictly discharge their responsibilities such as monitoring sub-partners and ensuring that expenditures are in line with the ESAP2 requirements.
- The delay in disbursing funds to the SAIPs is mainly attributed to the incorrect submission of financial data in the SAIP reports for which the respective financial departments are responsible. These omissions lead to lengthy and time-consuming back and forth discussions with SAIPs in order to clarify on pending issues. This unfortunately cannot be avoided as the MA has the obligation to only accept accurate reports that are based on correct financial data. The fact that the MA is short of manpower in the financial team may play a role as well but is of temporarily nature. It will be tackled by contracting shortly 1-2 new staff employees needed now that the original 30 implementing SAIPs have increased to an overall total of 49 through the approval of amendment 2 and 3 of the grant agreement.

5.1.4 Planned Activities for Next Quarter

- Finalize the review of financial reports of quarter 2 and 3;
- Support the 30 SAIPs to finalize and adjust their audit reports;
- Prepare the financial reporting and forecast template for the new 19 SAIPs;
- Provide on-going technical support to the SAIPs;
- Purchase of an additional 4WD vehicle, office equipment and furniture;

5.2 Communication and Visibility

**ESAP2 Newsletter**
The communication scan conducted in the previous quarter indicated a lack of awareness among media and public on ESAP2 and little knowledge of ESAP2 even among regional BoFED staff officers.

Following the outcome of the communication scan to promote visibility of ESAP2, the MA issued its first quarterly Newsletter in September 2013. The main aim of the Newsletter, which is published both in English and Amharic language, is to inform all stakeholders (the Ethiopian Government, SAIPs, CSOs and citizens, service providers, media, donors and other partners) about the progress ESAP2 has made during that particular quarter. The MA has distributed both soft (electronic) and hard copies to all ESAP2 project stakeholders. Hard copies were also distributed to representatives of the new SAIPs during the pre-disbursement training in Adama.

As a standard procedure, MA staff will carry hard copies of the Amharic version of the Newsletter with them while going on a monitoring field trip visit. From now on, an updated version of the Newsletter will be published and distributed on a quarterly basis.

**Stakeholder Communication**
Communication and information exchange on SA between the MA and regional BoFEDs has improved significantly. Following the recommendation resulting from the communication scan, every MA monitoring mission team going on a field trip will, as a
standard step, pay a visit to the regional BoFED office and discuss with the responsible officials the progress on ESAP2 and other issues in relation to SA and the implementing SAIPs active in that particular region. In this way a better understanding and collaboration between the BoFED offices and SAIP staff in charge for implementation of SA in the respective region is anticipated for.

The ESAP2 communication team has continued updating the ESAP2 Website and Facebook page posting news and sharing information with viewers to inform the public about the progress on ESAP2. The number of people who like the ESAP2 Facebook page has increased to 228 from 191 in the previous quarter. In addition media representatives will be informed through a press release about the official signing of grant agreements between the MA and the new group of 19 SAIPs.

**Media Skills Training**

As part of the pre-disbursement training, communication and media skills training was provided to new SAIP representatives who attended the training in October in Adama. The training aimed at sensitizing SAIPs on the importance of documenting their activities and equipping them with media skills including developing a media strategy and engaging with media so as to inform the public about the developments of SA in action.

**Documentary Video on ESAP2**

The MA plans to produce a documentary video showing the achievements ESAP2 has made by the end of the project. The video will feature the development of a selected number of SAIPs, representing different regions and operating in different sectors, covering their SA project implementation activities. The MA plans to start with such a video outline as of the next quarter in order to provide a realistic picture of the SA development process which includes project launching events, sensitization workshops building the evidence base for service access and quality, and interface meetings to find local solutions to service issues. Interviews will be conducted with all stakeholders involved in SA project activities including representatives of vulnerable groups, citizens, service providers, Woreda project coordinators and Woreda officials.

**5.3 Internal Auditing**

Following the Annual Internal Audit Plan, the Internal Audit (IA) section conducted audits on two SAIPs, the Women and Children Integrated Development Association (3-ILU) and the Migbare Senay Children and Family Support Organization (13-MSCFSO). Final reports of the two audits have been prepared and disseminated to the respective SAIPs. Although both organizations do have a solid financial system in place, the IA identified areas that need further improvement and follow up. These include but are not limited to:

- The per diem and transportation payment to participants of training/workshop sessions were not in line with MA requirements;
- Non-compliance on procurement procedures (mentioning brand names which is not allowed);
- Insufficient support and supervision by the lead organization to the sub-partners.

