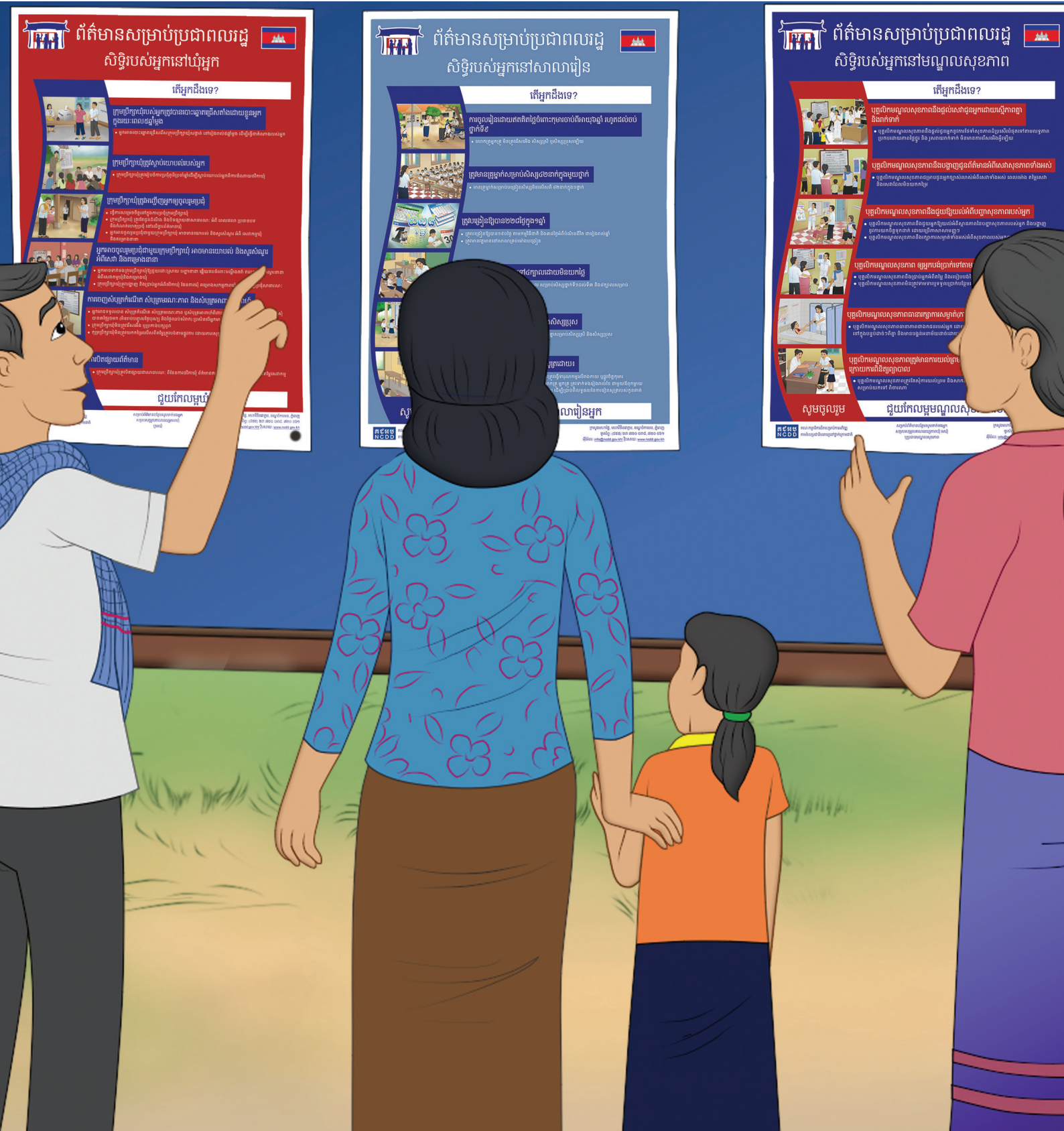


Implementation Plan for the Social Accountability Framework



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2015-2018

I-SAF

April 2014

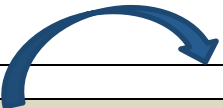
The I-SAF is a joint initiative implemented by NCDD and Civil Society
Organizations in Cambodia.

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SECTION 1 INTRODUCTION

1. **This paper sets out the scope, content and approach proposed for the operationalization of the Strategic Plan on Social Accountability for Sub-National Democratic Development** brought into policy by the RGC on July 11, 2013. It sets out the implementation plan for a social accountability framework (SAF) that has also been endorsed by civil society and provides a joint platform for action by government and civil society.
2. **In order to provide an integrated picture of the proposed implementation of the SAF, this summary paper includes both demand-side (civil society-led) and supply side (government-led) activities and arrangements.** It includes seven sections organized around the scope and content of the components, the institutional arrangements, financing and budgets, expected results and potential risks.
3. **Social accountability is a means to boost local cooperation between local authorities, local service providers and citizens/users in such a way as to support public service providers to improve their performance.** Previous Cambodian experience, and experience elsewhere, has shown that social accountability tools (like Community Scorecards) help to foster mutual respect and constructive engagement between citizens and state actors.
4. **The endorsed Social Accountability Strategic Plan described five strategies to achieve the overall objective of coordinating efforts to enhance citizen engagement and social accountability in Cambodia.** These five SAF strategies, have been organized into four I-SAF components as outlined below.



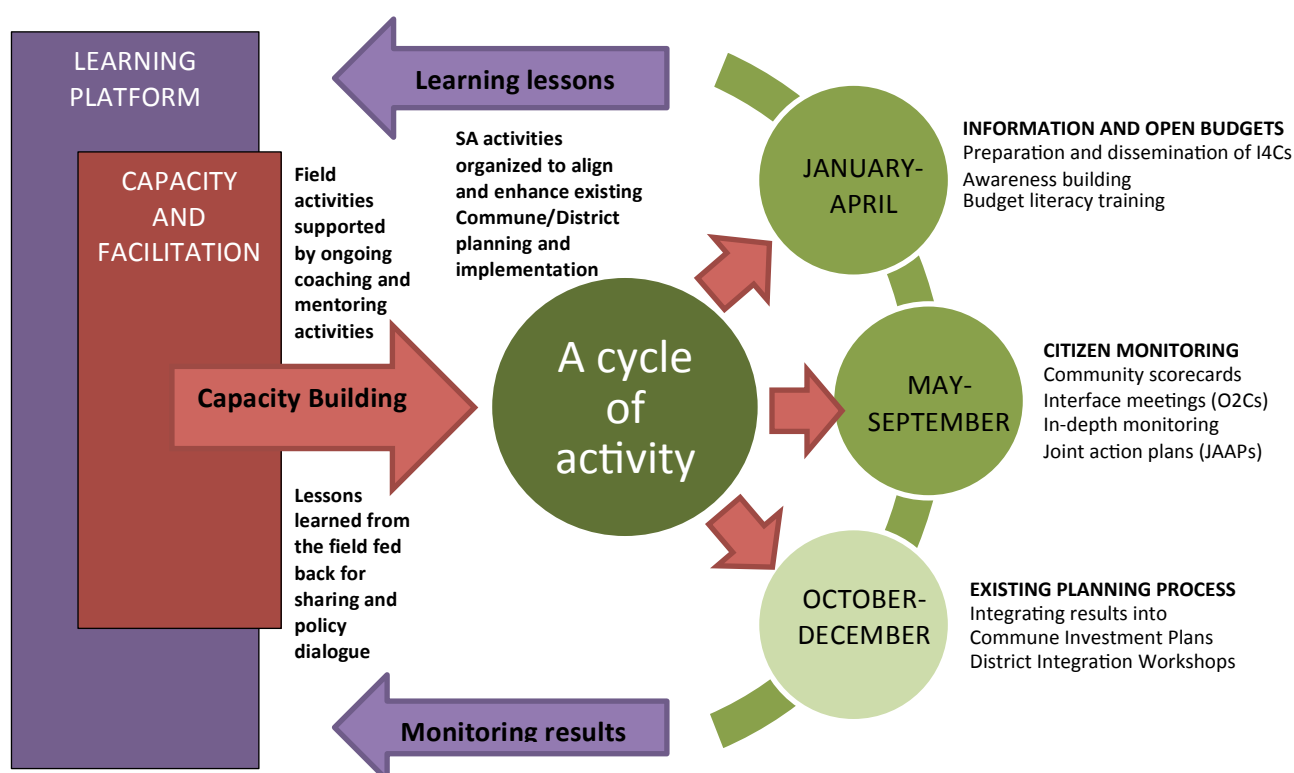
SAF STRATEGIES	I-SAF COMPONENTS
1. INFORMATION Improve transparency and access to and use of information on standards, budgets and performance	Component 1: ACCESS TO INFORMATION AND BUDGETS
2. MONITORING Introduce facilitated citizen-led monitoring and reporting of local performance and service delivery	Component 2: CITIZEN MONITORING
3. BUDGET WORK Improve citizens' budget literacy and strengthen their understanding and knowledge of budgets	Incorporated into: Component 1: ACCESS TO INFORMATION AND BUDGETS
4. FACILITATE ENGAGEMENT Engage state and non-state actors and build skills to facilitate the engagement and social accountability process	Component 3: FACILITATION AND CAPACITY BUILDING
5. LEARNING Learn lessons from local interventions and translate into Government policy and improved CSO practice	Component 4: LEARNING AND MONITORING

SECTION 2 SCOPE AND CONTENT

2.1 Organization of components for implementation

1. **The I-SAF consists of four components of action: (i) access to information and open budgets, (ii) citizen monitoring, (iii) facilitation and capacity building, and (iv) learning and monitoring.** All four components are inter-linked and mutually reinforcing. Each component also involves both demand-side (civil society) and supply-side (government) actions. For example:
 - **Access to information and open budgets:** Component one will aim both to enhance citizens' access to user-friendly public information (including simplified budgets) and to develop the capacity of citizens to understand and utilize that information. The idea is to strengthen both provision of and demand for public information.
 - **Citizen monitoring:** Under Component 2, processes are introduced to allow citizens to collectively analyze government-supplied information and to undertake their own independent monitoring and assessment of public services and government performance. Interface meetings ensure that citizen-led findings are shared with relevant government actors and lead to the preparation of Joint Accountability Action Plans ensuring that follow-up actions on the part of all concerned stakeholders are agreed and fed into established processes of commune-level planning and decision-making.
 - **Facilitation and capacity building:** Through Component 3, a training, mentoring, and coaching process of community facilitators, CBOs, commune and district level councilors and staff and local public service providers, will be implemented to support the first two streams of activity, build capacity and promote sustained action.
 - **Learning and monitoring:** The Learning and Monitoring component aims to provide a culture and mechanism for "learning by doing" about processes and results. The findings on the ground will be continually fed back into capacity development processes and the guidance for implementation.

Figure 2.1:
Social Accountability Cycle



2.2 Cycle of Implementation

2. Social accountability activities will be undertaken through a cycle of activity that includes information-sharing and budget literacy work, implementation of social accountability practices (i.e. citizen monitoring), facilitation and capacity building, and learning and monitoring, and so on.
3. The timing of the activities in each component will be important and integrated, where appropriate, to align with the timing of existing decision-making processes (see Annex 2). For maximum impact activities will be developed to provide capacity, feedback and inputs into existing local systems.

2.3 Coverage and location of implementation

4. Over the period 2014 to 2016, it is intended that the social accountability activities described in this plan will be implemented in approximately 120 districts. In terms of scope:
 - **The focus is on “rural” areas in this first phase of implementation.** Urban areas Sangkats/Khans and Municipalities until later in the roll out.¹
 - **All communes in a district will be covered.** Many of the activities will take place in communes, schools and health centers, but the unit of coverage is at the administrative level of district.
 - **The province is important too.** Although I-SAF activities are focused at the local level, it will be important to also ensure effective communication and coordination with key actors and networks at the provincial level.
 - **There will be an effort to avoid doubling up activity.** Districts with other activities underway can choose to opt-in to the implementation of the SAF during 2014-2017, or will be transitioned into the roll out in 2017 or when the pilot is otherwise completed. It is only sensible that NGOs are not funded for carrying out 2 different approaches.
 - **Urban Social Accountability.** Analytical work will be conducted to consider the variance for urban contexts (khans/sangkats). This issue will be explored under Component 4 in 2014.
5. The selection of districts will be linked to the implementing presence of NGO partners. It is not the intention of the I-SAF to encourage any parallel structures or discrete projects (see Section 5). Similarly for the inception phase, field-testing will take place in those districts where testing partners have established activities and partners.

¹ The requirements of urban and rural social accountability may be vastly different.

COMPONENT #1: ACCESS TO INFORMATION AND OPEN BUDGETS

1. **Transparency, access to information and open budgets are essential elements of democracy, good governance, and social accountability.** Without information about standards of service, citizens cannot know what to expect or request from a health facility, a school or a sub national administration (SNA). Once all actors share the same information, the potential for enhanced mutual understanding, improved relationships and collective action is greatly increased. State/non-state dialogue that is based on data and evidence has a much better chance of leading to concrete improvements. A lack of access to accurate, systematic and timely information has been a constraint to effective citizen engagement and social accountability processes. Moreover, since citizens have lacked an opportunity to access the information that government has, or influence public decision-making in a meaningful way, their demand for information has also been low.
2. **Information on budgets and expenditures is an essential sub-set of this information.** Research shows that, in Cambodia, both public financial transparency and citizen understanding of public financial issues need to be improved. Cambodia is in the lowest category of countries when it comes to “open budgets”, providing “scant information” to citizens.² As the institution responsible, NCDD has paved the way in openness and transparency around Commune/Sangkat Fund (CSF) financial information, but recent studies and surveys by NCDD and others have also provided evidence that few citizens request information and that expectations about budget transparency are low.

COMPONENT DESCRIPTION

3. **As described in the Social Accountability Framework strategies 1 and 3, this component will strengthen transparency and citizen access to, and demand for, public information and budgets.** There are distinct aspects to this effort – generating, simplifying and disseminating information and improving awareness, understanding and budget literacy. The goal is to: (i) strengthen the supply and dissemination of relevant local level public information (including budgets), (ii) make the information more accessible, and (iii) build capacity of citizens to understand the information provided. As seen in social accountability activities conducted in Cambodia to date, the improved supply of, and understanding of information is expected to facilitate constructive dialogue on ways to improve the performance of local service delivery.
4. **What information?** For effective engagement, citizens require information on government policies and processes, on the standards of service and governance they can expect, on budgets and annual expenditures, on targets for services being provided, and on the actual performance achieved. Information should relate to the sectors of priority interest to citizens (i.e. health, education, water and sanitation, natural resource management and the functions of communes). This information falls into two sets: that information which needs revision each year (e.g. performance data) and that which is revised when it changes (policies). Typically these sets will include:
 - **Information on policies and procedures.** Simplified information on key government policies, laws, plans, and procedures (for instance, government policy regarding the SNDD reform) to help citizens understand the context of development. Knowing about policies and procedures empowers citizens to understand how things are supposed to function and operate, and what decisions are made. This category of information will include simplified versions of the policies (e.g. overall national policy such as the SNDD policy, charters, codes of conduct), and procedures (e.g. how finances are to be managed) of local public institutions and service facilities. It will also provide citizens with information on how to interact with those institutions (i.e. who to contact, where to get information, how to make a complaint). For instance, in a school or health center, it might include what fees are to be charged, what services are free, official opening hours and the codes of conduct of staff. In communes it will include information on the CSF process (e.g. procurement and execution of projects). This is not new – all of these kinds of information have already been provided before, at times and in some places, by NCDD/MOI and other line ministries.³

² Open Budget Survey, 2010.

³ E.g. OWSO disclosure of code of conduct and access to information on services; the AWG complaints handling system.

