

Ministry of Finance (MoF)
Channel One Programs Coordinating Directorate
(COPCD)

Ethiopia Social Accountability Program (ESAP3- IDA20)
Under the ESPES-AF Program

Implementation Guide

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List of Acronyms

ACSO	Authority for Civil Society Organizations
BoFED	Bureau of Finance and Economic Development
CBO	Community Based Organization
COPCD	Channel One Programs Coordinating Directorate
CRC	Citizen Report Card
CSC	Community Score Card
CSO	Civil Society Organization
DPs	Development partners
ERA	Ethiopian Roads Authority
ESAP	Ethiopian Social Accountability Program
ESPES	Enhancing Shared Prosperity through Equitable Service
FDRE	Federal Democratic Republic of Ethiopia
FTA	Financial Transparency & Accountability
GRM	Grievance Redress Mechanism
GTP	Growth and Transformation Plan
IDA	International Development Association
JAP	Joint Action Plan
MA	Management Agency
MBOs	Mass Based Organizations
MDTF	Multi-Donor Trust Fund
MoA	Ministry of Agriculture
MoE	Ministry of Education
MoF	Ministry of Finance
MoH	Ministry of Health
MoW E	Ministry of Water and Energy
NGO	Non-Governmental Organization
PLWHA	People Living with HIV/AIDS
PSNP	Productive Safety Net Program
SA	Social Accountability
WoFED	Woreda Office of Finance and Economic Development
WSAC	Woreda Social Accountability Committees

I. Introduction

The Ethiopian Social Accountability Program (ESAP) was introduced as a pilot during the first phase of the Protection of Basic Services project to test a small range of Social Accountability (SA) tools, approaches, and mechanisms in 80 Woredas. The objective was, “strengthened use of SA tools, approaches and mechanisms by citizens, Civil Society Organizations (CSOs), local government officials, and service providers as a means to make basic service delivery more effective, efficient, responsive and accountable”. Between 2011 and 2018, the second phase of the program ESAP 2 scaled up SA into 240 Woredas with a focus on the core basic social services sectors of health, education, water, agriculture (including the PSNP) and rural roads throughout the country using a range of SA tools and mobilizing more than 100 local CSOs as facilitators of SA.

Building on the lessons from the first two phases of the program, the current third phase ESAP3 (2019 – 2023) aims at *‘supporting the strengthening of SA systems and mechanisms for improved basic service delivery in Ethiopia’* by reaching out to 500 Woredas and with a focus on deepening and expanding SA by taking more lasting steps toward institutionalization and sustainability. ESAP3 is underpinned by a theory of Changeⁱ that **‘a responsive government and engaged citizens lead to better quality service delivery’**. This rests on the idea that service delivery will improve if a transparent and accountable relationship is built between service users, service providers and affected government departments.

Social accountability fits well with the Government of Ethiopia’s core development and democratic goals enshrined in its constitution. There are several provisions in the FDRE constitution that promote citizens’ engagement, such as:

Article 12: Conduct and Accountability of Government,

- Sub Article 1: The conduct of affairs of government shall be transparent.
- Sub Article 2: Any public official or an elected representative is accountable for any failure in official duties.
- Sub Article 3: In case of loss of confidence, the people may recall an elected representative. The particulars of recall shall be determined by law.

Article 50 (sub-article 4):

State government shall be established at State and other administrative levels that they find necessary. Adequate power shall be granted to the lowest units of government to enable the People to participate directly in the administration of such units.

Article 89 (sub-article 6):

Government shall at all times promote the participation of the People in the formulation of national development policies and programs; it shall also have the duty to support the initiatives of the People in their development endeavors.

Citizen engagement has also been given *adequate attention in government policy framework as articulated in GTP I and II documents.*

The first and foremost principle of good governance as expressed in the GTP I document is to ensure *public participation*.

- Good governance under the GTP is meant to enhance transparency and accountability thereby to combat corruption and bring development,
- Public participation strategy was developed and put in place in order to strengthen public engagement where government offices are required to regularly hold consultative forums with the public,
- Every government office is now required to identify and engage sustainably relevant community groups, civic society organizations or the private sector (public wing) before it make any major decisions.
- A series of awareness creation and capacity building forums were conducted at federal and regional level to enhance the participation of the public in the planning and implementation process.

GTPII: Like the first Growth and Transformation Plan, the second GTP incorporates as well the ideals of democracy, expressed in the context of good governance.

- The plans aims at fiercely combating corruption and rent seeking through enhanced capacity of the civil service and citizen engagement at all levels of government structures.
- Woreda & Kebele councils are meant to serve as platforms to increase public participation and democratization process,
 - Consolidating the on-going public mobilization and organized participation is emphasized to ensure that the public become both owners and beneficiaries from development outcomes
 - Focus is being made as well to strengthen the legitimacy and oversight capacity of federal and regional councils.
- Ethiopia has put the agenda of good governance at the heart of its various development policies to alleviate corruption and promote development. Among such strategic initiatives taken by the government include;
 - ✓ **Public sector reform programs;**
 - Delivering government services in an open, accountable and fair manner is recognized as a problem
 - Various reform programs are being undertaken to ensure the effectiveness of governance system (tax, land administration, public procurement, public financial management, project contract administration, combating corruption and rent seeking, civil service reform),
 - ✓ **Institutional set up** to steer the citizen engagement process (EIO, Ethics & Anti-Corruption Commission, Human Right Commission, Ministry of Civil Service & Human Development, etc.,)
 - ✓ **Communication Proclamation No. 158/2001** :Public relations departments /units were set up in all government entities at Federal, Region, zone, woreda,

Kebele with a view to provide information from government to public and vice versa

- ✓ **Mass Media proclamation 590/2000**...provision related to citizens' rights in getting information
- ✓ **Formulation of Service Charter by government entities specifying;**
 - Type of service the entity provides
 - Where service is provided
 - Service Standard by time, quality, cost etc
 - Preconditions to be fulfilled for getting the services

From a programmatic perspective, ESAP is anchored in the Citizens Engagement component of the Enhancing Shared Prosperity through Equitable Service (ESPES)¹ Program which aims to help improve delivery and quality of services at Woreda and Kebele levels through an institutionalized system for transparency and accountability that is socially inclusive and responsive to local needs. The citizen engagement component of ESPES has the following three sub-components:

- i. Financial Transparency & Accountability (FTA);
- ii. Social Accountability (SA); and
- iii. Grievance Redress Mechanism (GRM).

ESAP3 has three major project components that work together to deliver its objectives. Component I is the operational core of the project and includes the implementation and expansion of the SA tools and approach. Component II is an area of greater emphasis in this phase and is focused on embedding SA within basic service delivery institutions and systems of government through a long-term process. Component III is composed of the elements that support the management and overall functioning of the project including learning and knowledge management. Focus on the inclusion of vulnerable groups and a strong emphasis on the promotion of gender equality regarding access to basic services remains a cross-cutting strategy in all ESAP3 operations.

ESAP3 is funded by two separate funding flows, The Multi Donors Trust Fund supported by development partners and executed through ESAP-MA (VNG International) and the IDA funded ESAP directly executed by the Ethiopian government through MoF-COPCD and regional BoFEDs with a primary focus on sustaining and institutionalizing positive SA practices and outcomes in government service delivery systems in the long term.

This guide is prepared to serve all agencies and institutions at Federal, Regional, Woreda levels entrusted with the execution, coordination and monitoring of the Ethiopian Social Accountability Program. It is primarily intended to support and guide the day-to-day work of government staff assigned to coordinate ESAP activities in Woreda Finance Offices (WFOs), regional bureaus of Finance & Economic Development (BOFEDs) and the SA Unit at COPCD-MoF. In addition, the

¹ Enhancing Shared Prosperity through Equitable Services (ESPES) Program Appraisal Document (MoF-World Bank), August 2017

guide elaborates on the roles and functions of the various ESAP actors at local government levels to support the active participation and contribution of Woreda Social Accountability Committees (WSACs) and Woreda basic Sector offices in implementing ESAP and sustaining its development outcomes.