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20 As a matter of fact it is suggested that the MA and implementing SAIPs will have a fixed access point available at the BoFED office with whom the SA progress can be discussed and who can be kept up to date with on-going developments. In the JRISS mission to Somali region, the ESAP-2 team leader suggested to make the current FTA contact person at BoFED level also the main access point for SA.
In addition to these two SAIP audits, the IA section focused on the MA financial and operational activities audit. The audit task is completed and discussions were held and comments received on the draft report from relevant team members. It has been witnessed that the MA has a sound financial and administrative system in place for its day to day operations. The final report will be issued in the coming period, to be shared first with VNG HQ before overall publication.

One of the IA main responsibilities is to follow up on and discuss with SAIPs who have been subject of an audit on implementation of audit recommendations made. Feedback and status reports were received from four SAIPs who were audited in previous periods, Redeem the Generation (20-RtG), Wabe Children’s Aid and Training (14-WCAT) the Tigray Youth Association (11-TYA) and the Women Association of Tigray (18-WAT).

Additional activities performed by the IA section during the current reporting period have been:

- Summarized all previous SAIP audit reports and shared these anonymously with all SAIPs being a learning mechanism to them.
- Participation in a financial and organizational assessment of one new SAIP which resulted in a report that was shared with related team members.
- A session plan and relevant background documentation on internal and external auditing prepared for the pre-disbursement training for staff attached to newly selected SAIPs. The training was provided in the first and third week of October in Adama.
- The recruitment process of a junior internal auditor was completed and approved. The incumbent started his activities on 7 October. For a proper induction he will attend the second pre-disbursement training course in the period 14-18 October. With the extension of the IA section at the MA it is expected that the audit coverage of the SAIPs implementing SA project activities under ESAP2 can be increased considerably.

For the upcoming quarter, the IA section plans to conduct audits on five SAIPs, the Non State Actors Coalition (7-NSAC), the Ethiopian Orthodox Church Development and Inter-Church Aid (9-EOC-DICAC), the Oromia Development Association (16-ODA), the Union of Ethiopian Women Charitable Associations (25-UEWCA) and the Addis Ababa Women’s Association (27-AAWA).

Early December 2013, the MA senior Internal Auditor will travel to the Netherlands for one week to participate in an internal audit of ESAP2 at VNG HQ.
6. Stakeholders Co-ordination and Collaboration

6.1 Introduction

Due to the fact that ESAP2 is a key part of the PBS program, it is evident that a solid collaboration with related PBS components must be established, not only to avoid overlap and/or duplication of activities but especially to create transparency to the final beneficiaries of the program being the citizens of Ethiopia represented by Community Based Organizations (CBOs) and the Ethiopian authorities including the service providers.

6.2 Additional Related Activities

**Financial Transparency and Accountability**

In anticipation to the SCM of 20 September, a joint working group with representatives in charge for FTA/SA/GRM from MoFED and ESSAP-2 worked together on a note focusing on intensifying collaboration between the three sub-programs as there are many linkages between them. The working group prepared a draft note on the MA commented. A final draft version of the note was forwarded to the MA by mid-October.

Field experiences the MA had in recent times learned that there seems to be an excellent opportunity to make the mutual cooperation between especially FTA and MA become realistic. Due to the fact that the FTA sub-program has been already active for some years in the regions, there seems to be a solid institutional structure present at regional level. Rather than appointing new coordinators for the SA sub-component, it is recommendable to lay the responsibility of SA at regional level with the current FTA coordinators which will make the mutual collaboration more sensible.

**Tracking Trends in Ethiopian Civil Society**

The MA attended a debriefing workshop by Tracking Trends in Ethiopia Civil Society (TECS), on September 17, 2013 at Desalegn Hotel. TECS debriefed the Exposure Visits to Charities by FDRE Charities and Societies Agency (ChSA) staff. The exposure visits were organized based on TECS’ Training Need Assessment for the ChSA staff, which showed their limited exposure and knowledge about CSOs operations and field activities. In all 13 CSOs project sites were visited by four groups of ChSA staff together with local government officials.