- **Information on standards/entitlements to services.** This will empower citizens with information on what they are entitled to by law or regulation. The entitlements of citizens to access local basic services is set out in policy and law, already published by the respective ministries, (e.g. MOEYS policy on schools includes information on standards such as student to teacher ratio; MOH policy for primary health care includes the availability of trained medical practitioners or medicines; and MOI has policies guiding civic registration and the commune/sangkat fund (CSF) and district/municipal fund (DMF)). This information provides a baseline against which performance can be measured.
- **Information on budgets and expenditures.** It is important for citizens to know what funds are made available, especially in financially constrained situations. Budget information is currently available for communes and for schools, and some already post these on their office walls for the public to see. Most health centers only know their complete budgets at the end of the year (but the previous year's budget can be used as a guide). This information needs to be compiled and presented in a format that citizens can use and understand. And it needs to be matched with expenditure information (how these budgets were spent) at the end of each year.
- **Information on targets.** Targets (e.g. the Cambodian Millennium Development Goals or a Ministry's program goals) are established to improve performance. Tracking performance against targets is useful so government knows how it is doing at the local level. This information is already in the public domain but not communicated so well at the local level. For instance:
 - In primary education, key outcome targets include: the Primary Net Enrolment Rate (96%), and the ECE enrolment of 5 year olds (50%); while service targets are Pupil to Teacher Ratio (45 pupils) and survival rate from Grade 1 to Grade 6 (75%).
 - In health, targets for 2017 include: Immunization coverage (children receiving three doses of DPT) – 70%; Rate of antenatal care (2 ANC visits) – 95%; health facility delivery (90%); Under 5 mortality (70%).
 - In communes, there are established service standards for the processing of birth and death registrations.
- **Information on performance achieved.** Citizens need information on the performance of their service agencies – annual outcomes and outputs of schools, health centers and commune/districts. Government already produces a “commune profile” (that includes a rich variety of development data) that is available in the commune database.⁴ I-SAF activities will promote the compilation and dissemination of information on a pre-agreed set of key performance indicators (similar to the targets that government has already set). Performance information is likely to include:
 1. Rate of enrolment in early child education
 2. Rate of enrolment in primary
 3. Rate of students reaching Grade 6
 4. Number of students per teacher
 5. Immunization coverage (children receiving three doses of DPT)
 6. Rate of antenatal care (2 ANC visits)
 7. Rate of health facility delivery (public and private)
 8. Under 5 mortality
 9. Percentage of birth registrations within service standard
 10. Percentage of death registrations within service standard
 11. Commune implementation indicators for CSF projects
 12. Socio-economic indicators to be agreed.⁵

5. **The primary instrument for providing this “core” information to citizens in Phase 1 will be the “Information for Citizens” (or I4C) pack.** To start this process of sharing and discussing information at

⁴ It is anticipated that District administrations will be phased-in in Year 2 or 3 when the DMF is functioning. The district still has a role however, compiling information and budgets within that district, and in capacity building as set out in Component 3.

⁵ These will be discussed and agreed during the development of the I4C templates.

the local level, a set of core information relating to SNAs and local level service delivery points will be collected⁶ and presented in packs called *Information for Citizens* “I4Cs”. It is expected that I4Cs will be generated at district level and distributed to: communes, local service providers, and local partner NGOs for distribution and dissemination.⁷ The data will be developed and presented to respond to the different needs and perspectives of key sub-groups, including women, youth and the poor. When compiled, it will provide a picture of what government says it will do (standards and targets), what it does do (performance indicators), and with what funds (budgets and expenditures).

6. **At the local level, key stakeholders will be encouraged to add to the “core I4C information” other “supplementary information” relevant to that particular district or commune.** This might include information on local natural resources, water supply, or sanitation for example, whatever is important to a community. Or it may include additional information on health or education (e.g. on ELCs or NFE classes) or on any specific indicators at risk in the local context. Information generated from community scorecards (produced under I-SAF component 2), will provide detailed information on how citizens perceive service delivery in terms of their satisfaction with performance and processes. There may also be cases where more detailed multi-sector information can be accessed by larger NGOs, and “translated” into simpler messages for citizens.⁸ The format of this supplementary information could be the same as the core information, or specific to each purpose – the key is to make it accessible.
7. **To enable citizens to assess and understand performance, the I4C will enable comparisons to be made.** The following comparisons are proposed in the first stage of the I-SAF, and ways of doing this will be developed in the inception period:
 - Comparing actual with intended processes and results, including the comparison of targets, standards, requirements, plans, and budgets with actual performance and expenditure;
 - Comparing changes and trends over time; and
 - Comparing results between similar units. “Bench-marking” provides a relative comparison of performance between schools, health facilities, Communes and Districts. Initially, this will be done at the district level.⁹
8. **“I4Cs” – the information packs for citizens – are mechanisms for communication between government and citizens.** The information compiled for citizens in “I4Cs” aims to inform citizens about processes, rights, and performance. The design of I4Cs will bring together information on local services that are critical to citizens, and poverty reduction. The I4Cs will present data in a way which is easy for citizens to understand and which facilitates debate on performance and service delivery improvement.
9. **The format of the information matters – simplicity and presentation will be critical.** When providing information directly to citizens, information will be presented in a simple, graphic, user-friendly and easy-to-understand format. Templates will be developed, tested and provided to communes and local NGOs to use. Information will be compiled and presented in formats that are easy to print, in posters and brochures, and other communication tools. The templates will be piloted and field-tested to ensure they contain the information needed, are understandable and relevant to all groups and sub-groups, including women, youth and the poor.¹⁰
10. **The preparation of I4Cs and the provision of information from government will be guaranteed in the form of disclosure regulations.** The regulations that are developed by NCDD will ensure agreed information is supplied on an annual basis, is accurate, is publicly posted and publically available, and is accessible to citizens. NCDD will strengthen the capacity of all SNAs to understand and implement disclosure requirements, and be aware of their roles and responsibilities. Along with other compliance/inspections it will ensure that regulations are monitored and complied with.

⁶ Early clarification is needed on who will be responsible for this collection.

⁷ This reporting data set is considered achievable because it is smaller than required internal government reporting.

⁸ In the longer term, NGOs will be expected to have access to more detailed data and to process raw data. In time the I4C should also include information independently provided by third parties (e.g. audit results).

⁹ Eventually, this could include comparisons with national averages and allow a relative ranking of service delivery units.

¹⁰ Although there is an increasing amount of information available to the public and on line, much of this data was designed to be used by technical specialists and sector professionals at the national level. Information needs to be made accessible to citizens. There is also come a lack of clarity with multiple sources of funding, different reporting arrangements.

11. **Awareness raising, capacity building and budget literacy efforts will ensure that I4Cs are understood and utilized by citizens and community-based organizations (CBOs).** A key aspect of improving accessibility will be outreach – getting I4Cs to citizens rather than expecting citizens to go to a government office and collect information for themselves. “I4C meetings” will be held to encourage discussion and debate. Community awareness-raising campaigns, capacity building of CBOs, and training of “community accountability facilitators” in every commune will help stimulate interest in and demand for I4Cs. Developing budget literacy and an understanding of financial management will be a key element of this awareness raising. Significant efforts in training and mentoring will be required to support this improved citizen access to public information. Special emphasis will be placed on targeting women and youth as key community-level “change agents”.
12. **Both government and civil society will have responsibilities to bring about this change.** In terms of responsibilities, government¹¹ will: (i) collect data, (ii) prepare I4Cs, and (iii) post key information in agreed accessible locations. Civil society will help government (iv) disseminate I4Cs (at commune and village level), (v) validate I4C data at local level, and (vi) enhance citizen awareness and demand for information.

COMPONENT 1A: PERFORMANCE INFORMATION

13. **This component collects, reviews and collates supply side data on agreed policies, standards, targets, budgets and performance into information sets (I4Cs) for citizens.** The data to be collected will initially include communes/districts and health and education service delivery. This information will be assembled for service delivery units, communes/districts and will be aggregated by district where possible. In the inception phase, the design development team will work with NCDD-S and line departments to expand and review the available information and will prepare short guidelines to explain the data collection process. (e.g. Who exactly will be responsible for data collection? Will a specific district-level official be tasked with the annual compilation of I4C data? Is the formation of a joint district-level committee necessary to, among other tasks, provide oversight to ensure data collection/dissemination takes place)?

Output 1.1: Core data (the input for I4Cs) is collected, reviewed and compiled.

14. This output collects, reviews and collates supply side data and information to bring together the actual information that will be used to produce I4Cs. As noted above, the “core” information included in the I4C will be a strategically selected and prioritized sub-set of the information. Although there are currently some problems with the usability of information,¹² most of the core information is currently available in some form, and availability will be enhanced once the regulatory framework is clarified (see Output 1.6 below). Communes/districts and local NGOs will be encouraged to develop and disseminate “supplementary” information – applicable to local needs and interests, over the course of implementation.

Output 1.2: Information packs (I4Cs) are designed and produced.

15. Communes and service delivery units will organize for the presentation of information according to a set of prepared templates, (in cooperation with the local CSO partner that will be responsible for awareness building). The templates/guidelines will be produced and field tested during inception. In designing I4Cs, the specific interests and requirements of women, the poor, youth, and other sub-groups will be taken into account. The information will be tested for having: (i) a clear purpose and audience, (ii) a well-defined medium (for example, posters, radio, meetings, brochures, bulletin boards, reports, web-sites, etc.) and (iii) well-defined content and explanations of the data, including a set of comparisons to enhance understand (standards versus targets, changes and trends over time, comparisons between units).

¹¹ The term “government” is used in this document to refer to schools, health facilities, CSs and DMKs; in the future other (deconcentrated or decentralized) service delivery units may also participate.

¹² Although there is a considerable amount of data potentially available to the public, much of this information has been prepared for central reporting purposes and is not accessible locally. In other cases, especially at the local level, there is too much data, not always useful for councilors and citizens. Generally, data is not consolidated and compiled locally and data collection routines tend to focus on the provincial level. As a result data collection and data management is not yet fully decentralized to DMKs. The format and presentation of information often does not facilitate comparisons as noted above. This output aims to address this gap.

16. Guided by detailed I4C guidelines, commune and district level actors will be responsible for developing the agreed physical means for disseminating the information – e.g. bulletin boards, reports, posters and brochures to disseminate the I4C. Civil society will organize local-level discussions to review and validate data. CSOs will also produce supplementary public education materials and conduct awareness building and outreach events to disseminate information (see output 1.8 below).

COMPONENT 1B: OPEN BUDGET INFORMATION

Output 1.3: Budget information is collected, reviewed and compiled.

17. Open budgets are a key dimension of the SAF. While it is envisaged that they form a vital part of the I4C, described in Outputs 1.1 and 1.2 above, the collection of this information will vary across the government agencies that are engaged. Communes and schools generally know their budgets and budget categories and there is predictability in the way they plan and manage expenditures. Community contributions to schools, as well as current and forthcoming School Grants (supported by SIDA and other DPs), will need to be included to ensure that the whole budget of a school is publicly disclosed and discussed. Health center budgets on the other hand are far more fragmented, and a different approach (e.g. publishing the previous year's budget) may need to be adopted in the short term.

Output 1.4: Simplified budget information is presented and posted.

18. Simplified budgets will be published in the I4Cs, as well as being separately posted at schools, health centers and communes/districts according to the agreed guidelines. Many schools, health centers and communes already allow community members to see their budgets. This output will put in place a tested format and will provide support for more systematic presentation and posting of budgets at the local level – specifically for districts, communes, health centers and schools.

COMPONENT 1C: SYSTEMS, REGULATIONS AND COMPLIANCE

19. This sub-component develops the necessary systems, guidelines and regulations and compliance to enhance access to information and budgets, and sets out how this will be monitored.

Output 1.5: District data management procedures are developed and adopted.

20. The various sources of information described above (typically obtained from communes, schools, health facilities, and citizens and currently compiled at provincial level) will be organized, compiled and stored at the district level hub. This will enable more meaningful comparison and access to information. It will be important to enable districts to obtain agreed data – it will be necessary to “get the information back to the communes” where councilors and citizens can be empowered to analyze and use it. For communes, electronic data collection processes (including the Project Information Database (PID) and the Commune Database (CDB) are currently implemented at provincial level rather than district level. This output will support the development of district level data entry, management and storage and more timely and accessible information for communes and districts. This will first require a technical review of data collection processes and then revisions to the relevant procedures and guidelines. It is not anticipated that this process should hold up the other information-gathering activities set out above. To enhance information ownership and use, these data management revisions are considered vital. Activities will also include developing a strategy for storing agreed information sets, assessing options and feasibility for web-based or district level management information systems.¹³

¹³ Although predominately urban, the opportunity to pilot the most appropriate approach could be afforded by the 35 District Ombudsman's Offices (DOs)¹³, and the six new Citizen Information Centers (CICs) piloted in One Window Service Office (OWSO) locations. The information described in this Component will be distributed to the CICs, and a strategy developed to aggregate information from local government agencies.

Output 1.6: Regulations and guidelines for open local budgets and information are developed and implemented.

21. Information disclosure regulations and guidelines will be developed. They will describe the scope and content of the information and budgets to be made publically available, and the approach to be adopted to improve access and build understanding. The output will ensure that every SNA, health center and school has the legal mandate *and* means for disclosing information to citizens. Before the *prakas*/guideline is prepared, and based on the simple strategies proposed here, NCDD will develop a short policy paper outlining its approach to improving SNAs' provision of information to the public. public officials will be trained to implement the disclosure regulations (e.g. responsibilities to provide access to information, and customer service techniques).

Output 1.7: Compliance and monitoring systems for open local budgets and information are developed and implemented.

22. For SNAs, a *prakas* on the provision of information to citizens will be needed to establish the requirements for the disclosure of information. Like other *prakas* for SNA action, the MOI will determine whether requirements are being fulfilled and what incentives and sanctions are needed to ensure SNA officials implement regulations.¹⁴ These monitoring (inspection) processes¹⁵ will be developed over time (to complement civil society monitoring and feedback), and will become increasingly formalized - for example, starting as checklists and manuals but by 2015 developed into more independent, formal, and systematic compliance inspection processes (developed under the IP3). Inspections will independently assess: (i) whether information is being provided according to rules and regulations, and (ii) whether the information provided is accurate.¹⁶ The activities will include designing and implementing: government and civil society monitoring procedures to ensure that information and reports are provided by Communes, health facilities and schools; evidence-based compliance inspection routines to enforce disclosure to information regulations; and reporting formats. A normal part of inspection/monitoring routines will be to check that SNAs are completing the compilation of data and that it is accurate. More discussion will be needed on how this is phased in, and how checks will be made in the interim period before an inspection system is established.

Output 1.8: Civil society monitoring of open local budgets and information is carried out.

23. Putting in place the checks and balances to ensure that the regulations for open local budgets and information are followed, will depend not only on the compliance systems of government but also on actions taken by local NGO partners, to provide regular feedback on progress being made. Output 1.8 will design and establish a system of CSO monitoring and reporting on district/commune, health center/school compliance with regulations for the public dissemination of local budgets and information, (including this in the scope of activity of local NGO partners, providing guidelines and offering capacity building) and NCDD will develop and circulate the guidelines/instructions to ensure responsiveness to CSO monitoring efforts. The details of this mechanism for "third party" monitoring will be developed during the inception phase in conjunction with the other reporting requirements of local NGO and their coordinating partners.

COMPONENT 1D: AWARENESS RAISING AND CAPACITY BUILDING

24. **This sub-component aims to stimulate demand for information and budgets, to create awareness among all actors of what information and budgets are available, what citizens' rights are, and where and how to access and use information and budgets.** It also seeks to build the capacity of citizens and CBOs to use the information and budgets effectively. Within this component, local awareness campaigns will be carried out in tandem with the dissemination of the I4Cs at district, commune and village levels – through awareness creation, skills development, and the dissemination and analysis of public information and budgets. These citizen-oriented activities – focusing on the sets of information

¹⁴ Though MOI is ultimately responsible, it may delegate the responsibility (for example to provinces) or may undertake the inspection together with private sector or CSO participants.