The guide shall be used in alignment with other relevant government policy regulations, directives and guidelines issued to enhance citizen engagement in the delivery of basic public services. It shall as well be used in complementarity with project specific technical and operational manuals and procedures in place for ESAP implementation and institutionalization as appropriate.

II. What is Social Accountability?

2.1 Accountability Defined:

To explain the concept of social accountability it is important to first start with a concrete definition of accountability.

- **Accountability** can be defined as the *obligation of power holders to account for or take responsibility for their actions*. “Power-holders” refers to those who hold political, financial, or other forms of power and include officials in government, private corporations, international financial institutions, and civil society organizations.
- Our focus here is specifically on the accountability of government actors toward citizens and, and a fundamental principle of good governance is that citizens have the *right* to demand accountability and public actors have an *obligation* to account.

2.2 What should government officials and service providers be accountable for?

- a) **Conduct:** They must obey the law and conduct their day-to-day affairs as per set government standards and principles and should not abuse their powers.
- b) **Performance:** They should serve the public interest in an efficient, effective, and fair manner.

2.3 Internal Accountability Mechanisms:

All states have some form of mechanisms in place to promote or ensure accountability of public servants. Systems of accountability that are internal to the state are often referred to as “**horizontal**” **mechanisms of accountability** (Schedler et al. 1999). These include:

- (i) *Political mechanisms* (e.g., constitutional constraints, separation of powers, the legislature and legislative investigative commissions);
- (ii) *Fiscal mechanisms* (e.g., formal systems of auditing and financial accounting);
- (iii) *Administrative mechanisms* (e.g., hierarchical reporting, norms of public sector integrity, public service codes of conduct, rules and procedures regarding transparency and public oversight), and;
- (iv) *Legal mechanisms* (e.g., corruption control agencies, ombudsmen and the judiciary) (Goetz and Gaventa, 2001).

2.4 Social Accountability Defined

- **Social accountability** can be defined as *an approach towards building accountability that relies on civic engagement, i.e., in which it is ordinary citizens and/or civil society organizations who participate directly or indirectly in exacting accountability (WB:2005)*
- Mechanisms of social accountability can be *initiated and supported by the state, citizens or both and* social accountability mechanisms are sometimes referred to as *“external” or “vertical” mechanisms of accountability*
- Social accountability *mechanisms are therefore intended both to complement and enhance conventional mechanisms of accountability.* “Internal” (state) and “external” (social) mechanisms of accountability *can and should be mutually reinforcing.*
- It has been argued that impact is greatest and most sustainable when social accountability mechanisms are *“institutionalized” or when the state’s own “internal” mechanisms of accountability are rendered more transparent and open to civic engagement.* (Goetz and Jenkins, 2001).

To summarize SA can be defined as:

- The *broad range of actions and mechanisms that citizens can engage in* to hold the state (represented by public officials and service providers) to account, as well as actions on the part of government, civil society, media, and other societal actors that promote or facilitate these efforts

2.5. Why is social accountability important?

A) Improved governance

- Accountability of public officials is the cornerstone of good government and a *prerequisite for an effective democracy.* At the present time, when notions of citizens’ rights and responsibilities are evolving and expanding, relations between citizens and their governments are characterized by what some have termed “a crisis of legitimacy” (Gaventa, 2002) or simply a “governance crisis” (Paul 2002).
- Citizens in both the North and South express growing disillusionment with their governments – citing a lack of responsiveness, abuse of discretion, corruption, favoritism and weak accountability on the part of public officials and bureaucrats. (Commonwealth Foundation, 1999, Narayan et al. 2000).
- Especially in developing country contexts, the effectiveness of conventional “horizontal” mechanisms of accountability have proved limited. Elections, the principal traditional “vertical” mechanism of accountability, have also proved a weak and blunt instrument for holding government officials and employees accountable for specific actions, especially where such elections are not held in a fair, free and transparent manner.
- Social accountability mechanisms allow ordinary citizens to access information, voice their needs, and demand accountability between elections.

- Emerging social accountability practices enhance the ability of citizens to move beyond mere protest toward engaging with bureaucrats and politicians in a more informed, organized, constructive and systematic manner, *thus increasing the chances of effecting positive change.*

B) Increased development effectiveness.

- This is achieved through **improved public service delivery and more informed policy design.**
- In many countries, especially developing ones, notwithstanding unavailability of adequate resources, governments fail to deliver key essential services to their citizens due to problems such as:
 - a) Misallocation of resources,
 - b) Leakages/corruption,
 - c) Weak incentives or a lack of articulated demand.
- Similarly, governments often formulate policies in a discretionary and non-transparent manner that goes against the interests and actual priorities of the poor. These problems are prolonged because the three key groups of actors in the public policy and service delivery chain-**policy makers, service providers and citizens**-have different (sometimes conflicting) goals and incentives, compounded by information asymmetries and lack of communication.
- By **enhancing the availability of information, strengthening citizen voice, promoting dialogue and consultation between the three groups of actors** and creating incentives for improved performance, social accountability mechanisms can go a long way towards improving the effectiveness of service delivery and making public decision more transparent, participatory and pro-poor.
- Since **poor people are most reliant on government services and least equipped to hold government officials to account, they have the most to gain** from social accountability initiatives.

C) Greater Citizen Empowerment:

Social accountability initiatives can lead to empowerment, particularly of poor people.

- Research shows that poor people's dissatisfaction with government relates largely to issues of responsiveness and accountability. Poor people report that state institutions are "often neither responsive nor accountable to the poor" and "not accountable to anyone or accountable only to the rich and powerful" (Narayan et al. 2000, pp. 172 and 177).
- By providing critical information on rights and entitlements and soliciting systematic feedback from poor people, social accountability mechanisms provide a means to increase and aggregate the voice of disadvantaged and vulnerable groups.

- Social accountability interventions provide a means to enable the disadvantaged and marginalized in society to express voice, claim rights, and realign state–society relations to influence power distribution (Derick W. Brinkerhoff et.al, 2015 pp. 275)

III. The Ethiopian Social Accountability Program (ESAP)

3.1 ESAP Objectives and Components

Objectives: Within the overall ESAP 3 project development objective of ‘Support strengthening the SA system and mechanisms for enhanced service delivery in Ethiopia’. IDA financing to ESAP 3 will primarily be used to:

- A) Takeover, institutionalize and sustain SA practice in the MDTF program Woredas based on a gradual handover time frame to be agreed on with the MA and.
- B) Build supply side² capacities to open for and embed SA mechanisms and processes in their mandated public service delivery and oversight roles and functions.

Program Components: As with the MDTF, IDA financing will support all three components of the ESAP program.

Component 1– Sustaining and Institutionalizing SA: This component focuses on fostering accountability and responsiveness of public service providers and decision makers by implementing and sustaining SA approaches and mechanisms in all ESAP Woredas through.

- A) Organizing and executing a gradual ESAP Woreda Handover-Takeover process between MDTF-MA and IDA20-MoF and start IDA operations on the ground and,
- B) Implementation of the Social Accountability cycle

Component 2 - Building and Strengthening Supply Side Capacities for SA: This component focuses on building the capacity of supply side actors to create awareness about SA and support them embed SA within their normal service delivery mandates and functions. Building supply side capacity will involve:

- a) Organizing and delivering capacity development interventions that aim at *embedding SA mechanisms in public service delivery planning, budgeting, and monitoring processes.*
- b) *Strengthening Government accountability and oversight structures* at decentralized levels to integrate and sustain SA initiatives in their mandated roles and functions.
- c) Partnering with and strengthening key government stakeholders working in the areas of engaging citizen groups and civil society for accountable and improved delivery of public services.

² While supply side accountability refers to SA mechanisms in government both by public service provider agencies and public oversight structures (such as parliament, auditor general ombudsman, etc), demand side social accountability refers to SA mechanisms practiced by citizens, citizen groups and civil society.