During the debriefing workshop, each group presented their respective projects visit, including details of project activities and SWOT analysis. The general learning points have been presented in a TECS information bulletin. Highlights from a Social Accountability perspective were:

- The work of the charities visited is in line with government policy, and they have demonstrated how beneficiaries were identified and benefitted from need based and demand driven activities.
- Some charities may need special consideration as their ‘models of development’ may not fall within the framework and definitions of the Charities and Societies proclamation (e.g. multi-stakeholder interventions, including the private sector).
- Intermediary financing of other charities needs clarification and a set of guidelines to address operational challenges.
In the 70/30 guideline, transportation costs and capacity building activities need to be revisited because they are directly related operations; The IGA guideline will need to be revised to incorporate the concepts of cost recovery.

The ChSA director Ato Meseret Gebremariam stressed, among other points, that charities should work on real problems of target groups and avoid overlap with government activities.

**Civil Society Programs Co-ordination Meetings**

Two co-ordination meetings among the CS programs were held during the reporting period. In the August meeting, the MA presented the draft SA institutionalization paper for discussion and peer review. In the September meeting the focus was on the extension of the TECS program with an additional year. In the coming months, the MA hopes to further benefit from these meetings with sister organizations by exploring areas of collaboration, especially in the field of capacity development. There are possibilities to collaborate during the ESAP2 learning benchmarks for SAIPs, which may help with spreading SA practices. There is interest to discuss financing CS initiatives, such as future facilitation of SA processes.

**Visit Netherlands Parliamentarians to Ethiopia**

The ESAP2 Deputy Team Leader attended a dinner with members of the Dutch Parliament in August and briefed them on the ESAP2 program in general and the SA mechanism more in particular. Focus of the discussion was how SA can support the ongoing development in Ethiopia. It was agreed to schedule a trip to one of the SAIPs implementing a project in Ambo. Unfortunately this trip had to be cancelled from the side of the Parliamentarians due to an overloaded agenda. Instead they paid a visit to one of the implementing SAIPs in Addis Ababa to get first-hand information on their SA activities.
7. **ESAP2 Challenges**

7.1 **Staff Turnover**

As in so many other fast growing economies, the turnover of staff is a general problem in Ethiopia which also touches the ESAP2 program. In the previous period, the different SAIPs had faced serious difficulties with staff leaving the organization for various reasons. Clearly it is very difficult to stop the process of staff turnover. This can only be solved the moment the demand and supply of qualified staff are in balance. This unfortunately is higher economics which cannot be influenced by the program.

However, and this issue was discussed thoroughly during the pre-disbursement training in October in Adama with the executive directors of the SAIPs present there, there are mechanisms the SAIP management can use in order to minimize the risk of staff turnover. First, staff should receive a market related reimbursement for the work they are performing. Second, the working environment under which SAIP staff will have to operate should be solid and comparable to what similar organizations offer. Third, SAIP staff who received training under the ESAP2 program, should at least serve a minimum period under the project in order to guarantee that ESAP2 will not train staff officers of implementing partners who immediately after the training will leave the organization. In that case ESAP2 is only used as a “springboard” by staff to find a better position elsewhere. Fourth, in case a staff member anyway has decided to leave the organization, the SAIP management should always organize a de-briefing session with the respective employee in order to find out what the main reason(s) is(are) for his/her departure. In this way the organization will be able to adjust its human resources policy in such a way that the problem of staff turnover can decrease in time. Finally, the SAIP management is called on to make sure that, in case a staff member insists on leaving the organization, a transition period between the outgoing and newly recruited staff member is fixed in order to guarantee that the new staff officer has become familiar with the basic ESAP2 mechanisms and to avoid that the outgoing employee leaves the organization carrying all the institutional memory. The ESAP2 manuals and training workbooks can be used by SAIPs to introduce new staff to their job.

7.2 **Planning and Implementation of Activities**

The MA discovered that for various reasons described elsewhere in this report, some of the implementing partners are lagging behind with implementing project activities. In discussions with the SAIP management, the MA made very clear that the implementation period of the project is 24 months and that all project activities scheduled by the SAIPs should be completed within this period. Therefore SAIPs were advised to prepare a strict timeline between now and the project end date which clearly and systematically indicates the different project activities and which will give us the assurance that the project will be completed on time.