¹⁵ Citizen monitoring is discussed in Component #2.

¹⁶ It will be important (and consistent with principles of social accountability) to include civil society in monitoring compliance.

and simplified budgets described above – will be designed to explicitly target women, youth and the poor and will involve efforts to reach out to and tailor messages for these groups.

Output 1.9: Community accountability facilitators' capacity is developed on social accountability, information and budgets.

25. Community accountability facilitators will be key actors in disseminating and building understanding of public information and budgets. Output 1.9 will provide basic introduction on the SAF and social accountability principles, and will train and mentor community accountability facilitators to be aware of citizen rights to information and understand the importance of public information. Community accountability facilitators will also learn how to analyze the information contained in I4C packs, how to effectively share this information with community members and help them to understand and make use of it. As described above, the I4Cs will include information on public budgets and expenditures. Community accountability facilitators will, therefore, also be trained to understand public budgets and financial information and also to improve the "budget literacy" of community members, helping them to access and utilize budget information and to engage constructively with local officials regarding matters of public finance. These activities will also specifically target women and youth, those members of the community frequently marginalized from financial discussions, explaining why information and budgets matter to them.

Output 1.10: Councilors, local officials and local service providers are trained on information and budgets.

26. Local level state actors will also have important roles to play in disseminating and building understanding of the I4Cs and the importance of public financial transparency. Under this output, local councilors, officials and service providers will also receive training and support to build their own understanding of performance information, revenue/budget/expenditure information. They will also learn how to support the information awareness building and budget literacy of ordinary citizens..

Output 1.11: CBOs, communities and citizens awareness is raised on information and budgets.

27. I4Cs and budgets will be distributed by various state and non-state stakeholders. Once the I4Cs and budgets are available in the new, accessible and understandable forms (as described in Outputs 1.2 and 1.4), local NGO partners, community accountability facilitators and councilors will assist citizens and CBOs to develop an appreciation and understanding of the content and benefits of performance and budgetary information. Developing basic levels of budget literacy is a key part of the activities included in this output. Commune councils and local NGOs working with community accountability facilitators will hold awareness campaigns, organize community meetings, issue press statements, give media interviews, organize radio or television listening clubs to encourage citizens to collectively reflect on and discuss the information contained in the I4Cs and budgets.

28. **Through this component, it is expected that SNAs and local service delivery providers will actively develop and produce information sets, will post budgets and expenditures, and develop capacity among all stakeholders to use that information – policies, standards, targets, performance as well as budgets and expenditures.**

> **On the supply side**, by 2017, all communes in 120 districts will have opened up information/ budgets on schools, health facilities and commune/district. Information will cover performance and expenditures and will be disaggregated by gender and other key sub-groups. By end 2014, disclosure regulations will be drafted, approved and implemented; monitoring routines which enforce these regulations and ensure accuracy of data will have been developed. Data collection routines will be improved, revised, and further decentralized from provincial to district level.

> **On the demand side**, systems and capacity will be established to support the awareness building process, and citizens will be increasingly aware of the role and importance of public information including budgets. Citizen's budget literacy will be improved and they will be empowered with information that will assist them to hold government to account for services provided at the local level. Citizens and other non-state actors will use this information to inform the monitoring processes described under Component 2.

SUMMARY TABLE: COMPONENT 1 – ACCESS TO INFORMATION AND BUDGETS

Item	Description
Objectives	- To improve transparency, access to and demand for public information on policies, standards, budgets/expenditures, targets and performance. - To improve budget literacy of all stakeholders and strengthen inquiry of budgets.
Expected outcomes and indicators	A sustainable enabling environment for opening up local information and budgets - Completion of the regulatory framework and oversight system, understood by local stakeholders (regulations, compliance) Open local budgets - SNAs and Local service providers are posting budgets in agreed formats and locations - Budgets are being utilized by communities in monitoring processes. Open and accessible information - Accurate information sets (policy, rights, performance) are flowing and being used by communities in monitoring processes. - Citizens are able to access I4Cs, are aware of their content and utilize the information Government actors use budgets and information to improve local performance - Government responsiveness improves through enhanced understanding of government commitments.
Subcomponents and outputs	Subcomponent 1A: Performance Information Output 1.1: Core data (the input for I4Cs) is collected, reviewed, and compiled. Output 1.2: Information packs (I4Cs) are designed and produced. Sub-component 1B: Open Budgets Output 1.3: Budget data is collected, reviewed and compiled. Output 1.4: Simplified budget information is presented and posted. Sub-component 1C: Systems, Regulations and Compliance Output 1.5: Regulations and guidelines for open local budgets and information are developed and implemented. Output 1.6: District data management procedures are developed and adopted. Output 1.7: Compliance and monitoring systems for open local budgets and information are developed and implemented. Output 1.8: Civil society monitoring of open local budgets and information is established and implemented. Sub-component 1D: Awareness Raising and Capacity Building Output 1.9: Community accountability facilitators' capacity is developed on social accountability, information and budgets. Output 1.10: Councilors, local officials and local service providers are trained on information and budgets. Output 1.11: CBOs, communities and citizens awareness is raised on information and budgets.

COMPONENT #2: CITIZEN MONITORING

1. **The objective of Component 2 is to introduce facilitated citizen/community-led monitoring and reporting of commune/district activity and local service delivery.** The strategy seeks to strengthen the role of both citizens/users and commune councilors in monitoring and seeking accountability from local service providers.
2. **The Social Accountability Framework purposefully focuses on citizen engagement through monitoring and feedback of government performance.** In the past citizen engagement has relied solely on the planning process. While this planning remains a key part of the commune calendar, the SAF complements it with key empowering activities for citizens. It moves away from large, formal mechanisms where participation is mandatory but is often very passive, and emphasizes monitoring activities at the community level in which citizens participate freely and play *active* roles.
3. **The strategy seeks to empower councilors and citizens to reflect on performance compared with standards, and to focus on identifying actions that can be taken (by communities, councils, service providers and line ministries) to improve performance.** Performance monitoring will empower citizens with information to feed into existing planning processes. It is key to the empowerment process that the focus of citizen monitoring efforts is defined by citizen/communities themselves to address the issues that matter most to them. The I-SAF will provide citizens with accurate multi-sector information and empower them to play an active role both in proposing recommendations for improvement and in conducting a process of more in-depth monitoring and evaluation in a particular service or facility that they consider a priority.

COMPONENT DESCRIPTION

4. **On the demand-side, this component of the I-SAF introduces a facilitated process of participatory monitoring of a range of services/functions.** With the assistance of trained community accountability facilitators and local NGO partners and armed with information about government standards and performance indicators produced in Component 1, groups of citizens, will: (i) conduct their own assessment of the performance of local service providers (including, *inter alia*, health centers, schools, communes), and (ii) prioritize their greatest concerns. The findings of these citizen assessments – called community scorecards – are subsequently shared and discussed with commune councilors as well as service providers and district officials in a facilitated meeting – called an Interface meeting. At the interface meeting, effort will be made to work out what to do about the problems through a process of action planning – called Joint Accountability Action Plans (JAAPs). The Action Plans will set out four areas of action: (i) by communities themselves, (ii) by service providers, (iii) by commune councils, and (iv) by district offices of health and education. To promote accountability and action findings and actions will be publicly disseminated at a district-level media event and presented at the District Integration Workshop.
5. **On the supply-side, this component also sets out government action to develop procedures and to support community-led monitoring activities (feedback, results, and follow up).** In particular, government actors will help organize and attend interface meetings, listen to citizen monitoring findings, and formulate and follow up on agreed actions. Government will ensure that interface meetings have a neutral flavor, managed by skilled “neutral” facilitators.
6. **The strategy places emphasis on strengthened communication and working relationships between citizens and local authorities through a facilitated process.** It seeks to transform the nature of the relations between citizens and local authorities and service providers, aiming for a more productive working relationship based on a shared information base and a mutual understanding of and respect each other’s respective roles, rights and responsibilities. It does this by: (i) making sure all parties come to the interface meeting with knowledge of standards and performance results; (ii) “bringing councilors to the people” (rather than simply giving citizens permission to attend council meetings); (iii) providing professional facilitation; (iv) paying attention to gender, age and socio-economic dynamics; and (v) promoting a participatory, inclusive and interactive exchange. All monitoring and interface activities are facilitated by trained community accountability facilitators, under the guidance and support of local NGOs (see Component 3).

7. **Interface meetings result in the development of Joint Accountability Action Plans (JAAPs).** JAAPs will describe what citizens, local service providers, communes and district offices will do to address performance gaps identified through monitoring activities. The JAAP will be defined at the interface meeting and subsequently followed-up on under the guidance of a joint JAAP committee – made up of commune and citizen representatives. The JAAP committee will seek the endorsement of the commune council (to approve commune actions) and support and monitor the implementation of the JAAP by various stakeholders.
8. **In some cases, commune councils will be service providers, and in others, they will represent citizens and play an oversight role (of local level public service providers).** When engaging central government, the advocacy and oversight function of key commune actors (commune councilors, clerks and village chiefs) will be strengthened. Commune councilors provide a natural bridge between the citizens who elected them and other government service providers operating in their jurisdiction.
9. **The operationalization of Component 2 will primarily be led by citizens/communities working with trained community accountability facilitators under the mentorship of local partner NGOs.** It is expected that at least 800 citizens (of which, at least 400 women) per district per year will be directly engaged in the annual multi-sector monitoring process.

COMPONENT 2A: CITIZEN-LED MONITORING

10. **A multi-sector citizen-led monitoring process will take place at village-level (or cluster of village) participatory workshops. Community members will create their own scoring and prioritization of sectors/issues as well as discussing and verifying existing sectoral data/information.** Local NGOs, will mentor community accountability facilitators and any partner CBO. Local administrations will be fully engaged in the proposed monitoring initiatives. NGOs and their partners will propose where monitoring takes place according to guidelines and mobilize groups of women, youth and poor households to join participatory workshops.
11. **Guidance for the implementation of multi-sector community scorecards will be developed in the Operational Manual.** During the design phase, a manual will be developed to guide the implementation of scorecards. All instruments will be field-tested to obtain feedback and refine. The following sections outline the outputs of this subcomponent.

Output 2.1: Multi-sector community scorecards are implemented annually in each target district.

12. Multi-sector community scorecards will be implemented, annually, in all districts described in the roll-out plan. In each district, approximately 800 persons (of which at least 50% women) are expected to participate in workshops.¹⁷ Scorecards will be carried out for schools, health centers, and commune/district administrations¹⁸, and any other services or development issues prioritized by the community. In each district it is expected that one local NGO partner will support local CBOs and train/mentor community accountability facilitators to lead the scorecard process. The final scorecard (and action plan) will be posted at communes, schools and health centers for all community members to see.
13. To support the scorecards, a range of capacity development and awareness-building activities will be implemented. These are described under Component 3.

Output 2.2: Based on community demand, in-depth citizen-led monitoring of specific local services or issues are implemented

14. When multi-sector scorecards are complete, support may be provided for communities to conduct more in-depth assessments of issues and services – those that have been flagged in the scorecards as needing more attention. This “in-depth” monitoring may take different forms, depending on the issue and the capacity of local NGO partners and facilitators. For example, if the scorecard raised an issue on the quality of health services, specifically on the health center staff, then a community might propose

¹⁷ Workshops will be conducted separately : (i) to encourage participants to speak freely (experience shows that women, youth and poor people are frequently less likely to speak up in mixed groups); and (ii) to facilitate the collection of disaggregated data (allowing the program to identify differences in the experiences, views and priorities of different social groups).

¹⁸ At the outset it is anticipated that all score cards will cover at least commune activities, schools and health centers as a core set. This could be supplemented by other community priorities, decided by communities. It is anticipated that the District Administration will be phased in over time, and this will be dependent on the fiscal transfer through the DM Fund.

citizen monitoring activity on health staff absenteeism. If the problem identified is financial mismanagement, then a social audit process might be proposed. The findings will be integrated into the interface meeting and JAAP. Relevant findings should also be fed into the subsequent year's I4C.

SUBCOMPONENT 2B: INTERFACE MEETINGS AND JOINT ACTION PLANNING

15. Once the scorecard is complete, the next step is to conduct an interface meeting to share findings with local stakeholders (citizens with councilors, selected district/commune/village officials, health center managers and school principals) and agree on the actions to be taken to tackle the problems identified. A process for implementing the interface meetings will be included in the operational manual, with the following characteristics:
 - Councilors, district health and education officials and service providers go to / reach out to citizens, rather than citizens being "called" to meetings in government offices.
 - Active presentations of the citizen monitoring are led by citizens and CBO representatives.
 - Government stakeholders listen and respond to citizens.
 - Citizens will discuss I4C performance and budget information as well as results from citizen led monitoring.
 - Service provider self-assessment findings and recommendations for action.
 - Interface meetings are timed to ensure that results of citizen monitoring efforts can be incorporated by communes/districts into the annual CIP as appropriate.
 - Interface meetings are constructive events with skilled facilitators mediating the discussion between government representatives and citizens.
16. **A key result of the interface meeting is the development of a Joint Accountability Action Plan (JAAP).** The key elements of the JAAP will be agreed at the interface meeting and subsequently followed up on by a JAAP Follow-up Committee, led by the commune council and comprised of representatives from the community, the commune, schools and health facilities, as well as representatives of the district administration and line ministry offices.
 - (i) Actions that **community members** can undertake themselves (e.g. cleaning up health center compound, or monitoring hours of health workers).
 - (ii) Actions that **service providers** can undertake themselves with small or negligible changes in budget. (e.g. school principals taking action over teacher performance, health workers treating patients with respect, improving cleanliness).
 - (iii) Actions by **commune and district councils**. These actions might take two forms: (a) As a service provider, the commune can take action over the services it provides to citizens (e.g. making sure citizen registration forms are available, making sure the planning process is inclusive); (b) As an oversight body, responsible for poverty reduction and local matters, commune councilors will be expected to leverage change in services (schools and health centers) and/or request support from district offices.
 - (iv) Actions by **district offices of line ministries**. These are higher level actions. (e.g. request for more teachers, requests for drugs in clinics, immunization, etc.).
17. **Local level management and support committees will be involved to ensure actions identified in the JAAP are taken up and implemented** (such as the Village Health Support Groups¹⁹, Health Center Management Committees, School Support Committees and District/Commune Committees for Women and Children²⁰). Experience shows that specific attention needs to be given to following up action plans. In several previous initiatives, citizen monitoring exercises have been successfully undertaken but the limited implementation of action plans has been a weakness. It is important that communication and

¹⁹It will be important to establish a link between the I-SAF and the revision of the Community Participation Policy of the MOH as this policy could be important to provide guidance to MoH staff and service providers regarding information-sharing, public posting of key documents, participation of MoH staff in scorecard processes and interface meetings, engaging in the implementation of JAAPs, etc.

²⁰CCWCs will be engaged and ensure that actions are gender sensitive.

interaction between citizens/services users, service providers and local authorities is not limited to the interface meeting but that, with the support of the JAAP follow-up committee,

18. . The JAAP follow-up committee ensures that scorecard findings and the resulting JAAP are incorporated into Commune Investment Plans and, where relevant, presented at District Integration Workshops.
19. The following outputs are required for this sub-component.

Output 2.3: Interface Meetings are conducted and JAAPs produced.