Component 3 - Project Management, Coordination and Monitoring

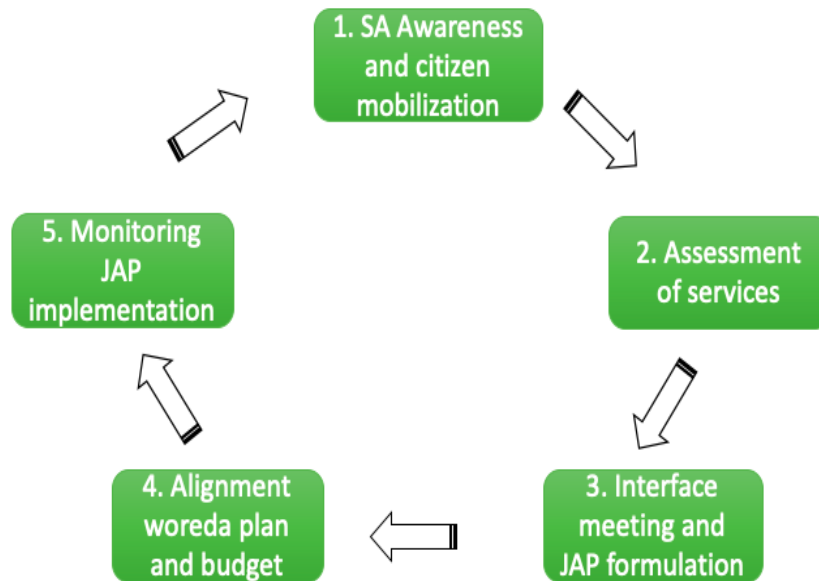
This component will work to ensure that.

- a. The SA program is effectively managed through efficient deployment and management of IDA20 human, financial and material resources.
- b. SA knowledge and experience is shared on local, regional, and global levels for better collaboration, synergy and impact and.
- c. The project has in place an effective and functional monitoring and evaluation system ensuring value for money and effective program delivery/steering and decision making.

IV. The SA Implementation Cycle

Within the context of ESAP, the SA cycle consists of five distinct but interrelated steps that are intended to facilitate a conscious, deliberate, and collaborative engagement process between citizens and service providers for improved delivery of public services at decentralized level as depicted in the Diagram 1 below.³

Diagram 1. Social Accountability cycle



Source: ESAP-MA (2020)

Step 1: SA awareness raising and citizen mobilization

This is the starting point in the SA cycle where citizens are made aware of their service rights and entitlements and mobilized for collective action to demand better services. It involves taking the following action steps.

³ ESAP –MA Strategy Document (2021-2023) December 2020

- 1.1 *Identify and organize representatives of citizens, particularly vulnerable social groups (such as women, youth, the disabled, the elderly and PLWHAs), to participate in the SA process.*
- 1.2 *Access citizens with information on service standards, entitlements and provide them with training on the SA process*

This step requires carrying out the following activities.

- a) ***Organizing and delivering training for selected representatives of CBOs, vulnerable groups and service user groups in particular; on government service standards and citizen service entitlements and on the SA processes***
- b) ***Training of CBO representatives on SA tools and processes; including on gender and social inclusion tools, to ensure that the service needs, and priorities of marginalized community groups are taken in to account in government planning and budgeting processes.***
- c) ***Putting local government oversight structures on board the SA process by providing SA training for selected members of standing committees of woreda and kebele councils***
- d) ***Working with basic sector ministries, and their counterparts, regional sector bureaus to access reliable information on government service standards and entitlements.***

Step 2: Assessment of services

This is a stage in the SA cycle where citizens assess the state of public services as they experience it against set government services standards to identify service gaps and determine their service needs and priorities. It requires two important activities, i.e;

- a) Selecting the appropriate SA tool to be used for the service assessment based on prevailing socio-economic, environmental, capacity related and technological context on the ground
- b) Organizing and conducting the assessment of the services

The two most popularly used SA tools for assessment of services in ESAP so far are the Community Score card (CSC) and the citizen's report card (CRC)⁴. While CSC was the main SA tool during ESAP2 the CRC is currently the main tool in use in ESAP 3 for several reasons. The CRC is chosen over CSC due to;

- a) The fact that CRC is a less interactive tool that fits well with the current COVID-19 pandemic and attendant government regulations that limit face-to-face interactions and,
- b) The strategic shift made by ESAP towards focusing on the Woreda as the main unit of entry for budget alignment and the fact that the CRC a relatively better tool for data aggregation and administration and eventual use at the Woreda level⁵.

⁴ See Annex 2 and 3 for a brief overview of these two SA tools in ESAP2

⁵ While CRC will remain as the main SA tool for ESAP in the foreseeable future, possible use of other SA tools in some Woredas shall not be ruled out particularly in Pastoralist areas of the country and where there is already

Step 3: Interface meeting and JAP formulation

JAP presents the main issues that service providers and users agree on as service improvement priorities that, subsequently, are used as input into the woreda budgeting process. Under the current ESAP strategy, the formulation of woreda JAPs undergoes the following process:

- a) CRC survey results are analyzed by the CBO and made available to the WSAC for identification of service priorities at woreda level.
- b) WSACs, with support from CBOs, facilitates focus group discussions on the findings of the CRC survey, validate the CRC results as a true representation of the opinions of citizens in the woreda in consultation with service providers, CBOs/other service user groups, and advocate with the kebele council to adopt the results as representative for citizen concerns, prior to engaging woreda sector offices.
- c) SACs/CBOs organize interface meetings between selected woreda sector offices (service providers), members of WSAC and relevant citizen user groups/CBO representatives (including representatives of vulnerable groups), Local NGO/CSO & Private Sector Representatives, woreda administration and woreda council standing committee representatives (eventual decision makers on the woreda budget).
- d) Interface meetings result in formulation of a woreda JAP, specifying the service improvement actions to be taken and responsibilities.

Interface meetings are conducted involving few (1-2) selected representatives from the concerned citizen and government groups in open air or in large rooms with proper ventilation, with the total number of participants to be determined in line with government COVID-19 regulations.

Step 4: JAP alignment with woreda planning and budgeting processes

- a) This is a step where citizen priorities agreed upon by key stakeholders and developed as woreda JAPs, in Step 3 above, are tabled by WSACs to serve as input into the woreda planning and budgeting process.
- b) The process involves organizing round table discussion between sectors and W-SAC where they lobby for the inclusion of consolidated Woreda JAPs in sector plans before sectors make their budget proposal to the woreda cabinet/council.
- c) In addition, WoFEDs will facilitate the participation of W-SACs in pre-budget discussions to advocate their JAP articulated issues during the budget formulation process and lobby for their consideration and eventual approval by the woreda council. The role of Woreda Councilors who have participated in the SA process from the start here is crucial in expediting the alignment of JAPs with the Woreda budget approval process.
- d) JAP related issues that were found to fall beyond Woreda capacities and mandate for the fiscal year shall be documented and reported to regional BoFEDs, and through them

ample experience such as the current use of the Community Score Card (CSC) as an SA tool by MoH. The choice of appropriate SA tools depends on the context, implementation capacity of local actors and evolving citizen demands on the ground which shall hence remain open to future exploratory research and innovation. IDA20 will work closely and collaboratively with the MA in this regard.

to Sector Bureaus, for further planning and budgeting at the regional level as appropriate

Step 5: Monitoring of JAP implementation

- a) W-SAC actively participate in the monitoring of JAP implementation at all levels by participating in quarterly project review meetings with all key stakeholders, woreda councilors, and through continuous consultations with their respective citizen groups and local CBOs who have been involved in assessing the services that made it into the woreda JAP and budget.
- b) It is crucial to note that this step represents closing the feedback loop with citizens, on what has really ‘happened’ to their service demands and priorities, as articulated in JAPs, which demands close ESAP monitoring, quality assurance and documentation work. The role of Woreda councilors is key here to monitor the changes on the ground and further strengthen the accountability of service providers to citizens.
- c) Technical and capacity development support will be provided by the project to install a functional JAP monitoring and feedback system in Woreda Finance offices that involves all relevant local stakeholders JAP implementation *monitoring* with government oversight structures including Woreda & Kebele councils, FTA and GRM stakeholders in due course.