7.3 **Lead Partner versus Sub-Partner Relations**

The MA has signed agreements with lead implementing partners. However most of the lead partners involved sub-partners for project implementation in the different selected Woredas and Kebeles. Although in most cases the working relations between lead and sub-partner seem to work well, the MA has come across a number of cases where the communication between lead partner and sub-partner(s) is rather stiff. In some cases the lead SAIP provides little technical and/or financial support to the sub-partners who are in
fact implementing project activities. In these cases the MA has pointed the lead SAIPs on their responsibility. It is evident that we will follow-up these cases with special interest in the period to come. Clearly the responsibility for the operation of sub-partner(s) at field level is with the lead SAIP with whom the MA signed an agreement. Therefore in principle we will only interfere and take corrective actions if we receive signals that the working relation between lead and sub-partner(s) is harmful to achieving project outputs.

7.4 Disbursements

The disbursement issue is a continuous point of concern for the MA. In previous periods, the MA transferred to each of the SAIPs two disbursement tranches. However due to the fact that the first 30 SAIPs only started operations after the pre-disbursement training in February 2013, a first financial transfer was made only by the end of March 2013, covering the period January-March 2013. This situation repeated itself where the second disbursement was only transferred at the end of the second quarter of 2013 rather than at the beginning of that quarter. Needless to say that some of the SAIPs got into liquidity problems which prevented them from implementing project activities.

In September the MA made a severe adjustment to its financial policy and decided to merge disbursement number 3 and 4 covering the third and fourth quarter of 2013 in one single transfer in order to make sure that SAIPs would not be short of financial resources and worse, not be able to implement scheduled activities. With this adjustment the MA, rather than lagging behind in transferring financial resources, will ideally have transferred resources on time. However there is one key condition which decides whether financial resources will be released. Financial reports submitted by the respective implementing partners must be submitted in a consistent and complete manner to the MA. The experience in previous periods with financial reporting by the SAIPs learned that too often the MA had to ask for additional clarification and documentation which evidently delayed the entire process. The MA, by accepting the role of day-to-day project coordinator is bound to meeting the rules and regulations which have been set by the Contracting Agency. So are the SAIPs when they signed a contract with the MA which includes meeting standard project financial and implementation rules and regulations.

Considering the fact that as of 1 October 2013, 19 new SAIPs have come on board, and to avoid ending up in a similar situation as was faced with the first 30 SAIPs, the MA has decided to release at the start of project implementation by these new SAIPs one overall tranche which basically covers two quarters, the period October 2013 until March 2014. The new SAIPs have been requested to submit a detailed and revised action plan, including a financial forecast for the period October 2013 until March 2014 before 8 November 2013. Should the plan of action and financial calculation be correct, the transfer can be effectuated shortly afterwards which gives the SAIPs sufficient resources to plan and implement their first activities. However in case the submitted documentation is not complete, the MA is forced to contact the SAIP management and ask them for clarification which will almost certainly will create extra delays.

7.5 Follow-up on MA Recommendations

The field missions made by the MA in the recent period revealed a number of shortcomings at the side of the implementing partners. For instance one of the SAIPs was subject of an internal audit in June 2013. The final audit report, which disclosed a number of issues to be corrected, was thoroughly discussed with the management of the respective SAIP. Full agreement between the MA and the SAIP was reached that all recommendations would be introduced and become effective as of 1 August 2013. A
follow-up visit made in October learned that, although the respective SAIP had fully committed itself to introduce all corrective actions observed in the audit report, none of them have been followed up to date. Unfortunately, the MA has no instruments to enforce such corrective actions. The MA would welcome therefore if the SCM could discuss the topic of limited or no follow-up by the implementing partners of recommendations proposed by the MA.
Annex 1: Elaborated Project Synopsis