20. After the completion of the multi-sector scorecard, the local NGO partner works with partner CBOs and community accountability facilitators to collate (village cluster level) scorecard findings and illustrate the results in a simple, user-friendly format. These findings are presented at an 'interface meeting' (held in one of the participating villages) annually, before the commune planning cycle. For the implementation of this process to be effective, intensive mobilization and capacity development efforts are required (see component 3). All activities will specifically seek to target equitable numbers of women and youth and will incorporate gender and age dimensions in their content. The characteristics are set out in para 15.
21. Interface meetings result in the production of a Joint Accountability Action Plan (JAAP). This action plan will describe what community and local actors can and will do to enhance the quality and accessibility of public services. JAAPs represent a commitment on the part of both citizens and government agencies to take concrete steps towards positive change. The various organizations will need to take back to the JAAP to their organizations, for endorsement and execution. The format of the JAAP will be field tested and made available in the operational manual; but it is planned that this be a single comprehensive action plan, with four sets of actions:
 - (i) Actions that **community members** can undertake themselves (e.g. cleaning up health center compound, or monitoring hours of health workers).
 - (ii) Actions that **service providers** can undertake themselves with small or negligible changes in budget. (e.g. school principals taking action over teacher performance, health workers treating patients with respect, improving cleanliness).
 - (iii) Actions by **commune and district councils**. These actions might take two forms: (a) As a service provider, the commune can take action over the services it provides to citizens (e.g. making sure citizen registration forms are available, making sure the planning process is inclusive); (b) As an oversight body, responsible for poverty reduction and local matters, commune councilors will be expected to leverage change in services (schools and health centers) and/or request support from district offices.
 - (iv) Actions by **district offices of line ministries**. These are higher level actions. (e.g. request for more teachers, requests for drugs in clinics, immunization, etc.).

Output 2.4: JAAPs are disseminated and implemented.

22. Once agreed, the actions outlined in the JAAP will be undertaken by citizens, councils, schools and health centers, and relevant district officials. First, community accountability facilitators and CBO partners will work with communities to inform them of the final content of the JAAP and involve them in implementation measures. Second, to inform the broader public about the process, community accountability facilitators and CBOs together with Commune Councilors and the local NGO partner, will present the scorecard findings and the agreed JAAPs at local events, including a combined district-level media event (including press releases and follow-up interviews).

Output 2.5: A joint "JAAP" follow up committee is formed to oversee and monitor the implementation of the "JAAP" action plan.

Implementation of the JAAP actions will be overseen and monitored by a joint "follow-up committee", convened and chaired by the commune council and including representatives from all key stakeholder groups. Visits and meetings will be held as appropriate (i.e. depending on the nature of the actions agreed upon, members of the JAAP follow-up committee will update citizens and CBOs on the

implementation of their recommendations and proposed actions. Actions that have budgetary implications will need to be discussed with commune councils to see if they can be included in the CIP, or with schools and health centers, and with district offices. JAAPs will also be presented at the annual District Integration Workshop to encourage other forms of support from other non-state actors.²¹

COMPONENT 2C: REGULATORY ENVIRONMENT TO SUPPORT CITIZEN MONITORING AND COUNCILOR OVERSIGHT

23. **Since Commune councilors are the democratically elected representatives of citizens at local level, they play an essential leadership role in all local social accountability activities.** Social accountability activities have been tried and tested throughout Cambodia and experience shows that impacts are greatest when commune councilors have the confidence to intervene and leverage change. This sub-component provides support to develop these oversight functions and capacities.
24. **Linkages between political and social accountability will be key.** As elected representatives, Councilors have an oversight function in their communes – this mandates them to “watch out” over all matters/services that affect their communities. Social accountability activities should complement this role and vice versa to make the whole system more accountable. Although services are provided through line ministries, with line ministry authority and responsibility, communes play a crucial role as elected representatives with a poverty reduction and economic development mandate.²²

Output 2.6: Prakas and guidelines describing SNA roles in citizen-led monitoring are drafted, approved and implemented.

25. It is important that these social accountability activities (including interface meetings) become part of the normal procedures of SNAs, health centers and schools. As such, a Prakas will be developed to ensure that local administrations and service providers actively support and participate in these processes and receive guidance (and training) in how to do so. Guidelines and procedures will be presented in the operational manual.

Output 2.7: Legal and regulatory frameworks for CS and DMK oversight of local service delivery are reviewed and revised.

26. Regulations (prakas) will be developed to clarify the functions and responsibilities of commune and district councils in terms of overseeing service delivery in their jurisdictions,²³ and citizens in the monitoring process.²⁴ In terms of process, it is expected that NCDD will hire consultants to support the drafting of the Prakas, prior to implementation.

²¹ The DIW is also the forum where a community could identify if support for in-depth scorecards could be made available.

²² At the district level, although operational procedures have not yet been developed, responsibilities in terms of monitoring and supervising central government service delivery have been assigned to DMK Boards of Governors, who function as central government representatives within the Council. The DMK Inter-Sector Office is responsible for coordinating line ministries and development projects and for resolving disputes in its area. Article 154 of the Organic Law states: “The governor shall represent ministries and institutions of the Royal Government in supervising, coordinating and directing all line departments and units of the government ministries and institutions that operate within the jurisdiction of the council. The governor shall represent the Royal Government, relevant ministries and institutions on issues related to security, social and public order, law, and human rights within its jurisdiction. As the representative of the Royal Government and government ministries and institutions, the governor shall be accountable to the Royal Government, the Ministry of Interior and other ministries and institutions

²³ While the communes already have the mandate for poverty reduction and economic development, it is noted that more clarity would enable more engagement in the social accountability process.

²⁴ Once the Prakas is complete, existing operational manuals and systems will be reviewed and, if necessary, revisions made.

COMPONENT 2D: AWARENESS RAISING AND CAPACITY BUILDING

Awareness raising and capacity building activities at district level are included in Component 2 (as they are part of the activity).

Output 2.8: Implement a coordinated program of training/mentoring/"learning by doing" with community accountability facilitators.

27. Under this output, local NGO partners will provide training to community accountability facilitators. Training of community accountability facilitators will take place over approximately a 10 month period and will consist of four six-day training events interspersed by periods of mentored "learning by doing" (i.e. implementing the various program activities including I4C awareness-raising, implementing the multi-sector scorecard, facilitating the interface meeting, etc.). Community facilitators will learn not only how to help citizens access information but also to how to facilitate social accountability practices, and strengthen and mediate relations between citizens and local administrations and service providers. By the end of the program, the goal is to have a critical mass of 35 to 40 trained facilitators in each target district,²⁵ who are able to provide ongoing support for social accountability activity.²⁶

Output 2.9: Awareness raising on citizen monitoring and JAAPs is undertaken for CBOs, communities and citizens.

28. The principal role of community accountability facilitators (CAFs) is to help community members to engage in the social accountability processes. This includes conduct a range of awareness raising and capacity building activities for citizens and CBOs, as well as guiding and facilitating their active participation in monitoring and social accountability processes. This will involve information-sharing events at local level (including awareness of rights), guided discussions to help community members understand social accountability principles and practices, workshops to generate community scorecards, and support for interface meetings. These activities will be carried out on an ongoing basis throughout the annual cycle.

Output 2.10: Training (on JAAPs, citizen monitoring and oversight functions) is undertaken for local officials and local service providers.

29. Social accountability activities also provide an opportunity to develop the individual and organizational capacities of commune and district staff who provide, monitor and supervise service delivery. This output will provide training activities for local officials (councilors, Boards of Governors, district staff) and service provider staff(). To the extent possible, social accountability training events at local level will include both state and non-state actors in order to build up a shared understanding and strengthen relations between these key actors.
30. **Results of component 2 – Citizens will actively participate in monitoring of the performance and budgets of SNAs and local service delivery units, cooperate with state actors in producing action plans, which will then result in government adopting and implementing agreed actions in workplans and budgets.** This component develops multi-sector community scorecards to monitor and report on local services and government performance. Interface meetings between citizens (and CSOs) and government are conducted to present community findings and identify recommended actions in Joint Accountability Action Plans. Training, mentoring and capacity development opportunities are provided to community accountability facilitators, who will work with local NGO partners in developing awareness and capacity of local level actors. Selected District staff will also receive training and contribute, in turn, to the training of commune level officials and staff. As Commune and District Councils function as elected representatives of the citizens in their jurisdiction, processes to strengthen their oversight of local service delivery are developed.

²⁵ Experience shows that training a mix of state and non-state actors has the added advantage of promoting enhanced understanding, building trust and strengthening working relations between them. Particular emphasis will be placed on strengthening the collective voice and agency of women, youth and traditionally marginalized groups

²⁶ Under component 3, a specialized training partner will conduct Training of Trainers for the staff of national and local NGO partners who will subsequently be responsible for the training and mentoring community accountability facilitators (see Component 3).

SUMMARY TABLE COMPONENT 2: CITIZEN MONITORING

Item	Description
Objective	To establish facilitated citizen/user monitoring and reporting of agreed SNA functions and local basic services.
Expected outcomes and indicators	Enhanced engagement of citizens in performance monitoring and feedback - Citizen monitoring and joint actions become part of the annual cycle of SNAs and local service providers. More responsive allocation of resources - Budget/expenditure profiles change to reflect priority problems and actions identified in the JAAP. More inclusiveness and equity in allocation of resources and service delivery - JAAPs and budgets/expenditures reflect the concerns of marginalized groups (youth, poor HHs, women). Improved performance of local actors (SNA officials and service delivery providers)[within their scope of action] - Citizen monitoring/JAAPs trigger action: > Service providers improve behavior and services provided > Councilors leverage change over local services > District officials improve compliance and checks. Improved capacity of actors in local governance and development processes - Councilors better utilize their role to stimulate change - Citizen engage more actively in local governance and development processes.
Sub-Components	A. Citizen-led Monitoring Output 2.1 Multi-sector citizen scorecards are implemented annually in each target district. Output 2.2 Based on community demand, in-depth citizen led monitoring of specific local services or issues are implemented. B. Interface Meetings and Joint Action Planning Output 2.3 Interface Meetings are conducted and JAAPs produced. Output 2.4 JAAP actions are carried out by 4 sets of stakeholders. Output 2.5 A joint "JAAP" follow-up committee is formed to oversee and monitor the ongoing implementation of the "JAAP" action plan. C. Regulatory Environment to Support Citizen Monitoring and Councilor Oversight Output 2.6 Prakas and guidelines describing SNAs' roles in citizen-led monitoring are drafted, approved and implemented. Output 2.7 Legal and regulatory framework for councilors oversight of central government service delivery are reviewed and revised. D. Awareness Raising and Capacity Building Output 2.8 A coordinated program of training/mentoring/ "learning by doing" with community accountability facilitators is implemented. Output 2.9 Awareness raising on citizen monitoring and JAAPs for CBOs, communities and citizens is conducted. Output 2.10 Training (on JAAPs, citizen monitoring, oversight functions) for local officials and local service providers is conducted.

COMPONENT #3: FACILITATION AND CAPACITY BUILDING

1. **This component aims to identify and engage state and non-state actors and build skills to facilitate the engagement and social accountability process.** It describes how the activities outlined in components 1 and 2 will be supported by grassroots engagement and NGO facilitation, and sets out the capacity building approach envisaged for social accountability processes between citizens and government.
2. **Social accountability requires a willingness and capacity on the part of state and non-state actors to engage with one another through new accountable relationships.** An important goal of social accountability is for citizens and public actors to understand and embrace their respective roles and responsibilities. It is key that state actors and service providers understand and accept that it is their responsibility to respond and account to the citizens they are mandated to serve. Simultaneously, citizens must understand that it is both their right and responsibility to be informed about community affairs, to engage in public life and to expect and demand accountability from public officials and civil servants.
3. **Social accountability has the objective of strengthening understanding, trust and constructive engagement between state and non-state actors.** Social accountability approaches in the SAF aim to establish productive working relationships between citizens and the state based on principles of mutual respect and “critical collaboration”, i.e. seeking collaboration rather than confrontation, and recognizing that it is the legitimate role of citizens and civil society to question and feedback views on the actions and decisions made by public officials and service providers. An important goal is also to promote engagement by community groups that have much to offer but that, due to gender, age or socio-economic-based discrimination, are frequently marginalized or excluded from governance and decision-making processes (i.e. women, youth and poor people).
4. **Social accountability involves the creation of facilitated spaces and mechanisms for constructive engagement between state and non-state actors.** For effective engagement, the spaces (events, meetings etc.) must be “safe” and inclusive. All participants (from both government and civil society) must have access to relevant background information and have the opportunity to adequately prepare for events. Trained facilitators have a key role to play helping to prepare participants; ensuring representative participation of different social groups (including women, youth and poor people); promoting active and equitable voice and participation (of representatives of different social groups) during meetings; managing any tensions or conflicts that may arise; guiding the group towards meaningful results, and; ensuring meaningful follow-up.
5. Component 3 aims to strengthen social accountability by introducing and nurturing a new culture of constructive engagement between citizens and authorities and by putting in place skilled people and organizations able to facilitate the processes described in Components 1 and 2. This will include: (i) the training and mentoring of community level facilitators; (ii) supported by NGO partners, as well as broader capacity development efforts aimed at; (iii) helping all local actors (community members, CBOs, SNAs and service providers) to develop the practical knowledge, capacities and skills they need to put social accountability into practice and to interact in an effective and constructive manner.

COMPONENT DESCRIPTION

6. **On the demand-side, the component will introduce the human resources needed to enhance the interface between state and non-state actors at the local-level, and build the capacities and skills of citizens (women and men) and CSOs (CBOs and local NGO partners) to engage constructively with SNAs and service providers** around the three social accountability processes: information, budgets and citizen monitoring.
7. **It does so by training and mentoring a cadre of community accountability facilitators** (drawn from both state and non-state institutions) to support the effective implementation of social accountability activities and interface meetings. Activities under Component 3 also build the capacity of strategically selected CBO partners and support accountability-related public education activities targeting citizens and members of local CBOs (with an emphasis on women and youth).

8. **On the supply-side, it is also important that the interface between citizens and government be provided with appropriate support on the government side to underpin and provide technical support to the social accountability initiative.** A vital element in all local development initiatives is the development of skills to enable effective dialogue and collaboration between state and non-state actors. Capacity development for SNA staff on how to promote social accountability and work effectively with citizens, CBOs and NGOs is envisaged.
9. **By training a critical mass of local actors in social accountability and facilitation skills, Component 3 aims to not only support constructive engagement during the initial period of program implementation, but to build capacity and skills necessary to sustain engagement over time.** Community accountability facilitators and local CBOs will be trained both to initiate and implement social accountability practices and to facilitate and mediate dialogue, collaboration and negotiation among and between state and non-state actors.
10. **While it is expected that community accountability facilitators are mostly drawn from active members of CBOs; it is anticipated that at least some candidates will be drawn from commune councils depending on who is best placed to perform the role in a particular community.** This is likely to vary, but would not exclude effective mobilizers that also have state roles. For example, members of Commune Committees for Women and Children are mandated to oversee engagement and impacts on women and children and are thus logical candidates for social accountability roles. Some local-level training and capacity development activities will be conducted jointly (with both state and non-state actors). Experience shows that joint training not only ensures that state and non-state actors learn a common vocabulary and develop a shared understanding of social accountability principles and practices, but it also contributes to enhanced familiarity, trust and collaboration between government and civil society actors. This is critical to sustaining constructive engagement over time and in helping to overcome difficulties or conflicts that may arise along the way.
11. **In order to establish an effective interface between government and citizens it is vital that citizens are organized.** Community-based organizations provide an essential vehicle and safe space for citizen association, voice and collective action. While grassroots citizen associations are limited in Cambodia, where CBOs have been formed they have been very successful in promoting citizen empowerment. This is particularly important in the Cambodian context where reticence to speak out as an individual is highly prevalent. For all these reasons, the program will seek to build the capacity of CBOs in target districts and to support them in playing a primary role in promoting social accountability in their communities.

The planned implementation arrangements are set out in Section 3 of this document.