The execution of the SA process outlined above shall follow an adaptive, iterative, and flexible approach that is mindful of local contexts, SA practices as well as citizen and local government needs, capacities, and motivations.

V. Implementation Arrangements

5.1 Overall Roles & Responsibilities

- The Ministry of Finance (MoF) serves as the institutional home for ESAP and contact point for ESAP related policy and strategic discussions and supporting ESAP in establishing connections with sectorial ministries i.e. The Ministry of Health, Ministry of Education, Ministry of Water and Energy, Ministry of Agriculture and Ethiopian Roads Authority and other federal agencies relates to ESAP’s work.
- Unlike the MDTF financed part of ESAP3, which is implemented through a Management Agency, the IDA financed ESAP3 will be fully managed by the Government. At the Federal level, a dedicated Social Accountability Team is established in the Ministry of Finance-Channel One Programs Coordinating Directorate (COPCD) and at regional levels, Social Accountability Units will be established in all Regional Bureaus of Finance and Economic Development (BoFED)
- In addition, a Woreda level SA focal person will be assigned in each Woreda Office of Finance and Economic Development (WoFED) from the pool of experts already available at the WoFEDs..

- The SA Teams will play a key role in ensuring that results from the implementation of SA are shared with policy makers and over time become part of the ongoing monitoring and planning system of Government of Ethiopia. At the Woreda level, priorities reflected in Joint Action Plans (JAPs) should inform local level planning while at regional and federal levels, evidence from the SA process should inform the regional plan/budget and wider GoE policy and strategy formation processes.
- In coordination with the MA, the SA Team will, for example, coordinate monitoring visits to ESAP3 IDA20 and MDTF activities for government stakeholders and organize learning and experience sharing platforms to provide policy makers with research findings and insights from the ground on ESAP3 implementation.
- Their role will also involve building linkages between Social Accountability (SA), Financial Transparency & Accountability (FTA), Grievance Redress Mechanism (GRM), Public Finance Management (PFM) processes such as planning budgeting cycles and overall decentralized governance and management systems. All SA Units at Federal and regional levels and the Woreda SA focal person will have clear ToRs to enable them to deliver their duties and responsibilities.

5.2 Specific Roles and Responsibilities

5.2.1 The Role of MoF

A) SA Program Implementation

- Provide day to day *operational support to regional SA teams* and follow up the implementation of SA activities in all ESAP-IDA20 operational regions and city administrations.
- Provide regional stakeholders with technical advice and supportive supervision on *effective application of simplified SA tools, approaches, and mechanisms by local SA* structures such as Social Accountability Committees (SACs).
- In close collaboration and coordination with ESAP-MDTF/MA, *organize and support the handing/taking over process* of previously SAIP executed ESAP-MDTF projects in each region/city administration.
- Provide regional SA teams with quality assurance and supervisory support in their work to *expedite government response to citizen's demands* that are articulated in Woreda JAPs and aligned with Woreda plans and budget.
- Ensure that regional SA focal persons closely coordinate and support the activities of woreda finance offices in supporting woreda SACs in all areas of their planning and implementation of SA activities.
- Work closely with *the ongoing FTA program at MoF* to enable regional SA focal persons properly link and align local level SA activities and processes with Woreda level plans and budget.
- Provide technical support to regional SA focal *persons to disseminate information and knowledge, through media, on SA approaches, tools and practices*

B) Capacity Development, Monitoring and Evaluation

- Based on the ESAP3-IDA20 objectives, plans and implementation guidelines, *build the capacity of supply side actors to create awareness about SA and to help them embed SA mechanisms within the planning and budgeting processes of basic service delivery* provider sectors in close coordination with regional SA units.
- Lead the *development, implementation, monitoring and annual review of the project's M&E plans*.
- Qualitatively and quantitatively *monitor progress towards achievement of results, outcomes and activities* including through visits to ESAP3-IDA20 field projects based on the project's results framework and base line data.
- Provide support to *external program review, evaluation and impact assessment missions of the project including visits to project sites* by government officials, DPs and other relevant stakeholders.
- Coordinate with basic service sector Ministries (MoH, MoE, MoWE, MoA and ERA) and relevant oversight and other policy level government institutions (such as EIO Ministry of Planning and Development , Civil Service Commission, ACSO,) and *mobilize support for SA implementation and institutionalization in government systems, including encouraging the usage of SA tools in the five basic sectors*.
- *Take the lead and coordinate SA-FTA-GRM partnership activities at Federal level* for enhanced sector responsiveness across all ESAP3 operational regions and city administrations in line with ESAP's SA-FTA-GRM guideline and procedures.
- Organize and coordinate *learning, program exchange and experience sharing platforms* for federal/regional governments and relevant sector ministries and regional bureaus on the use of SA tools and practices to improve the delivery of public services and embed SA mechanisms in government systems.
- Coordinate with the project technical experts and regional SA focal persons and contribute to the development of *annual work plans and routine performance reports* of the SA unit.
- Prepare capacity building manual, guidelines, and M&E reporting formats.

C) Finance and Procurement Management ⁶

- Ensure that all project financial transactions at COPCD and BoFEDs fully comply with the WB financial management rules, regulations, policies, procedures and reporting formats.
- Prepare consolidated annual budget and 6 months cash forecasts for IDA Grant ESAP3, disaggregated by regions.
- Prepare disbursement schedule of IDA-ESAP funds to BoFEDs and ensure transfer of budget from MoF treasury to BoFEDs.

⁶ The IDA20 Financial and procurement procedure will follow ESPES /IPF Program Implementation Manual.

- Ensure that SA budget transferred to the regional/city administration is utilized for the intended purpose and optimally, in accordance with the financial and program implementation guidelines.
- Timely prepare procurement plans for the SA unit at MoF.
- Procure the necessary office equipment, office space, vehicle and other services as per set project procurement guidelines and procedures.
- Elaborate and implement internal control system which ensures that purchase orders are duly prepared and dispatched. Take timely corrective actions on purchase orders with errors and problems.
- Properly document and maintain IDA 20 ESAP accounting records as per set financial management standards and procedures.
- Ensure that all Social Accountability financial reports are included in the IPF-IFR reports.
- Organize and deliver training for regional SA focal persons and other relevant project actors on project budgeting, finance and procurement.

5.2.2 The Role of Regional BoFEDs

- Based on ESAP3-IDA project goals, results framework and SA implementation guidelines set by MoF-COPCD, prepare, and upon approval by BoFEDs and MoF-COPCD, coordinate the implementation of the ***annual Social Accountability work plan and budget of the Region/City Administration and follow-up and monitor its implementation.***
- In accordance with set directives and implementation guidelines of IDA20-MoF, ***facilitate the smooth takeover of completed SA projects from MDTF-MA*** and coordinate the continued functionality and institutionalization of the SA implementation mechanisms and structures within local (Woreda) government systems.
- In close coordination with the appropriate SA staff to be assigned/deployed by Woreda Finance and Economic Development Offices (WoFEDs) ***support, guide and monitor the activities of the Woreda Social Accountability Committees (WSACs) through all stages of the SA cycle, outlined in this guide, and the alignment of Woreda JAPs with local planning and budget processes, in particular.***
- Through its assigned SA experts, reaches out to ESAP woredas and provides technical support to woreda SACs, woreda SA focal persons and other stakeholders.
- Mobilize CSOs who had previous experience in implementing SA projects to support WoFEDs and WSACs, on voluntary basis.
- Organize, coordinate, and provide ***capacity development training*** (with technical support from MoF-COPCD) for relevant basic public sector service providers, policy decision makers and councilors in the region/ city administration on SA Tools, approaches and mechanisms and cascade same to their respective Woreda level government sector offices and SA structures.