<table>
<thead>
<tr>
<th><strong>Project Title</strong></th>
<th>Ethiopia Social Accountability Program (ESAP2)21</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Contract Number</strong></td>
<td>TF099878</td>
</tr>
<tr>
<td><strong>Location</strong></td>
<td>Ethiopia</td>
</tr>
<tr>
<td><strong>Contractor</strong></td>
<td>VNG International in consortium with GOPA Consultants and YEM Consultant Institute</td>
</tr>
</tbody>
</table>
| **Name Contracting Authority** | World Bank
Ethiopia Country Office
Wollo Sefer, Bole Road,
P.O. Box 913/11111
Addis Ababa, Ethiopia |
| **Members of ESAP2 Steering Committee** | Government of Ethiopia
State Minister MoFED, SC Chair Ministry of Civil Service, Charity and Society Agency (ChSA) |
| **Civil Society Organizations** | PANE, CCRDA (Deputy Chair), COHRA |
| **Beneficiary** | Development Partners
Irish Aid, DFID, WB |
| **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** | Original: 26/06/2013
Amendment 1: 31/12/2014
Amendment 2: 31/12/2015 |
| **Project Duration** | Original: 22.5 months
Amendment 1: 38.5 months
Amendment 2: 50.5 months |
| **Program** | Original: 7.5 million US Dollars
Amendment 1: 14 million US Dollars
Amendment 2: 21 million US Dollars
*(this budget will be adjusted from time to time with increases in the MDTF in accordance with donor commitments)* |
| **Funders of the MDTF** | Ireland – Ministry of Foreign Affairs / Irish Aid
United Kingdom – Department for International Development (DFID)
Germany – Kreditanstalt für Wiederaufbau (KFW – German Development Bank)
European Union – Commission of the European Communities |

21 Part of the Promotion of Basic Services Program (PBS-2).
<table>
<thead>
<tr>
<th>Authors of Report</th>
<th>Management Agency – ESAP2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overall Objective</td>
<td>To strengthen the use of social accountability 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.</td>
</tr>
</tbody>
</table>
| Specific Objectives | ▪ Public basic service providers deliver improved quality public basic services in education, health, agriculture, water and sanitation and rural roads responding to community and citizens’ needs  
▪ Citizens’ and citizens groups’ are empowered and increasingly demand better quality public basic service delivery.  
▪ Citizens and citizens groups are aware of their responsibilities to plan, budget, implement and monitor public basic service delivery.  
▪ Increased capacity of SAIPs to empower citizens and citizen groups on use of SA tools, approaches and mechanisms. |
| 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, agriculture and rural roads. Through SAIPs, more commonly referred to as CSO implementing partners, the program will bring citizens into 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. |
| Expected Results | ▪ ESAP2 is effectively managed  
▪ A grant scheme is established providing grants to Social Accountability Implementing Partners  
▪ A robust M&E of SA-practices in Ethiopia is established and a learning initiative created  
▪ Capacities on SA are built for all stakeholders, notably (a) citizens and citizens groups, (b) civil society organizations, (c) local government officials and (d) service providers |
| Components | ▪ Component 1: Program and Financial Management (including operations management)  
▪ Component 2: Grant management (including management of the contacts with CSO partners in the regions)  
▪ Component 3: Monitoring & Evaluation (including benchmarking, baseline and follow-up surveys)  
▪ Component 4: Capacity building and training (including social accountability in general and project management for SAIPs) |
| Component 1 – | ▪ Responsibility for overall management, coordination and |
| Component 1 – Program and Financial Management | Program and Financial Management directions of the program as well as handling of preparatory steps, including the selection of SAIPs by use of appropriate selection criteria;  
- Prepare annual plans and budgets for the implementation of SAP for discussion and approval by the SC;  
- Establish and implement a financial management system for the program;  
- Prepare and submit quarterly and annual reports to the SC;  
- Organize an annual financial audit of ESAP2, including the utilization of grant funds by the grantee SAIPs; |

| Component 2 – Grant Management | Invite and appraise SAIP proposals, and select and sign contract agreements with the qualified SAIPs;  
- Ensure that SAIP-selected Woredas meet certain pre-agreed criteria;  
- Disburse grants to the selected SAIPs;  
- Oversee and manage the accounting of the grants disbursed to SAIPs;  
- Develop financial reporting procedures and templates and train the SAIPs on how to submit monthly, quarterly and annual financial reports using the templates;  
- Provide the SAIPs direction and training on procurement procedures. |