SUB COMPONENT 3A: FACILITATION

Output 3.1: Local partner NGOs to support community accountability facilitators are identified and contracted.

12. Local NGOs have a key role to play in mobilizing, training, mentoring and accompanying community accountability facilitators and partner CBOs. Their role is to provide these community-level actors with the knowledge, skills and support they need to successfully implement social accountability activities. Local NGOs will appoint skilled facilitators and trainers, enter into MOUs with community accountability facilitators and CBOs, and develop their capacity to guide and mobilize the social accountability activities. The local NGO partners will be guided by the operational manual to staff the processes appropriately. It is likely that NGOs will provide capacity building activities in different ways, depending on competencies and context. The workload per district/per NGO is expected to require three full time trainers/mentors plus management and administrative staff. It is anticipated that Implementing NGO partners (international/national) will identify local NGO partners through existing partnerships, or through an assessment of their track record in the target districts. Implementing NGO partners will be responsible for providing mentoring, backstopping, capacity development and quality assurance for local NGO partners.

Output 3.2: Strategic CBO partners (with an emphasis on those representing women and youth) are identified.

13. To ensure communities are organized effectively at the local level for the implementation of social accountability activities, CBOs with an interest in social accountability will be identified and perform roles as both program implementers and beneficiaries. Local NGO partners will identify and establish partnership agreements with 10-20 CBOs in each target district. Given their potential as change agents, priority will be placed on identifying CBOs that represent women, youth and poor people. Throughout the duration of implementation, partner CBOs will be engaged in capacity development and “learning by doing” activities.

Output 3.3: Community accountability facilitators (with an emphasis on women and youth) are selected and mobilized.

14. A critical element of the program is creating this cadre of trained community accountability facilitators in each target district (4 per commune). At least 50% of the facilitators will be women; at least 25% under the age of 35. The operational manual will describe how to meet these targets. After selection, community accountability facilitators will ensure that CBO partners are continually engaged in program activities, and act as a catalyst for the capacity development of the CBOs. They will pass on their knowledge and skills to other CBOs members.
15. With the support of the local NGO partner, community accountability facilitators will design and deliver a range of activities for local citizens and CBO members - aimed at informing, mobilizing and capacitating them to implement social accountability practices and to engage constructively with local authorities and service providers. These “learning by doing” activities, specifically target women, youth and poor people as change agents. They will cover issues related to information (rights, budgets and standards), active citizenship, social accountability and constructive citizen-state engagement, as described in Components 1 and 2 above. Conducted over a period of 10 months, and using a combination of both face-to-face training and “learning by doing”, the training offered to community accountability facilitators will be comprehensive, in-depth and practical. Instead of training just a few individuals at local-level, the program aims to train 35-40 strategically selected individuals in every target district, thus creating a “critical mass” of capacitated local-level advocates and practitioners from both civil society and commune councils, empowered to initiate and sustain social accountability practices in their communities. At the end of the training period, all trainees who have successfully completed the course, are certified as a trained community accountability facilitator.

Output 3.4: A community of practice is created to provide on-going support to community facilitators.

16. The I-SAF will use a database, social media and other forms of communication to support facilitators and partner CBOs. This will include creating a national database containing profiles and coordinates of trained social accountability facilitators (to promote networking and marketing of skills), creating a Facebook group for social accountability facilitators (to promote discussion and share information), and issuing information updates and invitations to learning events through the Facebook group page on an ongoing basis. Responsibility for this will lie with a civil society organization and will depend on the actors appointed and funding available.

SUB COMPONENT 3B: TRAINING, MENTORING AND CAPACITY BUILDING

17. A specialized training partner (TP) is envisaged to play a supportive function to both state and non-state implementing partners. The TP will develop a core capacity building curriculum and “learning by doing” methodology and offer Training of Trainers (ToT) to all implementing partners as well as government trainers. A single training partner for both state and non-state actors is considered advantageous because many topics overlap (for example general orientation, I4Cs, disclosure regulations, interface meetings, etc.). The training partner will: develop training curricula, materials and methodologies; deliver ToT to both state and non-state trainers, and; provide ongoing mentoring support and technical assistance as required.

Output 3.5: A specialized social accountability training partner(s) is recruited.

18. Key activities for this output include: (i) preparing a TOR and job description for the training partner; (ii) competitively selecting the training partner, and (iii) providing orientation and support to the training partner to understand the program. On the demand-side, the specialized training partner will offer ToT to selected staff from local NGO partners, who will in turn be responsible for the training and mentoring of community accountability facilitators. Designated staff from national NGOs will also participate in and contribute to this ToT. The specialized partner will provide refresher training and ongoing back-stopping support as necessary, and work with implementing NGOs to improve and refine the training curriculum and learning by doing strategy over the first three years of the program. On the supply side, the specialized training partner will coordinate with relevant NCDD staff to ensure that district officials (including district level health and education officials) also receive adequate training and capacity building support.

Output 3.6 Training curriculum, materials and methodology (for both demand and supply-side actors) are developed.

19. The specialized training partner will develop all materials required to implement training and capacity development activities. An initial set of potential training topics and timeframes for training (necessary for the purposes of budgeting) is currently being developed by the I-SAF design development team. It is expected the curriculum will: be based on principles of adult education and active “learning by doing” (incorporating a cycle of information, reflection and action); be field tested or piloted before roll-out; be developed through a participatory process; contain exercises, tests, and other means to evaluate learning, and; address the different needs of women, youth, and other key sub-groups. The specialized partner will also work closely with NCDD to help develop an appropriate curriculum and materials for training of local-level (commune and district-level) state actors. Under the Learning Program (see Component 5), the materials will be reviewed annually and revised as necessary.

Output 3.7 Capacity building of local and national NGO implementing partners using a training of trainer approach is carried out.

20. Using a ToT approach, this output aims to build capacity of local and national NGO Implementing partners. A number of measures will be utilized to ensure that local NGO partners have the capacity, support and technical assistance they require to effectively and successfully fulfill their roles. At the outset of the program, relevant staff from all local NGO partners will participate in an intensive Training of Trainers course, designed to give them the knowledge and skills they need to in turn train community accountability facilitators at local level. ToT is expected to take place nationally and to last 20 days in total. Capacity development events and learning opportunities will be offered throughout the duration of the program, allowing local NGOs to continue to develop their knowledge, skills and capacities. Local NGOs will also be provided with a comprehensive training guide (developed by the specialized training partner), providing them with all the substantive information and methodological guidance they need to deliver the various training and “learning by doing” modules to community accountability facilitators. Training staff from national and local NGOs will, nevertheless be encouraged to adapt and tailor training materials as they see fit, and to contribute to the improvement and refinement of the Social Accountability Framework training manual over time.
21. In addition to intensive ToT and the provision of comprehensive training resources, local NGOs will also have access to ongoing mentoring, operational support and specialized technical assistance as required. Technical assistance will be provided on an ongoing basis as required by the national NGO partner (with the support of the specialized training partner when needed). As described below (in Component 4), the program will also benefit from the services of a specialized learning partner. Learning support and services for NGO partnerships, including the preparation of operational briefs and lessons learned, as well as local and national-level sharing and learning events, are outlined below.

Output 3.8 Training of national/provincial/district officials using a Training of Trainer approach is carried out.

22. The specialized training partner will also be responsible for developing a capacity development program for state actors and for delivering ToT to relevant officials down to the district level (including

officials and staff from provincial and district offices and departments of health and education). In doing so, the training partner will work in close collaboration with NCDD, developing the capacity of a number of NCDD “master trainers” over time. ToT is expected to take place nationally and to last 10 days in total. It will complement the efforts undertaken in the training programs for SNAs by the NCDD/MOI.

31. **In terms of the results** of this Facilitation and Capacity Building component, there will be more effective communication and engagement between citizens and commune councilors. This component will have developed a cadre of skilled facilitators and CBO representatives at the community level, will have developed the capacity of local NGOs to mentor and coach them and the skills of local state actors to facilitate effective engagement. This will be achieved through the production of training materials, the training of trainers, and an ongoing program of face-to-face training and learning by doing. Community accountability facilitators will be accredited and supported by a community of practice. This result will emphasize the need for a structural engagement of women and youth and attention will be given to ensure the full engagement of women and youth.

SUMMARY TABLE: COMPONENT 3 – FACILITATION AND CAPACITY BUILDING

Item	Description
Objective	To create a cadre of skilled actors facilitating the engagement of state and non-state actors in constructive and productive social accountability processes To develop the capability of a range of state and non-state actors supporting local level action to engage in the SAF processes.
Expected outcomes and indicators	Empowerment and Capability of Citizens - Engagement of communities (esp women and youth) shifts from passive to active participation. - Citizens are more knowledgeable about rights to service and service performance. Capability of Local Actors - A sustainable cadre of community facilitators are more willing and capable to lead accountability-related outreach/facilitating processes. - Local CSO Partners are more able to mentor and support community action. - Local government actors have more understanding of their accountabilities and their ability to take action.
Sub-Components and outputs	3A: Facilitation Output 3.1 Local partner NGOs to support community accountability facilitators are identified and contracted. Output 3.2 Strategic CBO partners (with an emphasis on those representing women and youth) are identified. Output 3.3 Community accountability facilitators (with an emphasis on women and youth) are selected and mobilized. Output 3.4 A Community of Practice is created to provide on-going support to community accountability facilitators. 3B: Training, Mentoring and Capacity Building²⁷ Output 3.5 A specialized social accountability training partner(s) is recruited. Output 3.6 Training curriculum, materials and methodology (for both demand and supply-side actors) are developed. Output 3.7 Capacity building of local and national NGO implementing partners (demand side) using a Training of Trainer approach is carried out. Output 3.8 Training of national/provincial/district officials (supply side) using a Training of Trainer approach is carried out.

²⁷ Component 3B covers national level training and includes actors down to the district level (both NGOs and Government). Components 1 and 2 include key outputs for awareness and capacity building of CAFs, CBOs and citizens) and training of commune actors and service providers.

COMPONENT #4: LEARNING AND MONITORING

1. **Component 4 places learning as a priority in the implementation of the three areas of social accountability activity (information and budgets, and citizen monitoring).** To enhance implementation of social accountability activities, the I-SAF will include a significant agenda for learning and seek to develop a culture of learning among all actors. The objective is to ensure evidence based lessons are incorporated into program implementation. This is not easy. Various lessons to date have provided evidence of the barriers to learning in all development processes, not just social accountability. Overcoming these barriers and creating a learning culture will be a primary objective of this component.
2. **Despite the challenges, learning what is working and what is not, and ensuring that lessons learned at local level are understood, shared broadly, and fed back for policy revision, will be a key dimension of the I-SAF.** The primary focus of the learning agenda will be the local level actors – local NGOs, community accountability facilitators, and local public officials – working together on the execution of information, budgets and citizen monitoring processes. These actors will inevitably interpret guidelines and experiment and innovate in terms of inputs, processes, formats, and organizational arrangements. The learning component will: (i) ensure that innovations used in local situations and in specific communities can be shared and potentially applied elsewhere, (ii) enable actors to speak freely about what is working and what is not working without concern; and (iii) ensure that government policy and regulations regarding transparency and accountability are responsive to issues and successes achieved.
3. **To ensure this agenda is fully promoted and implemented, the I-SAF provides for the engagement of a specialized learning partner.** An independent “learning partner” will establish a local to national level platform of learning and monitoring as described in the outputs below, will initiate joint forums for reflection and feedback on what works and what doesn’t work in practice, and will create processes to apply this feedback to policy and practice by both government and civil society.

SUB-COMPONENT 4A: LESSON LEARNING AND FEEDBACK

Output 4.1 An innovative learning strategy and action plan is formulated.

4. A culture of learning will be nurtured through an innovative, structured learning platform. Instruments and processes will be developed for field reporting and forums will be held to encourage debate and dialogue in an emphasized, structured and open approach to learning. The details of a learning, research and monitoring strategy and action plan that will guide the implementation of the learning platform will be developed during design development, and at the outset of implementation. It is anticipated that the strategy will nevertheless include many of the outputs which follow.

Output 4.2 Instruments and guidance materials are prepared and disseminated.

5. To develop an effective focus on “learning by doing”, local actors will be encouraged and supported to engage in an ongoing process of critical reflection, action and adaptation. It is anticipated that the implementation of the learning agenda will be ensured by the coordinating Implementing Partners working in collaboration with their local partners. Learning will form a primary objective in all proposals for funding, and will be carried out by Implementing Partners. Ideally this will be based on guidance materials developed by the specialized learning partner.

Output 4.3 Feedback and learning forums are held regularly.

6. It is anticipated that forums for exchange, debate and dialogue – safe spaces for all partners to speak candidly about what they have learned – will be developed from the local level up to the national level. This will involve empowering and engaging community accountability facilitators in reflection processes and mobilizing exchanges between local NGO partners. National implementing partners will facilitate process and thematic exchanges and spaces for sharing experiences. The Learning Partner will convene bi-annual forums (of key state and non-state actors as well as other research-oriented stakeholders) to

discuss – and make decisions on – the lessons learned.

Output 4.4 Feedback and policy revision processes to enhance I-SAF implementation are established.

7. While it is anticipated that local partners will have flexibility to adapt tools to suit local contexts, it is also expected that through the implementation process a vast range of lessons will be learned that can assist all partners implementing the I-SAF. Lessons learned will be documented according to (i) those that can enhance implementation of existing processes (these will be disseminated through updates and revisions to guidance materials); and (ii) those lessons that affect/suggest change to the policy and processes established to date. The latter will be documented and presented and decisions made about any necessary revision to existing regulations or procedures. This feedback and revision process will ensure the I-SAF embraces the learning process and adapts as necessary to improve results over time.

Output 4.5 Specific studies conducted by a specialized Learning Partner support ongoing development of SAF policy and implementation.

8. *Approach to implementing SAF in urban areas.* In the first stage, the I-SAF will focus on implementation in rural districts; at the same time however the process of developing an I-SAF urban approach will be undertaken by the learning partner. It is expected that while the approach will seek the same ends and build on the rural I-SAF, it will be adapted to suit the differing context of urban communities and institutions (i.e. urban services and priorities communities place on different services and resources vary, and citizens may require different information sets and different processes for engagement). During 2015, the learning partner will conduct a study, workshops and prepare an approach paper for I-SAF in urban areas. Later in 2015, instruments and processes will be developed for urban areas with a view to beginning roll out to sangkats/municipalities in 2016-7.
9. *Opportunities for enhanced social accountability through ICT mechanisms.* Global experience shows that mechanisms for citizen engagement in improving service delivery and the allocation of resources can be significantly enhanced through the use of ICT-enabled mechanisms. To date however Cambodia has not used ICT to promote improved access to information, complaints handling or any accountability systems. The use of mobile technology in Cambodia, and the ever-increasing coverage provides an ideal platform to test how Cambodians might utilize an ICT-enabled system. A key area of study in the learning program will be to explore and test options for ICT-enabled approaches, identify state and non-state champions of change and consider priorities for testing within the context of the I-SAF implementation.
10. *Sustainability of institutional arrangements for the facilitation and coordination of I-SAF activities.* Ensuring and promoting the sustainability of social accountability facilitation processes is key to this nationwide social accountability initiative. At the outset of the program, a strategy for facilitation, and for testing proposed facilitation arrangements will be prepared. This will outline options and criteria for evaluation (which will be undertaken by the specialized learning and monitoring partner). Among other options, the District Ombudsman/Citizen Representative (DO/CR) may be considered as a point person coordinating social accountability activity at the district level.²⁸

SUB-COMPONENT 4B: MONITORING AND RESULTS

Output 4.6 Monitoring of results is undertaken in accordance with agreed framework.