- In collaboration with relevant stakeholders in the field and building both on the FTA and MDTF experience, coordinate and facilitate the *use of regional and local media* for social accountability including for sharing experiences on how SA is used to enhance state-citizen engagement for accountable and improved service delivery.
- In close collaboration and coordination with the Ministry's Financial Transparency and Accountability (FTA) program, support Woreda Social Accountability Committees in their effort to enhance community participation in *government planning and budgeting processes of basic public services*.
- *Organize, document, and analyze service assessment feedback data* gathered from Woreda social accountability committees (WSACs) and avail same to oversight institutions (such as regional councils and ombudsmen) as an input for their regular public service delivery monitoring, oversight and regulatory activities.
- Liaise with *relevant regional sector bureaus, council standing committees* and oversight institutions to coordinate SA mainstreaming, institutionalization and system strengthening activities.
- Actively participate in and provide support to ESPA3-IDA20 activities aimed at *linking social accountability processes and mechanisms with the ongoing public sector service delivery and governance reform* initiatives and programs in the region/city administration.
- Facilitate the establishment and strengthening of *SA-FTA-GRM linkage mechanisms* to address the service concerns and demands of citizens and enhance government responsiveness for improved service delivery.
- Organize, *facilitate, and document regional SA experience sharing, learning and exchange programs* in coordination with relevant regional and city government policy makers, executive organs and research institutes engaged in public service and governance reform and accountability initiatives in the region/city administration.
- Provide the necessary support to the Woreda SA focal persons to enable them play a key role in strengthening government accountability and oversight structures, including kebele assemblies, Woreda councils and regional councils in particular, to embed and sustain SA initiatives in their mandates, roles and functions in close coordination with the MA
- Follow up and *ensure the timely disbursement, prudent utilization and effective reporting of IDA20-ESAP budget* resources as per set financial and procurement standards and guidelines of the project.
- Organize and participate in the program field visit for monitoring, evaluation and supervision of the program.

5.2.3 The Role of Woreda Finance Offices

- *Based on ESAP3-IDA* project goals, results framework, and SA implementation guidelines, prepare the annual *Social Accountability work plan of the Woreda* and implement same upon approval by the Regional BoFED.

- In accordance with set directives and implementation guidelines from MoF-COPCD & the Regional BoFED, organize and implement a smooth ***takeover of completed SA projects from ESAP-MA*** and its IPs operating in the Woreda.
- **Assign a Social Accountability focal** person(s) from the Woreda Finance Office, who will be responsible to *guide, support and monitor the activities of the Woreda Social Accountability Committee (WSAC) in all areas of implementing the SA cycle under the close guidance and supportive supervision of the WoFED Head and the regional SA focal person.*
- Provide SA organizational, technical advisory support to the WSAC in planning and executing its SA operations in the woreda, following the SA cycle outlined above.
- With technical support from the regional BoFED, organize and implement SA ***capacity development training*** for relevant basic public sector service providers, councilors, WSAC and citizen structures directly engaged in SA implementation in the Woreda.
- Mobilize CBOs, MBOs and most particularly CSOs with previous experience in implementing SA projects to support WSACs (on voluntary basis), including where possible as active members of the woreda SACs.
- Organize and coordinate the ***use of local media*** for information dissemination in all aspects of social accountability implementation in the Woreda with technical support and guidance of the regional BOFED.
- Provide an all rounded organizational, technical and advisory support to Woreda Social Accountability Committee in planning and implementing its SA activities with particular in its effort to enhance community participation in ***government planning and budgeting processes of basic public services including in participating in pre-budget discussions and engaging Woreda sector offices for incorporation of JAP identified citizen priorities in Woreda sector plans.***
- Follows up closely and ensures that some of the JAP priorities are incorporated in the woreda annual budget and monitors JAP implementation.
- ***Organize, document, and analyze service assessment feedback data*** gathered from Woreda social accountability committees (WSACs) and avail same to oversight institutions (such as the woreda councils) as an input for their regular public service delivery monitoring, oversight and regulatory activities.
- Support the establishment and strengthening of the woreda ***SA-FTA-GRM linkage mechanisms*** to address the service concerns and demands of citizens and enhance government responsiveness for improved service delivery.
- Provide WSACs logistical and administrative support, within the limits of the project budget, that would enable them run their operations bearing in mind that these are voluntary citizen accountability structures that consist representatives from Community and Mass based associations that have the potential to gradually organize and finance their own activities in the long term a factor which is key for sustainability and autonomy
- Arrange and participate in the program field visit for monitoring, evaluation and supervision of the program in the Woreda

- As per established reporting formats and guidelines prepare and timely submit SA technical and financial reports of the Woreda to the regional BoFED.

5.2.4 The Role of Woreda Basic Sectors

- Work closely with the Woreda finance office in providing accurate and timely information on sector service standards, entitlements plans and budget to serve as an input for assessment of services by service user communities.
- Participate in SA capacity development and awareness creation workshops organized by the regional and Woreda SA units and work towards embedding functional SA approaches and tools in the sector's service delivery planning and budgeting processes.
- Delegate staff from the sector office to actively participate in the WSAC and participate in the SA process
- Delegate authorized personnel to participate in Woreda interface meetings to provide authentic data on the state of services from the sector's perspective and support WSACs to formulate realistic and attainable JAPs
- Technically Support WSACs in their effort to align JAPs with the Woreda Planning and budget process and address citizens service demands and priorities.
- Be available to respond to service delivery issues raised by WSACs and citizen representatives on local media with a view to enhance government responsiveness, and further strengthen the trust between local governments and citizens.
- Participate in project monitoring and review missions organized by the project as per set project monitoring and review standards and plans.

5.2.5 The Role of Woreda Social Accountability Committee (WSACs)

The WSAC brings together the key actors both from the supply and demand side to provide joint and collaborative ownership and coordination of the SA process:

It is composed of:

- a) Citizens in the majority with inclusive representation of social and vulnerable groups through their CBOs/MBOs,
- b) Woreda council representative,
- c) Representatives of woreda service provider sector offices and ;
- d) Woreda and SA/FTA/GRM representatives

Roles and functions

With support from the WoFED;

- Organize access to information (budget, plan, service standards: rights and responsibilities of citizens, inclusion and gender policies) together with sector representatives, and in a timely fashion, so that SA can influence service delivery budgets
- Empower vulnerable groups to participate in the SA process and develop interest in gender and social inclusion dimensions of service delivery.
- Meet regularly to plan, execute and monitor ESAP activities and provide leadership to the SA process.
- Facilitate service assessment with SA tools, organize interface meetings and finalize the Joint Action Plans.
- Table the JAP as a planning agenda for the Woreda Planning and budgeting process and advocate for its approval by the Woreda Cabinet & Council.
- Identify issues that are not taken by the Woreda council as ‘beyond capacity’ issues and escalate to the region through the FTA-SA-GRM mechanism –established in the Woreda.
- Organize monitoring of JAP implementation and facilitate citizen feedback platforms and contribute to building a culture of accountability and mutual trust between citizens and local governments for an efficient and equitable delivery of basic public services.

5.2.6 Role of Woreda level CBOs, MBOs and organized service user groups.

- Serve as the institutional base of WSACs where key service user group representatives are drawn from to participate in WSACs.
- Support WSACs in the organization and implementation of service assessments and mobilization of communities to participate in identifying and prioritizing their service needs.
- Regularly follow up and ensure that the voices, demands and priorities of service user groups (including that of women and other vulnerable social groups), are fairly represented in JAP formulation, alignment with Woreda budget and implementation.
- Foster awareness and behavioral change among their membership and the public at large, to use SA mechanisms for improved, accountable and transparent public service delivery.
- Use their institutional leverage to support WSACs in their effort to engage local governments and lobby for adequate response to service issues and priorities raised by citizens.
- Mobilize from their membership and networks (such as similar civic associations at zonal and regional levels), financial, human (volunteers in particular), material and other resources that enhance the capacity of WSACs to sustain SA activities and mechanisms beyond external project support.

5.2.7 The Role of Public Oversight Structures

The ultimate aim of any lasting SA initiative is to *build and advance an accountability relationship between citizens and the state*. This is best done through strengthening already existing horizontal accountability mechanisms of the state and avoiding parallel structures that would lead to duplications of efforts and resources. Within the context of ESAP this demands working with Woreda and Kebele Councilors, as elected representatives of citizens and main decision makers within their jurisdictions.