| Component 3 – Monitoring and Evaluation | Develop a program Log frame with consensus-driven performance indicators to guide management of program results;  
- Establish an M&E system for capturing program achievements and for sharing lessons learnt;  
- Establish and use an M&E reporting and information dissemination process;  
- Ensure effective communication of M&E findings to the SC as well as to SAIPs;  
- Commission baseline data collection to guide program implementation and mid-term reviews to make course correction and glean lessons learned;  
- Supervise and support ongoing on the ground monitoring activities 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;  
- Train SAIPs to design and implement an M&E system for their respective projects;  
- Train and support SAIPs to prepare and submit M&E reports regularly;  
- Review SAIP reports and supporting documents;  
- Conduct regular field visits to identify constraints and challenges faced by SAIPs and make suggestions how to address constraints to enhance the outcomes of the project;  
- Hold discussions and leave Aide Memoires behind with the SAIPs to highlight field visit findings and agreed actions. |

| Component 4 – Capacity Building and | Design socially inclusive and gender-sensitive SA -training and capacity building modules and training plan; |
| Training                                                                 | • Conduct training sessions in SA for relevant government officials, SAIPs and other stakeholders to enable them to engage effectively in the SA program;  
  • 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;  
  • Provide substantive direction, leadership and analytical guidance to SAIPs on the implementation of the SA 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.  
  • Establish sustainable capacity (“Centers of Social Accountability”) at selected regional universities or training institutions to provide training for longer-term goals. |
| Key Deliverables                                                      | • Inception report  
  • Program Log frame with expected outcomes and performance indicators  
  • M&E manual  
  • Grant manual  
  • Financial manual  
  • Annual work-plan, budget and action plan  
  • Training and capacity building annual plan  
  • Gender and local context sensitive social accountability training modules  
  • Program operational guidelines, including management, procurement, M&E template  
  • Baseline, mid-term and end-line surveys in Woredas  
  • Quarterly program and financial reports  
  • SA database; including website with on-line repository of the program’s database and relevant documents  
  • Training/capacity building workshop materials for SAIPs, service providers and other relevant actors  
  • Case study publications on assessment of experience and lessons learned  
  • Bi-annual program review and lessons learned dissemination workshops  
  • Media disclosure/dissemination of SA approaches  
  • Centers of Social Accountability  
  • Program completion report |
Annex 2: Detailed Breakdown of ESAP2 Project Budget

<table>
<thead>
<tr>
<th>Category</th>
<th>allocated grant in US$</th>
<th>% of expenditures to be financed (incl. taxes)</th>
</tr>
</thead>
<tbody>
<tr>
<td>(1) Goods</td>
<td>433,061</td>
<td>100%</td>
</tr>
<tr>
<td>(2) Consultants Services</td>
<td>2,602,899</td>
<td>100%</td>
</tr>
<tr>
<td>(3) Management and Coordination Services</td>
<td>6,194,451</td>
<td>100%</td>
</tr>
<tr>
<td>(4) Training &amp; Workshops (incl. media costs)</td>
<td>640,010</td>
<td>100%</td>
</tr>
<tr>
<td>(5) Grants for Sub-Projects</td>
<td>13,538,193</td>
<td>100% of goods, works and services</td>
</tr>
<tr>
<td><strong>OVERALL TOTAL</strong></td>
<td><strong>23,408,614</strong></td>
<td></td>
</tr>
</tbody>
</table>

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22 as per 18 September 2013.
### Annex 3: SAIP Disbursement Overview