11. The approach will focus on results, while recognizing that time is needed for outcome level change. To this end, Year 1 reporting will focus on a set of specific results linked to the information and budgets, and citizen monitoring frameworks. The results framework in Section 7 contains project outcome

²⁸Currently, this function has been established in 35 municipalities and has been piloted in one rural district. The DO is meant to be educated and respected, non-aligned individual. The DO is elected by a local selection committee, consisting of District Councilors, together with three business representatives and three civil society representatives to ensure legitimacy and independence to the post. The current role of the DO/CR is to receive and handle citizen grievances and to oversee the functioning of the One Window Service Offices. If this model is to be replicated to rural areas during the next phase of implementation of the IP3, consideration might be given to the feasibility of the DO/CR assuming an expanded role.

indicators as well as intermediate results (key outputs, milestones, indicators and budgets). Intermediate results were presented in each of the three components. Implementation data and implementation reports will be prepared by the coordinating NGO, implementing NGOs on the demand side and by NCDD on the supply side; the learning partner will compile this information into comprehensive, joined and independent quarterly and semi-annual reports. These reports will include a review and assessment by the learning partner of key issues and constraints and recommendations. The reviews may be thematic or take a case study approach (for example covering community mobilization), rather than always aiming to cover all areas of implementation. They will be made publically available and be discussed during quarterly implementation review meetings, led by the learning partner and attended by both supply and demand side participants.

Output 4.7 Impact evaluations are conducted.

12. Impact evaluations will adopt a “difference-of-differences” (DD) approach, whereby outcome indicators are compared between the baseline and follow up years, and between a control group (that has not conducted activities) and a treatment group (that has conducted activities).²⁹ Several types of indicators will be compared in this DD approach: (i) the I4C indicators (enrollment rates, vaccination rates, etc.), (ii) community scorecard indicators (which gauge citizen satisfaction with services), (iii) indicators of citizens’ awareness, empowerment, and assessment of responsiveness which would need to be collected in a citizen survey.³⁰

Output 4.8 Process documentation and audits are carried out.

13. Processes such as training, facilitation, uptake of citizen recommendations, gender mainstreaming, innovation, and sustainability will be assessed through process audits. Bi-annual policy reviews provide an opportunity to discuss lessons learned. The lessons learned will focus on the degree to which changes in the way processes are implemented seem to affect results. The final identification of process audits will be made when the learning and research strategies are completed, and are likely to include: how training, and different training processes and methods was made most effective, how different facilitation arrangements and models affected implementation, how the “uptake” rate of citizen recommendations was influenced, how gender was effectively mainstreamed and issues of gender were successfully addressed, how local level processes and innovations affected results, and how sustainability was affected by decisions made. It is expected that a majority of these studies will be sub-contracted by the learning partner to other consultants and researchers.

14. **In terms of results**, the Learning and Monitoring component will seek to develop a culture of learning among all actors and ensure evidence-based lessons are incorporated into policy and implementation. There will be a natural tendency of implementers to utilize their own methods and bring a particular focus to this within the context of the framework provided through this IAF. (e.g. the impacts on women or youth). At the same time the component will ensure there is independent objective and facilitated learning about what is working and what is not, and to ensure that lessons learned at local level are understood and shared nationally. The learning component will: (i) ensure innovations used in local situations and in specific communities can be promoted and applied elsewhere, and (ii) ensure that government policy and regulations regarding transparency and accountability are responsive to issues and successes achieved.

²⁹ DD approaches have become increasingly common and increasingly accepted in development economics; methods and background information can be found at MIT’s poverty action lab (<http://www.povertyactionlab.org/>). It is likely that semi-experimental regression techniques will be used to account for differences in control and treatment groups since the assignment of CSs is unlikely to be random.

³⁰ It will be noted that surveys will measure awareness indirectly rather than asking loaded or leading questions like “are you aware of the school’s budget?”

SUMMARY TABLE: COMPONENT 4 – LEARNING AND MONITORING

Item	Description
Objectives	• To develop a culture of learning among all actors • To ensure evidence based lessons are incorporated into policy and implementation. • To improve understanding, and measurement of, results.
Expected outcomes and indicators	A new culture of reflection and learning is nurtured among both state and non-state actors: • Capability and willingness to engage in lesson learning. • The quality of documentation and dialogue on the change process improves. Learning promotes improvements in social accountability policy and practice: • Lessons and feedback triggers change in policy and practice. • Policy developed for urban areas.
Sub-Components and outputs	A: Lesson Learning and Feedback Output 4.1: An innovative learning strategy and action plan is formulated. Output 4.2: Instruments and guidance materials are prepared and disseminated. Output 4.3: Feedback and learning forums are held regularly. Output 4.4: Feedback and policy revision processes to enhance I-SAF implementation are established. Output 4.5: Specific studies conducted by a specialized Learning Partner support ongoing development of SAF policy and implementation. B: Monitoring and Results Output 4.6: Monitoring of results is undertaken in accordance with agreed framework. Output 4.7: Impact evaluations are conducted. Output 4.8: Process documentation and audits are carried out.

SECTION 3 INSTITUTIONAL ARRANGEMENTS

NB: This section now includes management and coordination arrangements included as Component 5 in the previous draft.

3.1 Overall Institutional Arrangements

1. **Institutional arrangements will be developed to work with and within existing structures and processes.** Given that the I-SAF is a nationwide program of activities that are explicit part of, or explicitly support and strengthen, the SNDD reform, wherever possible existing structures and systems will be utilized.
2. **Activities will be undertaken by government, civil society actors or both.** In practice, some activities described in the four integrated I-SAF components, will be undertaken by supply-side actors, some by demand-side actors and other actions will be undertaken jointly to optimize the integrity and impact of each activity. Evidence shows that some social accountability actions must be led by government (e.g. issuing guidelines to ensure the disclosure of supply-side information) while other activities (e.g. citizen monitoring and assessment) are best undertaken independently with the support of civil society actors, and this knowledge has been used to make decisions as to who should do what, and how it should be organized. There will be two parallel and coordinated areas of action for the I-SAF for the supply and demand sides. Annex 1 provides a breakdown of which activities will be government-led, which will be civil society-led and which require joint leadership. It is important to note that even when government plays a lead role, there is an important support role for civil society and vice versa. Ensuring effective coordination and building productive working relationships between state and non-state actors (at all levels) will therefore be essential to the success of the I-SAF.
3. **The primary executing agency for the supply-side activities of I-SAF is the NCDD.** The NCDD Secretariat (NCDD-S) is the overall coordinating implementing agency for sub-national democratic development (SNDD) reform and the implementation of the 3year Implementation Plan of which this I-SAF is a part. NCDD has been closely engaged in this process to date and has led the finalization and endorsement of the final SAF document – the Strategic Plan for Social Accountability for SNDD.³¹ The NCDD-S is well placed to lead implementation given its role in managing the SNDD reform, and developing SNDD policy. As the demand-side activities will initially be designed and tested in the closing stages of the DFGG project, the NCDD will coordinate with the MOI Project Coordinator for the purposes of detailed design, testing and implementation.³² More specific roles and responsibilities are outlined in Section 3.2 below. **The demand side will be managed by a coordinating agency or structure** (yet to be determined) working with selected consortia of national and local NGOs (see Figure 3.1) and section 3.3.

3.2 Who will be responsible in government? How will activities be organized?

4. Within government, **NCDD-S**, as the implementing agency responsible for the IP3, will put in place all the necessary policies and regulations to implement the SAF at start up; and provide a general coordinating role through implementation. This will include:
 - *National leadership* and coordination –which ensures participation of key ministries and civil society representatives.
 - *Sub-national leadership* – Developing and promoting councilors’ oversight and representational roles *vis-à-vis* the delivery of deconcentrated services in their jurisdictions. Supporting councilors in monitoring I-SAF implementation and reporting the results.
 - *Collaboration* – Working in collaboration with MOE and MOH to ensure that key regulations are developed and implemented to promote information disclosure and enhance service delivery through enhanced accountability.

³¹ The NCDD requested the Bank’s assistance in the development of the Social Accountability Framework, has hosted the consultation and endorsement workshops and meetings with civil society and, has played a committed role in the development of the Social Accountability Framework and implementation plan.

³² This relationship will be the same as that already established for the NCDD in the implementation of the OWSO component.

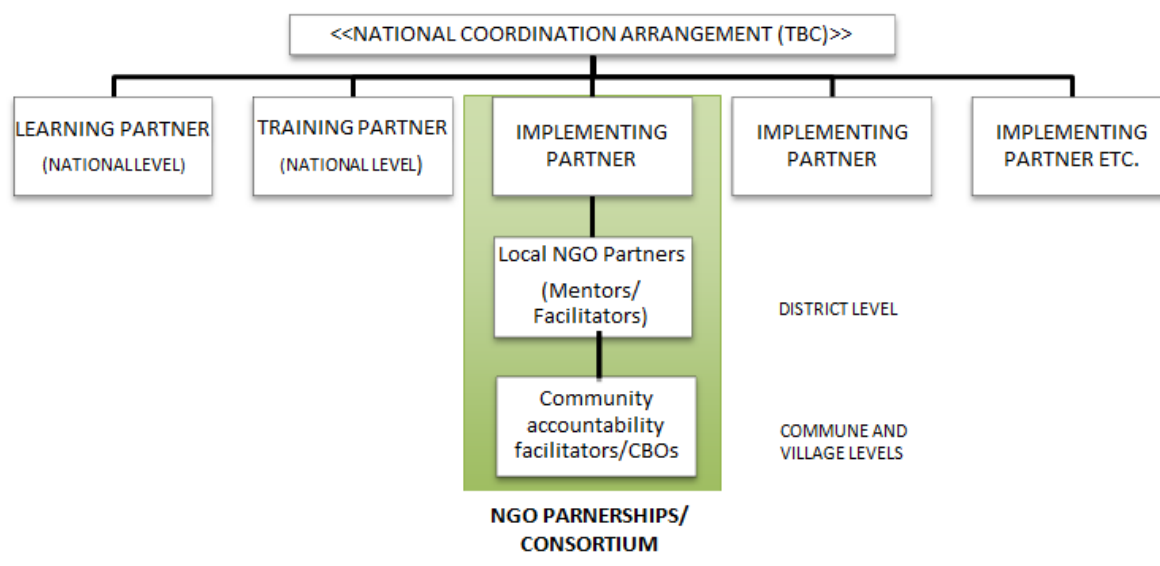
- *Technical support* – Providing support, through the Policy and M&E divisions to help finalize and put in place the elements of the information strategy of the SAF, (I4Cs) and the necessary elements of responding to citizen monitoring (interface meetings, JAAPs, JAAP follow-up committees). This includes specifically developing information disclosure regulations, deciding how these will be enforced, and strategically, how councils will be given incentives to provide information and improved accountability to citizens.
5. At the local level, the engagement of key local level government agencies will be crucial, including communes, districts, schools and health centers (i.e. commune councilors, teachers and principals, and managers of health centers). Each of their roles requires them to be accountable to citizens, and the I-SAF will help them achieve this.
- » **District councils and administrations** will play key roles in information, compilation and coordination. This will include:
 - Working on compiling information at the district level.
 - Working actively with local civil society (community accountability facilitators, CBOs and local NGO partners) on access to information (I4C) tasks.
 - Supporting district-level dissemination and coordination activities (e.g. the media events associated with I4Cs, scorecard findings and JAPPs, and the integration of the JAAPs in the DIW process).
 - Phasing into the social accountability processes (information, budgets and citizen monitoring) when the DMF financing is available.
 - » **Commune Councils** will have two key roles as they are accountable to users for the services commune councils provide, as well as being accountable, as elected representatives, to their constituents:
 - Working actively with local civil society (community accountability facilitators, CBOs and local NGO partners) on ensuring access to information and budgets (I4Cs), and listening and responding to the findings of citizen monitoring (interface meetings).
 - Playing an active role in the development of the JAAP as elected representatives of citizens, delivering and overseeing local services.
 - Leading the JAAP follow up committee.
 - » **Service Providers**³³ will also play a role in improving access to information, cooperating with the community monitoring, and mobilizing improvements by:
 - Providing information (on budgets, performance) as required during the collection phase.
 - Working actively with local civil society (community accountability facilitators, CBOs and local NGO partners) on access to information and budgets (I4C) tasks for their respective facilities, engaging with citizens on the citizen monitoring process, and participating in interface meetings.
 - Playing an active role in developing/responding to actions set out in the JAAP and ensuring agreed actions are implemented.
 - Sustaining improvements in services provided.
 - » **District Offices of Health and Education.** DoE and DoH officials already play formal oversight and inspection roles. The implementation of the social accountability framework will enable them to do their job better, by providing clearer, more informed feedback, and by providing bottom-up inputs to improve the way they perform tasks assigned to them. The district officers will also perform key tasks in:
 - providing and compiling data for the I4Cs.
 - supporting implementation of local level action in the JAAPs.
 - acting as key conduits of information and feedback to the concerned line ministries.

³³ The role of the HCMC and the SSC will be developed further in consultation with the MoH and MOEYS. To ensure the interaction is not filtered, the proposal would be direct interaction with service providers (e.g. teachers and principal), health chiefs and health staff).

3.3 Who will be responsible in civil society? How will civil society partners be organized?

6. Within civil society, various levels of actors are envisaged at the different levels as illustrated in Figure 3.1.

Figure 3.1 Demand-side Implementing Arrangements



7. **National level coordination.** A coordinating structure will be put in place to ensure the overall coordination of the demand side of the I-SAF. The role of the coordination committee/agent will be to liaise with the NCDD and MOI and other ministries as necessary, and report to the high level committee and financing donors. Specific tasks will include:
- **Developing demand side management procedures and guidelines for use by INGOs.** To operationalize the demand side, a design development team will develop processes and manuals to support local NGOs, CBO partners and community accountability facilitators in their implementation of this program.³⁴ An overall coordinating stakeholder will need to manage demand-side resource materials.
 - **Provide overall coordination of the demand side.** The coordinating organization/structure will be responsible for supporting and backstopping the various NGO consortia and ensure effective coordination and communication between them. The coordinating structure will report progress, hold regular meetings with national NGOs, ensure project governance arrangements are upheld, and help develop necessary tools and instruments.
8. **Implementing NGO consortia/partnerships.** The I-SAF action plan will ensure that citizens are supported by civil society actors (community accountability facilitators, CBOs and local NGO partners) to engage meaningfully in the agreed social accountability processes and events. As described above, community-level social accountability activities will be citizen-led, supported by a network of trained community accountability facilitators, who are in turn mentored and managed by local NGO partners, and national/provincial NGO with the skills to play oversight, management and coaching roles. The proposed structure is shown in Figure 3.1 and the proposed function of each described below.
- **“Implementing NGOs”.** Working with their existing local NGO partners and establishing new partnerships as required, national/provincial NGOs are expected to carry out the following activities: managing funds, supporting, mentoring, training and backstopping, providing quality assurance,

³⁴In the design development and field testing inception stage, through a joint process funded by DFGG, a design development team will be responsible for developing all demand side instruments including community scorecards, the process for identifying and appraising in-depth monitoring activities, guidelines on community mobilizers, guidelines on awareness campaigns and the use of the media, and a strategy on the different institutional arrangements for facilitation.

reporting, monitoring and learning. The Implementing Partner will provide funding for local NGO staff costs (three full-time trainers/mentors and one part-time manager) as well as the direct costs of training, mentoring and learning by doing activities (i.e. travel, per diem and meeting costs). Key activities include: (i) developing selection criteria and TORs for local NGOs, (ii) selecting NGOs and entering into MOUs and contracts with them, and (iii) holding quarterly meetings to review performance, issues, and constraints in the implementation of demand-side activities.