Role of Councilors

- Provide public oversight to ensure that the basic service sectors perform well and make efficient and effective use of the resources they have been given.
- Follow up and monitor if basic public services are well provided as per set government standards by directly engaging service user communities using SA mechanisms introduced by ESAP.
- Engage in SA processes to better understand how citizens experience the delivery of public services and use their firsthand experience with citizens to validate and objectively act on the reports they receive from the sectors.
- By working with various interest groups within the community including vulnerable and socially excluded groups and understanding their genuine interests and priorities make informed and appropriate budget decisions that enhances credibility and mutual trust between citizens and local governments.
- Participate in interface meetings and ensure that citizens' unmet demands and service priorities properly articulated, are backed with credible evidence, represent diverse views in the community and are properly heard and taken into account by executives in their planning and budgeting proposals.
- Make appropriate plan and budget decisions that is reflective of local citizen service priorities while being consistent with locally available government budget and human capital resources
- Create public platforms through which service user communities receive feedback from sector offices on the state of response on their identified JAP issues and a culture of receiving organized feedback from citizens.

VI. Monitoring and Evaluation

6.1 M&E System

The overall M&E system builds on ESAP progress to date with an emphasis on moving towards M&E institutionalization and overall system strengthening. This will include;

- Tracking progress made in terms the deliverables outlined in the Results framework with particular attention to capturing changes in outcomes such as changes in accountability relationships between service providers and citizens, changes in attitude and behavior linked to participation in SA processes including empowerment, levels of awareness, responsiveness, and trust.

- Continuing to strengthen the feedback loop to communities.
- Ensuring that indicators capture improvements in both horizontal and vertical lines of accountability triggered by SA activities. E.g. enhanced oversight role of councilors (vertical accountability) and action taken on auditor reports by line departments (horizontal accountability).
- Examining how M&E can further the sustainability and institutionalization agenda by integrating SA activities into the work plans of relevant government departments and service providers against which progress on outputs and outcomes will be measured

A project *Monitoring & Evaluation schedule* will be developed by MoF-COPCD in coordination with ESAP-MA that includes.

- a) *Internal operational monitoring* of progress and challenges in terms of activities and outputs, outcomes planned and implemented to be captured by quarterly performance reviews and quarterly reports as a means to review implementation progress, document good practices and ensure value for money.
- b) *Internal review of performance* that includes assessing SA progress in the field, help local SA implementers learn from practice as it evolves, and take corrective action through on-the-job training and capacity development interventions including annual reviews and experience sharing events with relevant stakeholders at all levels.
- c) *External impact evaluation.* Mid-term and final evaluation of financed ESAP3-IDA will be carried out by an independent external consultant with the aim to measure to what extent the project achieved the desired outcome and whether the effects measured in service delivery and citizen's engagement can be attributed to the project itself. The specific approach and methodology of the impact evaluation will be determined by MoF with technical advice from the World Bank SA experts and taking into account lessons from past experiences.

6.2 Project Quarterly Report Template for Regional SA Units

Region/City _____ Year _____ Quarter _____ Covering Months _____ to _____

For each section, please describe what has taken place (facts) and what was achieved or not (results) and why? in order to get a clear picture of the status of the project and make the necessary adjustments as appropriate. Please describe as far as possible the changes (positive and negative) triggered by the project in your immediate operational context and the stakeholders you work with. Where there is no progress made to report on specific elements of the key planning topics, during the quarter, please feel free to state so by stating 'No Progress' (NP) with a brief and factual explanatory note, such as 'this activity is planned for the next quarter', etc.

No.	Topic /section	Indicator
1	Introduction: Describe General project progress	
	<ul style="list-style-type: none"> Project progress as compared to plan 	% Of activities accomplished compared to plan
	<ul style="list-style-type: none"> Status of the work with partners (e.g., WSACs, FTA and GRM) 	# Of meetings, exchanges and joint activities undertaken and progress made
	<ul style="list-style-type: none"> SA Team functioning (regular meetings/ staff capacity) 	# Regional and woreda Staff meetings held, field trips including visits to or from MoF SA Team etc.
	<ul style="list-style-type: none"> New developments in the region affecting project operations (if any) 	Such as Government new policy initiatives, plans or legislation affecting the project including new similar projects operating in the region (if any)
Component 1		
2	ESAP Woreda Handover/Takeover process: Describe progress in Woreda Handover/Takeover between MDTF-MA & IDA20 MoF	
	<ul style="list-style-type: none"> Progress made in assessing operational and program context and establishing modalities for handing and taking over ESAP Woredas 	Agreed upon transition plan between ESAP-MDTF and ESAP-IDA components
	<ul style="list-style-type: none"> Progress made in the actual handing over of ESAP woredas (including number of woredas handed over during the reporting period) 	# Of ESAP Woredas handed over by the ESAP-MA to ESAP-IDA 20 (MoF -COPCD)

No.	Topic /section	Indicator
	<ul style="list-style-type: none"> Progress made in establishing formal functional relationships with WSACs for collaborative SA implementation in handed over woredas. 	# Of WSACs actively working in partnership with WoFEDs
3	Citizens & Service providers aware on SA and mobilized for collaborative action	
	<ul style="list-style-type: none"> Describe/explain the progress made in accessing service user citizen groups and the 5 pro-poor sector Woreda offices to SA awareness and information on government service standards and Woreda service delivery plans and budget. 	# of service user groups and citizens that were provided with information on government service standards, plans and budget, in each ESAP Woreda
	<ul style="list-style-type: none"> Describe/explain the progress made in providing training on SA tools, gender and social inclusion for basic sector Woreda offices and relevant Woreda government stakeholders. 	# of service providers that were provided with training on SA tools, gender and social inclusion in each ESAP Woreda
4	Organized citizen groups and community structures assess the provision of basic public services and articulate their needs	
	<ul style="list-style-type: none"> Progress made in assessment of the provision of basic public services by service user communities and identification of their service improvement needs and priorities. 	<ul style="list-style-type: none"> <i># of Woredas and sectors where service assessments were conducted</i> <i># of communities and service user groups that directly participated in the assessment of basic public services using SA tools</i>
5	Citizens and service providers engage in a facilitated dialogue and agree on a joint action plan for service delivery improvements	
	<ul style="list-style-type: none"> Progress made in conducting interface meetings between service providers and users, resulting in the formulation of Woreda JAPs 	<i># of Woredas with formulated JAPs</i>
6	JAPs are aligned with Woreda planning and budgeting processes	
	<ul style="list-style-type: none"> Progress made in the incorporation of citizens' priorities in Woreda planning and budgeting processes (facilitated by WSACs and WoFEDs) 	<i># of Woredas and sectors that have incorporated JAP identified citizen priorities in their sector plans</i>

No.	Topic /section	Indicator
		<ul style="list-style-type: none"> ▪ <i># of WSACS that have participated in pre-budget discussions</i>
	<ul style="list-style-type: none"> • JAP issues and priorities (that are beyond the capacity and mandates of Woredas) that are escalated to zonal/regional sector bureaus for effective government response. 	<ul style="list-style-type: none"> ▪ <i># of Woredas where issues beyond the capacity of Woredas are referred to regional sector bureaus for generating response at regional level</i> ▪ <i># of JAP issues and priorities addressed through the FTA-SA-GRM regional partnership/linkage committees</i>
7	JAP implementation monitoring and closing the feedback loop with user communities	
	<ul style="list-style-type: none"> • Progress made in the monitoring of Implementation of JAP (as part of the Woreda plan) by the Woreda councils. 	<ul style="list-style-type: none"> ▪ <i># Of yearly monitoring visits conducted by Woreda Council representatives.</i> ▪ <i># and frequency of WSAC members who participated in the monitoring visits.</i>
	<ul style="list-style-type: none"> • Progress made in organizing Woreda level review and feedback platforms involving citizen and government stakeholders, based on JAP monitoring reports 	<ul style="list-style-type: none"> ▪ <i>#of sharing and learning platforms organized and conducted.</i>
	<ul style="list-style-type: none"> • Progress made in documenting and sharing lessons of JAP implementation monitoring in each Woreda with the wider public and regional basic sector decision makers (through local media) 	<ul style="list-style-type: none"> ▪ <i># of Media programs aired and listeners reached through the SA media programs.</i> ▪ <i>Citizens express satisfaction that SA media transmissions enhanced their awareness and served them as platforms to express their service delivery priorities and concerns.</i>