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<thead>
<tr>
<th>No.</th>
<th>SAIP name (2)</th>
<th>contract amount</th>
<th>disburse 1</th>
<th>disburse 2</th>
<th>disburse 3</th>
<th>total</th>
<th>%</th>
<th>balance</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>SOS Sahel</td>
<td>300,000.00</td>
<td>51,699.00</td>
<td></td>
<td>71,561.72</td>
<td>123,260.72</td>
<td>41%</td>
<td>176,739.28</td>
<td>59%</td>
</tr>
<tr>
<td>2</td>
<td>NEWA</td>
<td>300,000.00</td>
<td>51,537.56</td>
<td>27,634.83</td>
<td>58,108.53</td>
<td>137,280.92</td>
<td>46%</td>
<td>162,719.08</td>
<td>54%</td>
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<tr>
<td>3</td>
<td>ILU</td>
<td>299,991.51</td>
<td>43,973.10</td>
<td>37,236.80</td>
<td>55,757.83</td>
<td>136,967.73</td>
<td>46%</td>
<td>163,023.78</td>
<td>54%</td>
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<tr>
<td>4</td>
<td>PICDO</td>
<td>299,994.68</td>
<td>45,897.81</td>
<td>29,003.39</td>
<td>69,878.07</td>
<td>144,779.27</td>
<td>48%</td>
<td>155,215.41</td>
<td>52%</td>
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<tr>
<td>5</td>
<td>HUNDEE</td>
<td>287,194.02</td>
<td>39,278.59</td>
<td>40,368.73</td>
<td>62,321.67</td>
<td>141,968.99</td>
<td>49%</td>
<td>207,546.70</td>
<td>72%</td>
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<tr>
<td>6</td>
<td>PDN</td>
<td>299,589.00</td>
<td>59,220.72</td>
<td>43,147.39</td>
<td>33,212.08</td>
<td>135,580.19</td>
<td>45%</td>
<td>164,008.81</td>
<td>55%</td>
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<td>7</td>
<td>NSAC</td>
<td>300,000.00</td>
<td>59,677.24</td>
<td>38,061.07</td>
<td>52,200.94</td>
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<td>8</td>
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**Additional Clarification Notes:**

With 1 out of the 19 newly selected SAIPs, contract negotiations have not been completed yet and thus the final budget is still provisional.

**SAIPs which still have a huge positive balance and did not request for a third disbursement.**

SAIP financial reports and disbursement approved by MA and forwarded to HQ for transfer of resources.

SAIP financial reports approved and disbursement request in process by MA.

Financial report review process not yet completed.
Annex 4: Standard Monitoring Field Visit Protocol

To facilitate monitoring of SAIPs by the MA, geographic clusters have been identified with staff employees representing different components, lasting 3-5 days, and following the systematic steps as described below:

- **Prepare the week before**: travel for purpose! Read the latest QR and action plans of the SAIPs you are planning to visit. Read the most recent MA visit report to that SAIP. Identify what you need to find out, in what you need to help the SAIPs with. Check if BoFED can join the field work. Send a reminder to the SAIPs about the upcoming visit.

- **Visit BoFED offices as applicable**: 1) Explain the purpose of the visit, share key lessons from the last quarter (use M&E analysis of all SAIP reports), and explain the “theme” of this quarter 2) Inquire what ESAP2 progress info has reached them through the quarterly PBS/FTA/ESAP regional meetings, possibly ESAP2 newsletter. Suggest SAIPs to represent the others in that region, who can attend these meetings on behalf of the MA. Together with SAIP representatives, pay a visit to the BoFED.

- **Visit SAIP offices and intervention sites**: Meet with SAIPs and discuss issues such as capacity development, M&E and/or financial/project managerial issues. Do not forget that we can also learn from on-going experiences. Note what is going well. Avoid spending too much time at on-going training and workshop sessions by SAIPs. Rather prepare and facilitate working sessions with project staff. Facilitate SAIP-to-SAIP contacts within the cluster-region. Other SAIPs should be the first resort in case of practical questions. If that does not work out, the MA can be contacted.

- **Visit Woreda officials**: Whenever possible, pay a visit to Woreda officials (FTA!) involved in the project together with the Woreda coordinator. Get their perspectives on progress, their ideas for sustainability etc.

- **Others, media**: Check on SAIP contacts with local media, radio. Check (video) documentation, tools translated, new tools developed (e.g., assessment of capacities at the start and end of a training, guide for community facilitators, any materials developed to fit the local context). Check on human interest stories related to issues raised by vulnerable groups and their specific service needs. Remember to check on gender dimensions! Support documentation and sharing in the Newsletter.

- **Debrief BoFED offices**: Share key lessons, especially related to service improvements and experiences of Woreda officials.

- **Data Collection Method**: During the monitoring visit, data will be collected through:
  - Interview the SAIPs including sub-partner staff using the monitoring checklist.
  - Discuss with key stakeholders (local officials at Woreda/Kebele level, sector offices heads and focal, targeted service providers, SAC members and ordinary citizens) on the SAIPs/sub-partners performances of the project and its collaboration with stakeholders.
  - Own observations.
  - Review of project performance documents including quarterly reports, event proceedings, workshop reports etc.