- **Local NGO partners.** Local NGO partners, preferably with existing relationships in targeted communes, will appoint three skilled facilitators per district to guide and support capacity development and social accountability activities. At least half of these facilitators will be female; and one quarter should be under age 30. It is expected that facilitators will generally already be part of a local NGO staff or network, skilled in mobilization/advocacy/constructive dialogue, and paid for the role they perform. The local NGOs facilitators will establish, strengthen and mentor a network of community accountability facilitators and partner CBOs, as described below. The role of the local NGO facilitators will include:
 - facilitating group formation or adaptation (as below) and capacity building;
 - developing the capacity of a cadre of community accountability facilitators (with an emphasis on youth and women);
 - supporting community accountability facilitators to facilitate demand-side I4C activities -- stimulating a demand for, and an understanding of information, including budget literacy;
 - supporting community accountability facilitators to facilitate the implementation of the citizen monitoring (including facilitating commune level citizens workshops to review and collate key findings and illustrating these in a simple format for interface meetings);
 - supporting community accountability facilitators to facilitate interface meetings between citizens, commune councils, service providers (teachers and health staff) and district officials;
 - working with all actors to finalize joint action plans JAAPs;
 - supporting in-depth monitoring exercise and feed into overall process (i.e. current efforts to introduce health sector Community Scorecards link in here);
 - preparing and presenting citizen monitoring results and JAAPs at the DIWs and for district level media;
 - monitoring the provision of information (I4Cs) and the implementation of JAAPs.
- **Community-based organizations (CBOs) and community accountability facilitators.** The I-SAF envisages the engagement of existing citizens/user groups or CBOs at the commune/village level to establish an effective interface with government and provide a safe space for citizen voice.³⁵ Four community members (of which at least two are women) will be selected in each commune to be trained as community accountability facilitators, allowing them to develop the knowledge and skills necessary to mobilize and educate their fellow citizens, help access information, facilitate social accountability practices and build constructive working relations between citizens and local authorities/service providers. The role of these volunteer community accountability facilitators is critical in terms of building capacity *within communities* to ensure that social accountability practices can be sustained once the program is over, or once the local NGO partner has reduced its presence in the community. Community accountability facilitators/trainees will be selected on a strategic and competitive basis. By the end of the program, the goal is to have a critical mass of (approximately 40) trained community accountability facilitators in each target district, who are able to provide ongoing support for social accountability practices both from civil society and from within state structures. These community accountability facilitators will:
 - participate actively in a ten-month training and “learning by doing” program;
 - support the capacity development of CBO partners, focused on strengthening their capacity to mobilize community members, identify needs and priorities, and support processes of citizen-led monitoring and social accountability;

³⁵ Many local level groups have been established but do not function effectively (such as the VHSG, which has not been developed for this purpose and some of those that are to be held accountable are members of the group).

- conduct village level awareness-raising activities to generate citizen interest in social accountability;
- organize and facilitate community-level IEC and budget literacy events;
- organize and facilitate the implementation of multi-sector scorecards;
- potentially contribute to the implementation of more in-depth citizen monitoring activities (up to three per district);
- prepare and facilitate interface meetings;
- support the implementation and monitoring of JAAPs.

At the end of the training period, all trainees who have successfully completed the course, will receive a certificate confirming their status as a certified community accountability facilitator. Successful graduates are also invited to join a Community of Practice and are offered support in marketing their skills. While community accountability facilitators receive no financial compensation for their participation in the program, the skills that they learn, the status they gain in the community and the fact that they earn certification are all considered to be important incentives.

9. As described in components 3 and 4, the recruitment of two specialized partner institutions is envisaged to support processes of training and learning:
 - **A specialized Training Partner (TP).** Using a Training of Trainers approach, an I-SAF training partner will be identified to develop curriculum and training materials and design supply and demand side training. On the demand side, this includes training for community accountability facilitators (and training for local NGO trainers/mentors) as described in Component 3B. On the supply side, it includes developing training for local-level state actors and delivering training to District Councils and staff and District Departments of health and education.
 - **An independent Learning Partner (LP).** An independent partner for learning and monitoring will be appointed to manage the learning platform and implement the monitoring and learning component. With an emphasis on continual feedback, learning and revision, the tasks of the learning partner will include: collecting and collating lessons from the field and feeding these back into processes of policy and practices revision. National NGO partners will be supported to take a learning approach and work with local NGO partners to compile and reflect on how things work – successes, failures, blockages and opportunities, initiating joint forums for reflection and feedback on processes (process audits) and results, undertaking regular implementation reviews and evaluations, disseminating information, tools, case studies and generating improved knowledge on social accountability among state and non-state actors in Cambodia, as described in Component 4A.
10. **Coordinating Arrangements.** The I-SAF involves both supply and demand side coordinated activity and will require high-level governance arrangements for strategic decision-making, oversight and coordination. A National Coordinating Group comprised of three senior representatives from government (NCDD, MOH and MOEYS would be preferred), three CEO level representatives from civil society, and financing development partners (as observers or active members). The demand-side coordinator will act as a secretariat for the National Coordinating Group (minuting meetings, making presentations and providing materials on request). NGO Consortia Partners (Training Partner, Learning Partner and Implementing Partners) represented at a high level, will be asked to join meetings for reporting and information purposes. NCDD (together with the demand-side coordinating structure) will provide management of the following activities: holding regular quarterly coordination meetings, managing an external mid-term review, managing an external end of program evaluation, and undertaking annual external audits.

SECTION 4 PHASING AND ROLL OUT

4.1 Inception

11. The inception phase will take place between July-March 2013 utilizing DFGG funds, with continued technical assistance from the World Bank. During this period:
 - Local consultations will take place key instruments, tools and processes will be developed;
 - key tools and templates will be tested in a limited number of districts as a check (based on tools previously used by local partners);
 - training and capacity building approaches will be developed and tested;
 - sources of funding will be identified.
12. The design development team will work closely with government and civil society to develop this (appraisal) document into an operational manual ready for implementation. In developing tools and processes, the I-SAF will seek to build on existing tools and experiences, learn from previous initiatives and make sure to not “reinvent the wheel”. Nevertheless, a key dimension of this process will be consultation and testing the processes, key instruments and guidance materials as set out in components 1, 2 and 3 above, i.e. suggested practices for improving understanding of information and budgets, a multi-sector scorecard methodology and the joint accountability action plan. Approaches will also test the facilitation arrangements (experimenting with different institutional characteristics).
13. On the supply side, utilizing DFGG project funds, NCDD will prepare parallel manuals, guidelines and instruments for the processes envisaged. Efforts to undertake basic supply side orientation along with other local capacity building efforts will be needed early in the process, potentially allowing demand side training activities to be implemented during early 2014.

4.2 Proposed Implementation Timeline

14. Recognizing the need for readiness of the implementation manual, financing, and coordination, it is proposed that the I-SAF be implemented in three main phases to reach 120 districts by Year 3:
 - 2014: 20 districts
 - 2015: 50 additional districts (i.e. 20 (Y1) + 50 (Y2))
 - 2016: 50 additional districts (i.e. 20 (Y1) + 50 (Y2) + 50)
 - 2017: the implementation plan for sangkats/khans/municipalities to be introduced.
 - Coverage is likely to be dependent on financing available for civil society implementation. See Section 5 (paragraph 8) “opting in”.

SECTION 5 BUDGET AND FINANCING OVERVIEW

5.1 Costs

- Over the 2013 to 2016 period, the cost of implementing the I-SAF over three years is tentatively budgeted at \$12.8 million with an estimated \$8.2 million for demand-side activities; \$2.7 million for supply-side activities, and \$1.8 million of activities which could be located in both/either, but are probably best positioned with an independent organization.
- Based on the parameters set out in Components 1 and 2, which contain all local level activities including capacity building below district level, the cost of implementation per district is budgeted at an average of \$40,000 annually over the 3 years, covering both demand and supply-side costs at the local level (this declines gradually for years 2 and 3).

Table 5.1: Projected Costs by component (for 3 years 2014-2016)

COMPONENT	2013	2014	2015	2016	TOTAL	%
Component 1: INFORMATION and BUDGETS	\$157,000	\$265,000	\$966,000	\$1,365,000	\$2,753,000	22%
Component 2: CITIZEN MONITORING	\$116,000	\$545,000	\$1,517,000	\$2,389,000	\$4,567,000	36%
Component 3: FACILITATION AND CAPACITY	\$0	\$271,000	\$856,000	\$1,229,000	\$2,355,000	18%
Component 4: LEARNING	\$0	\$386,000	\$265,000	\$309,000	\$960,000	8%
Coordination/Management	\$36,000	\$172,000	\$757,000	\$1,141,000	\$2,106,000	17%
TOTAL	\$309,000	\$1,639,000	\$4,361,000	\$6,433,000	\$12,742,000	100%
%	2%	13%	34%	50%	100%	

(Budget based on the CY14 – 20 new districts, CY15 – 50 new districts, CY16 – 50 new districts roll out plan to reach 120 districts by end 2017).

Table 5.2: Annual Costs 2013-6 for Civil Society And Government Activity

	TOTAL	
Demand side / CSO activity budget	\$8,205,000	64%
Supply side / Government activity budget (including the Learning and Training Platforms)	\$3,538,000	36%
TOTAL	\$12,742,000	

(Budget based on the (CY14 – 20 new districts, CY15 – 50 new districts, CY16 – 50 new districts) roll out plan to reach 120 districts by end 2017).

5.2 Financing

- Principles.** The financing of the I-SAF is complex, because it requires funding of both government and civil society in appropriate proportions to deliver coordinated balanced activity with commitment from both sides. The following principles of financing are being adopted where possible:
 - Funds for government should be integrated into the activities of the IP3 and the NCDD AWPB.
 - Funds for civil society should be independent of government, managed and disbursed by civil society. (Fiduciary procedures will meet World Bank requirements for recipient-executed funds).
 - Funds for the demand and supply side should be kept as balanced as possible to signal equal commitment and ownership (see qualification above).

- The funding of the Component 4 - Learning and Monitoring should be ring-fenced and earmarked for at least two years.
 - Funding from various sources (including sector financing) will be facilitated and encouraged, converging around the agreed implementation plan and operational guidelines.
 - A framework for sustainable financing of activities should be developed through implementation.
4. **Coverage and rollout is linked to financing.** The I-SAF has been developed to create a sustainable approach and reachable targets for the three defined package of activities: information, budgets and citizen monitoring. The I-SAF fills gaps in existing processes through the implementation of this defined package, and broader scope would mean higher budgets. The roll out to districts will be determined by the funds identified and made available in the first 3 year period. A key dimension of the I-SAF as a nationwide program is to introduce a sustainable approach that can be applied in all districts across the country in a sustainable manner (as opposed to a “boutique” approach that can only be applied in a small number of heavily funded districts).
5. **Financing of the I-SAF inception period.** The inception period is being financed under the DFGG project Components 1D (OWSO, managed by the NCDD, and including a citizen awareness component) and Component 2 (the non-state actors component (NSAC)) which close March 31, 2014. Approximately \$435,000 has been allocated to these activities as follows:
- For the development of information sets, supply side tools and templates for the information and budget work, and the necessary directives for action in the 20 districts targeted in 2014: \$135,000 (NCDD managed);
 - For demand-side activities (including the development of the citizen monitoring mechanisms and the demand side activities associated with information and budgets): \$250,000 (TAF managed);
 - The Bank will provide oversight and technical assistance.
6. **Financing of I-SAF government activities (included in components 1 and 2).** It is intended that supply-side activities are mainstreamed in AWPBs of the IP3 and subsequent implementation plans. The activities for the 2014 IP3 AWPB will be developed by the inception phase supply-side consultant, included in the 2014 AWPB for NCDD and carried out by SNAs, schools and health centers. The NCDD has indicated that if the World Bank operation resumes preparation they will request an accountability and transparency component to support government actions, including but not limited to social accountability, to boost financing in this area.
7. **Financing of I-SAF civil society activities (included in Components 1, 2 and 3A).** The financing of civil society-led activities is likely to be more complex and require coordination with a number of partners. Two strategies are envisaged:
- **Opting in.** NGOs will be encouraged to “opt in” to support demand-side SAF implementation. An NGO consortium or individual NGO will commit to carry out the core set of activities in a number of predefined districts – primarily where they have existing relationships and activity. The NCDD will commit to carry out supply-side activities in the same set of districts. This “reciprocal commitment” will ensure that supply-side activities are planned and carried out in those districts where funding has been identified for demand-side activity. A call to “opt-in” will be made by in 2014, to tie down the list of districts where the I-SAF will be conducted. The opting in arrangements (MoUs, timing etc. will be developed in the inception period).
 - **Topping Up.** The I-SAF will not be funded through parallel discrete “projects” as has been the precedent in Cambodia, if it can be avoided. Instead, the approach proposed is that NGOs, currently conducting other activities in communes/districts, are provided a “top up” to existing financing to implement the core set of activities. The approach that has been developed looks toward this sustainability, ensuring that the final costs of implementing the activities in the longer term is commensurate with the fiscal transfers to communes and districts. The target figure is in the order of \$1-2000 per commune (by year 4). This approach – is proposed to ensure efficiency and sustainability – it encourages NGOs to integrate the SAF into existing programming in areas where they have existing relationships and promotes a new way of doing things, rather than scattered, small projects.

- **DP financing.** Any Development Partner can provide funds for I-SAF implementation. Each has different requirements for the funding of civil society, and NGOs are encouraged to discuss with donors individually (and then arrange to “opt in”). It is understood that starting up is contingent on the completion of the SAF operational manual outlining tools and processes for implementation. Various DPs are preparing funding proposals for the first 3 year period including:
- **World Bank-managed Trust Funds.** The Bank team is working on proposals for Bank managed trust fund financing for civil society activities. The Bank will adhere closely to the principles set out above, especially a model which builds on existing programs utilizing existing infrastructure and strong existing local level NGO partnerships. I-SAF
 - The **European Union Civil Society Fund[s]/** thematic allocations for civil society provides a platform for CSOs to request grants for a range of activities in Cambodia. The implementation of the SAF meets the criteria for this funding and the EU is able to specifically mention the SAF implementation in the call for proposals. The EU has also confirmed that a window for civil society is included in their recently approved support for the SNDD reform and that this could be used to support the citizen engagement activities described in the SAF.
 - The **Global Partnership for Social Accountability (GPSA).** The World Bank also manages (from its HQ) a fund specifically focused on SA activities. In order for these funds to be accessed by NGOs, the RGC (NCDD) must sign up as a GPSA partner. NGO representatives have kicked off discussions with the NCDD to make this agreement. I-SAF Recipients benefit from joining a global group of actors learning from each other. It is highly recommended and supportive financing.
 - **SIDA** have already launched a citizen engagement project called PROCEED which, at the local level, operates in 8 districts testing citizen engagement processes in the context of the SNDD reform through local CSO partners. SIDA have confirmed that CSOs funded under this project may opt-in to work on the I-SAF program of activities and that SIDA funding will look to strengthen the PROCEED links to the SAF.
 - **USAID** will fund two projects in the health sector over the period 2014-2018: Empowering Communities for Health (ECH) and the Health Information, Policy and Advocacy (HIPA), both of which have synergies with the operationalization of the I-SAF in the health sector. Discussions as to how these projects can be integrated under the I-SAF program of implementation are currently underway, especially how the health activities can be enhanced to ensure they are multi-sectoral.
8. **Financing of the I-SAF Training Provider (under component 3B).** To be discussed. Until this is put in place, Implementing NGOs will be provided with ToT and training materials and assume responsibility for training within their consortium. The intention however is, between now and early 2014, to develop and provide a basic curriculum and methodology for this training. (this is dependent on DFGG financing being made available immediately and the work completed before end March 2014).
9. **Financing of the I-SAF Learning and Monitoring Provider (component 4).** In order to ensure that Learning and Monitoring is carried out carefully and systematically, it is intended that a learning platform will be separately financed.