No.	Topic /section	Indicator
Component 2		
8	Capacity development for Regional and Woreda SA government stakeholders	
	<ul style="list-style-type: none"> Progress made in identifying/assessing institutional needs and developing SA capacity development plan with Regional basic sectors and SA government stakeholders. 	<i># of capacity needs assessment reports available</i> <i># Of SA Capacity development plans prepared</i>
	<ul style="list-style-type: none"> Progress made in training federal , regional and woreda level basic service sectors and finance offices on embedding SA tools and approaches in their regular service delivery roles and functions. 	<i># Of Sector and finance office staff trained on SA at Regional and Woreda levels</i>
	<ul style="list-style-type: none"> Progress made in developing and operationalizing manuals, guidelines, training materials, templates for SA implementation and institutionalization in government systems 	<i># of SA manuals made available by type</i>
9	Government accountability and oversight structures at federal, regional and Woreda levels are strengthened to embed and sustain SA initiatives in their mandated roles and functions	
	<ul style="list-style-type: none"> Progress made in training Regional, Woreda and Kebele councilors and oversight institution stakeholders on embedding SA tools and approaches in their mandated roles and functions. 	<i># Of councilors and oversight institution staff trained on SA approaches and tools in each region /city administration</i>
	<ul style="list-style-type: none"> Progress made in revitalized federal, regional and Woreda level SA, FTA and GRM coordination and linkage mechanisms to support SA implementation and institutionalization. 	<i># Of FTA-SA-GRM linkage committees in place and functioning at Regional and Woreda levels</i>
10	SA mechanisms and approaches strengthen key government stakeholders working to advance citizen engagement for improved public service delivery	
	<ul style="list-style-type: none"> Progress made in strengthening school media clubs and local media to serve as platforms for SA awareness promotion and education. 	<ul style="list-style-type: none"> <i># of Woredas and schools where Student SA clubs are established & functioning</i> <i># and type of local media channels and</i>

No.	Topic /section	Indicator
		<i>communications platforms in use to promote SA</i>
Component 3		
11	The SA program is effectively managed	
	<ul style="list-style-type: none"> • Progress made in strengthening GoE’s capacity for SA by embedding SA Teams with in MoF and all BoFEDs 	<i># Regional & Woreda -SA staff deployed/seconded and in operation</i>
	<ul style="list-style-type: none"> • Progress made in providing the procurement of field vehicles, office equipment, laptops and printers for Regional SA teams. 	<i># Of vehicles and office equipment supplied and functioning</i>
	<ul style="list-style-type: none"> • Progress made in timely preparation and implementation of annual work plan and budget as per set operational and program guidelines 	<i>Timely submissions of Annual work plans and budget</i>
	<ul style="list-style-type: none"> • Progress made in development and operationalization of program operations, financial management and procurement templates and reporting formats 	<i># Of operational project management and finance manuals made available and in use</i>
12	Project advances SA knowledge and experience sharing on local, regional, and global levels for better collaboration and synergy	
	<ul style="list-style-type: none"> • Progress made in putting in place SA knowledge dissemination platforms <ul style="list-style-type: none"> ○ Production of documentary videos brochures and other IEC materials to promote IDA20 objectives, processes and results at the national level. ○ Making use of COPCD-MoF’s web platform to inform the public on ESAP-IDA20 activities ○ International training and experience sharing study tours for practical learning from global SA practices. 	<i># of SA exchange and knowledge sharing platforms created and functional</i>
	<ul style="list-style-type: none"> • Progress made in establishing network and partnership with global actors and SA platforms 	<i># No of networks created with global SA actors and exchange program and visits conducted</i>
13	Project monitoring and evaluation system is established assessing project performance and results making information readily available for management	

No.	Topic /section	Indicator
	decision making.	
	<ul style="list-style-type: none"> Progress made in timely preparing and implementing project monitoring and evaluation plan 	<i># of Project monitoring and evaluation plans prepared and timely executed</i>
	<ul style="list-style-type: none"> Progress made in holding project review meetings, where monitoring and evaluation results are fed into the program steering process. 	<i># of project review meetings held and data generated for management use and decision making</i>
14	Challenges encountered and remedial measures taken	
15	Priority action steps for the next quarter	

Reported by:

Name: _____ Position: _____

Signature: _____ Date: _____

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Annex I: SA Tools used during ESAP2 ⁷

The five key SA tools used in ESAP2 are:

- **Community Score Card (CSC)** : A monitoring tool used by local communities to give direct feedback to service providers about which services are working well, which services are not, and where there is potential for improvement.
- **Citizen Report Cards (CRC)**: A tool to provide credible and rigorous feedback based on large-scale surveys of individual service users on the quality and adequacy of services. Results should trigger responsiveness and accountability by service providers.
- **Participatory Planning and Budgeting (PPB)**: A process that aims to make budgeting and planning an inclusive and participatory process with government officials and citizens so that plans can be responsive to priority needs whilst expectations are kept realistic.
- **Gender Responsive Budgeting (GRB)**: A budgeting tool that was adapted from PPB to be used as a strategy to make the concerns of women and men an integral part of budget decisions.
- **Public Expenditure Tracking Surveys (PETS)**: A tool used to assess if the allocated budget for services is actually spent as intended to deliver quality services to all citizens, especially vulnerable groups.

The five tools listed above can be categorized into three main types:

- (1) Tools for problem identification (CSC and CRC),
- (2) Tools for budgeting (PPB and GRB); and
- (3) PETS, which is an expenditure analysis tool that is best used in sectors or programs that involve clear budget allocation and execution, and where budget leakage is thought to be a problem.

At the inception of ESAP2, the MA prepared SA tool manuals which ensured consistency while allowing the flexibility to adapt tools to the local context. SAIP staff received basic training in all SA tools before they decided which tools they would implement in their target woredas and kebeles. However, not all tools were used equally. ESAP aimed to use a range of social accountability tools, but there were clearly a number of preferred tools in practice.

According to the reports from the ESAP2 MA, the tools most utilized at kebele level by SAIPs were:

- Community Score Card (83%)
- Participatory Planning and Budgeting (42%)
- Citizen Report Cards (17%)
- Gender Responsive Budgeting (6%)
- Public Expenditure Tracking Survey (5%)

⁷ MoFEC-WB ESAP3 Design Document, prepared by Stephen Anderson, Workneh Denekeew and Buli Edjeta with inputs by Dr. Pieterella Pieterse and Dr. Fletcher Tembo, September 2018.

Annex II: Citizens' Report Card (CRC)⁸

What is a Citizen Report Card?

The Citizen Report Card is a simple but powerful tool to provide public agencies with systematic feedback from users of public services. By collecting feedback on the quality and adequacy of public services from actual users, the Citizens' Report Card provides a rigorous basis for communities, civil society organization or local governments to engage in a dialogue with service providers to (plan to) improve the delivery of public services.

Why do we use a Citizen Report Card?

Firstly, as a diagnostic *tool* the Citizens' Report Card can provide citizens and governments with qualitative and quantitative information about existing standards and gaps in service delivery. The Citizens' Report Card:

- Is a powerful tool for monitoring service delivery
- Provides a comparative picture about the quality of services
- Compares feedback from different locations or demographic groups to identify segments where service provision is significantly weak and in need of improvement

Second, as an *accountability* tool the Citizens' Report Card reveals areas where the institutions responsible for service provision have not achieved the expected and agreed service delivery standards. The results can be used to identify and demand specific improvements in services and officials can be held accountable for working towards addressing the specific issues on the basis of the feedback provided.