- **Reporting, written feedback to SAIPs, update on Facebook**: Write a report of the visit following the reporting template, with specific sections for each SAIP. Fill the M&E checklist for each SAIP. Send the relevant section of the report to the SAIP, including to staff you have worked with in the region. Select at least one interesting experience and post it, together with a picture on Facebook.

- **Filing**: File the report and M&E checklist (electronically and as hard copy) in the appropriate SAIP folder under Grants/SAIP name/monitoring and audit reports.
## Annex 5: Key lessons learned from first ESAP2 pre-disbursement training

<table>
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<tr>
<th>Summary Evaluation Findings Training 30 SAIPs</th>
<th>Adjustments to the Training Design</th>
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</thead>
<tbody>
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<td><strong>SA tools training</strong></td>
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</tr>
<tr>
<td>• Too many tools, not enough time: expose participants to tools they are going to use</td>
<td>• SA tools will be trained in parallel sessions and a learning session at the end of the day enables sharing.</td>
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<td>• Cover history of ESAP-1 and PBS, by ESAP-1 grantee, ESAP-1 SAC, FTA</td>
<td>• The intro session will include the video of and experience sharing from ESAP-1 SAIPs. A new session on sustainability includes ESAP-1 SAC experience.</td>
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<td>• More icebreakers and energizers</td>
<td>• The training design is more participatory and active</td>
</tr>
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<td>• Avoid overkill in explanation: quickly move to exercises</td>
<td>• Lectures have been reduced to a minimum</td>
</tr>
<tr>
<td>• Use existing experience in the room</td>
<td>• Better balance between using participant knowledge and offering new knowledge</td>
</tr>
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<td>• Same participants asking all the questions, encourage women to speak</td>
<td>• Facilitators will demonstrate how to enable everyone to speak</td>
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<td>• Some cases not practical and not relevant enough for context in Ethiopia (suggestions: use CSC case in SA guide as an exercise; GRB develop practical case)</td>
<td>• Redesign of exercises to fit better with the Ethiopian context. CSC will be used to follow through a complete SA process, including interface meetings and monitoring of Joint Action Plans</td>
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<td>• Presentations in Amharic</td>
<td>• Training will be in Amharic only, with slides and written materials in English</td>
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<tr>
<td>• More time for action plan development</td>
<td>• Time for the review of project logframe, action plan and budget</td>
</tr>
<tr>
<td>• Include facilitation skills for Woreda coordinators</td>
<td>• Will be included in a new session “Interface Meetings”</td>
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</table>

**M&E Training**

• Number of training days needs to be longer up to 5 days; introduce SA concepts and approaches within the M&E training

• Provide this training to other key

• M&E officers will participate in the 5 day SA training. At times, parallel M&E sessions will take place

• Project coordinators and Woreda
<table>
<thead>
<tr>
<th>Summary Evaluation Findings Training 30 SAIPs</th>
<th>Adjustments to the Training Design</th>
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</thead>
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<td>staff of ESAP2</td>
<td>Coordinators will attend basic M&amp;E sessions</td>
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<tr>
<td>• Some relevant topics needs more time like the log frame</td>
<td>• The training will include MA logframe, indicator design, and review of the project logframe.</td>
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</table>

#### Grants and Finance Training

| • The training needs practical exercises, not just theory | • Exercise have been designed for all major Grants and Finance tasks |
| • Limited participation from the trainees, not enough energizers | • The training design has a better balance between using existing knowledge of participants and adding ESAP2 specific requirements |

- Two days is not sufficient
- More time for financial reporting
- Make financial reporting format and requirements more practical
- ESAP2 MA should exert effort to convince the ChSA to give exemption on 30/70 for this project, otherwise it is difficult to comply with it

• FO will participate in the 5 day SA training. At times, parallel Grants and Finance sessions will take place.

• There will be several practical sessions on budget modification, spending and accounting, budget forecasting, and quarterly reporting.

• Improved templates will be used

• The ChSA will be invited, or TECS will be present to discuss 30/70 concerns of participants.