Thirdly, as a *benchmarking* tool the Citizens' Report Card can, if conducted periodically, track changes in service quality over time. A comparison of findings across Citizens' Report Cards will reveal fluctuations in the degree of service delivery. It can therefore be useful to conduct Citizens' Report Cards before and after introducing a new program/policy to measure its impact.

Fourthly, to *reveal hidden costs* the feedback of citizens can expose surpluses or costs that are charged beyond mandated fees for the public services under surveillance.

In summary, the overall objective of utilizing Citizens' Report Cards is getting feedback on public services and the specific objective is generating service users' feedback on usage, behavior of staff, extent of hidden costs, problem-resolving capabilities of the agency and satisfaction with the quality of services from citizens.

Key Features and characteristics of Citizens' Report Card

- A simple service evaluation tool using the house- hold as its basic unit of analysis
- Can generate credible user feedback on public services when its effective research methods are adhered to

⁸ Source: SA Guide, ESAP2- MA 2012

- Provides scientific evidence to trigger responsiveness and accountability from service provider

Key Stages in the Citizens' Report Card Process

- **Stage 1: Assessment of Local Conditions:** Checking the background of the sector(s) and the context of the woreda. It is important to look into previous surveys like baseline surveys, Community Score Cards or other tools that have been applied in the past to this woreda and the sector.
- **Stage 2: Pre-survey Groundwork:** Engage with the stakeholders, bring them together to discuss and agree on the objectives of the utilization of the Citizens' Report Card and the methodology that will be used to implement it. In this step the questionnaire development with the stakeholders is also conducted. The sample size and sampling method is discussed and agreed amongst the stakeholders, as these will depend on the context and the Citizens' Report Card objective. The training of the enumerators on how to conduct interviews and how to use the questionnaire should further be done during this stage. In addition, a pre- testing of the questionnaire with the enumerators should be done to check for errors or issues of clarity.
- **Stage 3: Conducting the Survey:** During this stage the enumerators go into the field and conduct the interviews. An agency managing the survey should ensure that there is a lead supervisor appointed to verify and check the process for any challenges that come up in conducting the survey.
- **Stage 4: Post Survey Analysis:** The implementing agency has the responsibility to capture the information collected, preferably in a computerized programme. This will assist with the analysis of the information collected. The information should be analyzed and compiled into formats that are user-friendly for a variety of audiences like government officials, citizens, service providers and woreda councils.
- **Stage 5: Dissemination of Findings:** The information should be presented and discussed at a public forum where all the stakeholders can participate and contribute to the discussion. Depending on the objective of the Citizens' Report Card that has been decided in stage 2, the information could inform policy changes or be used to develop a joint plan of action (JAP) to improve services

Annex III: Community Score Cards (CSC)

What is a Community Score Card?

The Community Score Card (CSC) is a tool through which citizens can monitor the quality, access, efficiency and effectiveness of community based public services. It provides the opportunity for citizens to analyse any particular service they receive based on their personal feelings, to express dissatisfaction, to encourage when good work is done and to suggest additional measures to be taken if reported issues remain.

Basic Characteristics of Community Score Card:

- Conducted at micro, local, and/or facility levels
- Uses the community as the unit of analysis
- Generates information through focus group discussions
- Enables participation and ownership by local communities
- Emphasizes possible joint immediate responses and joint decision-making

Community Score Card Implementation Phases and Steps

Phase 1: The Planning and Preparatory Phase

A thorough and well-planned preparation is essential for successful implementation of the Community Score Card. In most cases, it is recommended that preparatory groundwork should begin as early as possible by mobilizing the community.

The most crucial steps of the planning and preparatory phase are:

- ***Identification of scope.*** This includes the identification of the service sector (e.g., water and sanitation, education, health, agriculture, rural roads) and identification of geographic coverage (region, zone, woreda, kebele).
- ***Identification of the service aspect (criteria) to be monitored*** (quality, access, efficiency, effectiveness, participation, satisfaction, etc.).
- ***Preliminary stratification of communities for sensitization*** with a view to ensuring maximum participation of service users, service providers and other stakeholders through field visits, awareness campaigns and advocacy work on Social Accountability for basic services.
- ***Determining the sample size of the population to be involved.*** Focus group discussions, identify the necessary number of focus group discussions to avoid Social Exclusion.
- ***Developing a work plan and arranging the required materials/logistics*** and manpower (training lead facilitators, etc.).
- ***Identify inputs.*** This involves identification of the facilities, physical assets, service inputs and entitlements for the chosen sector. This is used to gather and publicize information about the supply side, and about the availability and/or uses of key inputs for the service.

Phase 2: Developing the Community Score Card

This is a critical phase in the implementation of Community Score Cards, since it involves various social groups with different interests, different levels of understanding of what their rights are, and different perceptions and attitudes to the service providers. Developing a Community Score Card needs to be done with sensitivity and should comprise the following steps:

Step 1: Organize the Community Gathering

- Organize sessions and brief the citizen groups about the purpose and the process.
- Divide participants into focus groups for a discussion on a subject, e.g., gender, age group, social mapping, etc.
- Assign facilitators to each citizen group: two persons per group, a leader and a note taker

Step 2: Prepare the Input Tracking Matrix

Inputs are resources that are allocated to a service delivery point in order to ensure efficient delivery of services in health, water supply, education, agricultural outreach and in the rural road sectors. Input tracking refers to the monitoring of the flow of physical assets and service inputs from the federal, regional, woreda and local levels.

Step 3: Generating and Prioritizing Issues.

In this first step try and generate many possible issues by asking:

- How are the services in your locality?
- Which services and programs are going well? What doesn't work well?

Subsequently, the group needs to agree on the most relevant issues, which are the most important and urgent to deal with first. The group is expected to give reasons for their choice. These can be made graphically evident by ordering the issues in a table.

Step 4: Developing Indicators and a Matrix for Scoring

The facilitation teams (community note taker and facilitator from each group) will meet and share the various issues generated. From the mix of issues voiced from the different groups, a list of common major issues are identified. For each issue an indicator is developed and listed in a scoring matrix. After the completion of preparing the indicators and matrices, the facilitation teams go back to their respective communities.

Step 5: Conducting the Score Card with the Community

The following activities are to be undertaken in this step:

- Present the indicators for the whole group and build a consensus on the common major issues and related indicators that will be used.
- Then disperse people to their previous groups, so that each group will give their own score.
- Performance scoring: Use scales for performance scoring (it can be 1-5, or 0-10, or 0-100 or any traditional counting method). The group needs to agree on the scores either by

vote, but preferably by consensus. The scoring card could be expressed in a qualitative term, i.e., very bad, bad, just ok, good, very good.

- Justifications for each score as well as suggestions for reforms and improvements are also required.

Step 6: Consolidating the Community Score Card

- Develop the matrix to record scores from all the focus groups so that the scores can be consolidated (combined for each indicator).
- Facilitators will convene a meeting with the representatives from the focus groups. The representatives share scores from each of their groups and the scores are inserted in the matrix. Facilitators then guide the discussion by asking questions such as: Looking at the different scores, which show the real picture/situation? The purpose is to produce scores that are representative, either by taking the average, or preferably by consensus.

Phase 3: Conducting Score Card self-evaluation with Service Providers

This phase of this process involves getting service providers to evaluate the performance of their service. The process is more or less the same as with the service user and the Community Score Card described in Phase 2. If few service providers are participating, there may not be any need for group formation as these could represent related government sectors and administrative officials. In this case there will be no consolidation of scores.

Phase 4: Interface/Reform Meeting

The Community Score Card helps both sides to come together, identify the reasons for poor services and find solutions for the problems identified. This phase is concluded by conducting an interface meeting to develop a Joint Action Plan and to arrange a follow-up meeting for further institutionalization.

Annex IV: List of ESAP Woredas by Region and City Administration

Region/City	Total No. of ESAP Woredas
Tigray	24
Amhara	73
Oromia	127
SNNPR	47
South West Ethiopia Region	8
Somali	31
Afar	14
Gambela	6
Benshangul Gumuz	8
Harari	4
Diredwa	4
Addis Ababa	62
Sidama	8
Total	416