SECTION 6 RISKS

10. The implementation of the Social Accountability Framework is an ambitious program and not without risks. Some of the principal risks identified, along with proposed measures to mitigate them are outlined below.

Table 1: Risks and mitigating actions

Risks	Assessment	Mitigating Measures
1. Capacity (of implementers)	M	- The capacity risk is apparent in the sub-grants – to local NGOs – and becomes more prevalent when there are insufficient funds for financial management, implementation and monitoring and evaluation. This risk is mitigated by putting in place implementing partners that have the track record for building capacity and managing finances. - The Government agency (NCDD) is already implementing a component of DFGG with moderate risk. The level of risk is not expected to increase.
2. Political	M	- In a political system which is not highly competitive, the provision of information can be seen as an issue promoted by opposition parties. Opposition parties have promoted national freedom of information acts. - On the other hand, the provision of local information and engagement with citizens is already found in the main laws and regulations for local government. The SAF can be seen as a way to operationalize these statements.
3. Program Coordination	S	- Activities will be implemented both by Government and by Civil Society. These activities fit into a single Social Accountability Cycle. The program involves both the supply and demand side contributing to common processes, outputs and objectives. A National Reference Group (consisting of Government, Civil Society, and DPs) has been formed but it is not known how effective it will be. - Delays in implementation by the Government will have an effect on the whole program, and there are instances where implementation of the IP3 has not proceeded according to schedule. In the case of training, the development of curriculum and the provision of training, for both government and civil society will be undertaken by a third-party trainer - Several other local level social accountability initiatives are in play by donors and civil society, some of these can be coordinated and lend support to the I-SAF, others will continue with parallel designs. It is not anticipated that these initiatives will affect implementation, only that resources for the I-SAF are not available from those donors to give weight to the initiative.
4. Government Ownership	M	- The SAF is attached to a program implemented by government and the supply side strategies are included in government work plans. A lengthy process of engagement and participation has already taken place, with the Action Plan and Budget being based on a much shorter Social Accountability Framework. - At the local level, take up will be slower, but guided by national directive.
5. Delivery, Monitoring and Sustainability	S	- Implementation of social accountability activities has a high level of difficulty, involving concepts unfamiliar to participants and not only skills development but attitudinal change. As the process will also involve training of trainers and linking to government cascade training, the delivery risk is substantial. Because the concepts may be new, and additional understanding may be required, Technical Assistance is being provided to Government throughout the program - Monitoring risks are medium, a special platform is being established to ensure effective monitoring and lessons learning and this is a priority of the project. - Sustainability risks are medium for supply side activities as they are integrated with government, but substantial for demand-side activities as they require continued independent funding channels, or funding through state mechanisms (e.g. the CSF) which has the potential of capture.
6. Inadequate scope and finance	L-M	- The I-SAF has been developed in a way that it can easily be scaled up or expanded as additional financing becomes available. - Existing finances are sufficient to generate a critical mass of social accountability activities and to create a track record which will generate more interest in DP financing.

NOTE: L = Low; M = Moderate; S = Substantial; H=High

SECTION 7 RESULTS

Expected Results reflected in the SAF.

“Social accountability actions result in:

- A change or response by Government as a result of its interaction with citizens and/or citizen representatives.
- Improved capacity of citizens (women and men) and their representative organizations to continue to engage government in enhancing democratic accountability goals.

Implementation of the social accountability framework contribute towards:

- More effective, equitable and accountable service delivery and allocation of resources. Participating public service organizations should be better governed, more responsive, more accountable, and more transparent. Their actions should better reflect the priority needs of their constituencies, and they should better protect and serve vulnerable groups.
- Enhanced empowerment. Communities and citizens, especially women and youth who are considered to be particularly important potential change agents, should be more empowered as citizens and as collective groups to understand their rights and responsibilities and engage with government.
- Enhanced social capital. Building social capital and increasing trust between community members and between citizens and the state is essential to both social development and economic growth.
- Improved social cohesion. Enhanced social capital will lead to greater social cohesion, identity and social trust, critical elements of local development.
- More inclusive development and social equity. A more inclusive and equitable voice for women, youth and vulnerable social groups in: (a) the local political process, and (b) the arrangements for service delivery and the improvement of material conditions that affect poor groups.”

7.1 Overall Objective and Indicators

What is the change that is anticipated from the implementation of the SAF (the I-SAF)?

1. **Development Objective.** The development objective of the I-SAF is to improve the accountability and responsiveness of local administrations and service providers for improved service delivery and allocation of resources (especially for women, youth and disadvantaged social groups).
2. PDO Indicators should measure change in 3 areas:
 - Responsiveness – services delivered / equity of services delivered
 - Accountability – levels of openness and response to community feedback
 - Voice and empowerment
 - Enabling environment

7.2 Component Objective and Indicators

3. Component objectives and component indicators will measure the change that leads to overall outcomes. Many of them connect together to bring about change.
 - **Component 1: To improve accessibility of local information and open budgets for improved stakeholder knowledge and capability.** Change will be measured through flows of information, openness of local budgets, use of information/budgets.
 - **Component 2: To improve citizen feedback and monitoring of services and allocation of resources.** Measured through changes in: engagement in beneficiary /citizen monitoring and feedback , inclusiveness/equity, allocation of resources, and behaviors/practices.
 - **Component 3: To increase citizen voice, empowerment and capability for social accountability processes** measured through changes in community empowerment and capability as well as the capability of other local actors.
 - **Component 4: To increase stakeholder capability for learning and engaging in change processes** measured through changes in stakeholder engagement in the change process and triggers in change to policy and practice.

Table 7.1: Key Results and Measures

What is the change anticipated from the I-SAF?	What is the result anticipated after 3 years?	What is the measure?	How is it measured?
PDO INDICATORS			
Change in SERVICES / EQUITY of SERVICES DELIVERED	Citizens experience an improvement in quality and availability of local basic services.	% of citizens who report increased satisfaction with a basket of services delivered by SNAs and local service providers.	CSC annually, compiled results compared with control.
	The change is inclusive: women, youth and the poor are benefitting from the improvements in the services delivered.	% of women/youth/other vulnerable groups who report increased satisfaction with services delivered by SNAs and local service providers.	CSC annually, compiled results compared with control.
Change in VOICE and EMPOWERMENT	The process of change empowers citizens to better voice concerns and demand accountability from a range of service providers and government officials.	% of districts where citizens voice crosses outside of I-SAF core focus areas.	Empowerment and capability assessment(disaggregate women and youth).
Change in the ENABLING ENVIRONMENT (for local governance)	A regulatory environment enables civil society to engage in checks and balances on government performance. Budgets are allocated for implementation. RGC commitment to sustain space for citizen engagement	(policy change) % of CSOs reporting that the space for action has changed. (budgets to implement policy) % of districts where budgets were allocated to support initiatives to promote access to local information, budgets and citizen monitoring. (operationalization of policy) % districts in target areas implementing policy according to regulations. (sustainability) NCDD continues to prioritize social accountability in ongoing 3 year plans.	Monthly report tracking the progress on the policy development. Quarterly reports from local NGOs. NCDD reporting (information audit) Empowerment and capability assessment.
Component 1: Open Budgets and Local Information			
Change in TRANSPARENCY AND OPENNESS	Information sets (I4Cs) are produced according to the guidelines.	% districts where over 70% of SNAs/LSPs collect and produce I4Cs according to guidelines.	CSO partner quarterly reports. Annual? Inspection reports. Information audits
	Budgets are being publicly posted according to recommended templates. And regulations are being enforced.	(measure availability) % of districts where over 70% of SNAs/LSPs are displaying budgets according to recommended templates. % of districts where capability of local officials regarding budgets and budget transparency has improved. (measure compliance) % districts conducting compliance checks on implementation of regulations.	CSO partner quarterly reports. District compliance reports. Annual? Inspection reports.
Change in ACCESS TO INFORMATION and BUDGET LITERACY	Citizens are able to access I4Cs, are aware of their content and utilize the information	(measure availability/awareness) % of citizens aware of both availability and content of I4Cs. (measure usage) % meetings where I4Cs were used to compare standards, performance, policy in monitoring processes.	Minute template of CSC meetings. CSO partner quarterly reports submitted to national coordinator.
	Budgets are understood and utilized by citizens.	% of districts where budgets and expenditures are being discussed by citizens in monitoring and interface meetings. % districts where budget issues are raised in higher level forums.	Minute template of meetings records topics discussed. CSO partner QPR submitted to national coordinator.

What is the change anticipated from the I-SAF?	What is the result anticipated after 3 years?	What is the measure?	How is it measured?
Component 2: Monitoring			
Change in ENGAGEMENT OF CITIZENS IN PERFORMANCE MONITORING AND FEEDBACK (accountability)	Citizen/community monitoring with Joint Accountability Action Plans (JAAPs) becomes part of the annual cycle of SNAs and SDAs.	% of districts where over 70% of SNAs/LSPs complete CSCs, annually. % of JAAPs completed according to guidelines, annually (e.g. 4 sets of actions – community, commune/district council, service provider, and District officials actions). % of JAAPs which are implemented (e.g. more than 70% of actions are implemented). % of target areas which request in-depth CSC in a priority sector, annually.	CSO partner quarterly reports.
Change in INCLUSIVENESS (responsiveness)	JAAPs reflect concerns of citizens and of selected vulnerable groups.	% of communes/districts where commune, district, health and school expenditures reflect JAAP priorities. % of JAAPs which address an agreed number of youth/women priorities annually.	CSO partner quarterly reports.
Change in ALLOCATION OF RESOURCES (responsiveness)	Budget/expenditure profiles of SNAs and service providers change to reflect priority problems and actions identified in the CSC/JAAP process.	% of communes/districts where commune, district, health and school budgets/expenditures reflect JAAP priorities.	CSO partner quarterly reports.
Change in BEHAVIOURS/PRACTICES (responsiveness)	Citizen monitoring/JAAPs trigger action within stakeholders mandate : ➢ Service providers to improve behaviors and practices ➢ Councilors better utilize their role to stimulate change ➢ District officials to improve compliance. ➢ Communities to pro-actively contribute to actions. ➢ District administrations institutionalize processes.	(performance) % schools and health centers where agreed behavior sets improve following JAAP implementation (staff hours worked, attitude toward patients, ability to register births/deaths) (empowerment and practice of councilors) % commune/districts where councilors are empowered to leverage better LSP performance. (compliance/inspection) % districts where DOH and DOE officers improve compliance/ inspection of schools and health centers. (social capital/partnership) % JAAPs which include community actions and are implemented.	CSO-JAAP reporting CSC comparison with control group. Empowerment Study? CSO – JAAP reporting. CSO – JAAP reporting.
Component 3: Facilitation and Capacity Building			
Change in EMPOWERMENT AND CAPABILITY OF CITIZENS	Engagement of communities (esp women and youth) shifts from passive to active participation. Citizens are more knowledgeable about rights to service and service performance.	% shift in profile of meetings and attendees. % community meetings that discuss gaps between standards and performance. % districts where gap analysis leads to actions in JAAPs.	CSO – JAAP reporting Empowerment and capability study.

What is the change anticipated from the I-SAF?	What is the result anticipated after 3 years?	What is the measure?	How is it measured?
Component 3: Facilitation and Capacity Building (CONTINUED)			
Change in CAPABILITY OF LOCAL ACTORS	Community facilitators are more willing and capable to lead accountability-related outreach/facilitating processes. Local CSO Partners are more able to mentor and support community action. Local government actors have more understanding of their accountabilities and their ability to take action.	% of CSCs turned into action plans. Number of CSC/JAAP processes expanded to other sectors. Assessment of knowledge and ability to utilize Social Accountability mechanisms.	Empowerment and capability study.
Component 4: Learning			
Change in the CULTURE OF LEARNING (capability)	Capability and willingness to engage in lesson learning. The quality of documentation and dialogue on the change process improves.	Assessment of lessons from implementation processes that are readily documented and available. Assessment of linkages that are made, lessons accumulated, and lessons applied. Assessment of training and capacity building programs that utilize lessons.	CSO – QPR. LP – QPR. Empowerment and Capability Study
Change in approach to POLICY DEVELOPMENT	Lessons and feedback trigger change in policy and practice.	Number of lessons that trigger changes in policy and practice.	

ANNEX A

I-SAF ASSIGNMENT OF RESPONSIBILITIES

	Outputs	Lead role*
COMPONENT 1: INFORMATION AND OPEN BUDGETS	Subcomponent 1A: Performance Information	
	Output 1.1: Core data (the input for I4Cs) is collected, reviewed, and compiled.	Government
	Output 1.2: Information packs (I4Cs) are designed and produced.	Government
	Sub-component 1B: Open Budgets	
	Output 1.3: Budget data is collected, reviewed and compiled.	Government
	Output 1.4: Simplified budget information is presented and posted.	Government
	Sub-component 1C: Systems, Regulations and Compliance	
	Output 1.5: Regulations and guidelines for open local budgets and information are developed and implemented.	Government
	Output 1.6: District data management procedures are developed and adopted.	Government
	Output 1.7: Compliance and monitoring systems for open local budgets and information are developed and implemented.	Government
	Output 1.8: Civil society monitoring of open local budgets and information is established and implemented.	Civil Society
	Sub-component 1D: Awareness Raising and Capacity Building	
	Output 1.9: Community accountability facilitators' capacity is developed on social accountability, information and budgets.	Civil Society
	Output 1.10: Councilors, local officials and local service providers are trained on information and budgets.	Civil Society
	Output 1.11: CBOs, communities and citizens awareness is raised on information and budgets.	Civil Society
COMPONENT 2: CITIZEN MONITORING	Sub-component 2A. Citizen-led Monitoring	
	Output 2.1 Multi-sector citizen scorecards are implemented annually in each target district.	Civil Society
	Output 2.2 Based on community demand, in-depth citizen led monitoring of specific local services or issues are implemented.	Civil Society
	Sub-component 2B. Interface Meetings and Joint Action Planning	
	Output 2.3 Interface Meetings are conducted and JAAPs produced.	Joint Committee**
	Output 2.4 JAAP actions are carried out by 4 sets of stakeholders.	Joint Committee**
	Output 2.5 A joint "JAAP" follow-up committee is formed to oversee and monitor the ongoing implementation of the "JAAP" action plan.	Joint Committee**
	Sub-component 2C. Regulatory Environment to Support Citizen Monitoring and Councilor Oversight	
	Output 2.6 Prakas and guidelines describing SNAs' roles in citizen-led monitoring are drafted, approved and implemented.	Government
	Output 2.7 Legal and regulatory framework for councilors oversight of central government service delivery are reviewed and revised.	Government
	Sub-component 2D. Awareness Raising and Capacity Building	
	Output 2.8 A coordinated program of training/mentoring/ "learning by doing" with community accountability facilitators is implemented.	Civil Society
	Output 2.9 Awareness raising on citizen monitoring and JAAPs for CBOs, communities and citizens is conducted.	Civil Society
	Output 2.10 Training (on JAAPs, citizen monitoring, oversight functions) for local officials and local service providers is conducted.	Civil Society

COMPONENT 3: FACILITATION AND CAPACITY BUILDING	Sub-component 3A: Facilitation		
	Output 3.1	Local partner NGOs to support community accountability facilitators are identified and contracted.	Civil Society
	Output 3.2	Strategic CBO partners (with an emphasis on those representing women and youth) are identified.	Civil Society
	Output 3.3	Community accountability facilitators (with an emphasis on women and youth) are selected and mobilized.	Civil Society
	Output 3.4	A Community of Practice is created to provide on-going support to community accountability facilitators.	Civil Society
	Sub-component 3B: Training, Mentoring and Capacity Building		
	Output 3.5	A specialized social accountability training partner(s) is recruited	Civil Society
	Output 3.6	Training curriculum, materials and methodology (for both demand and supply-side actors) are developed.	Civil Society
	Output 3.7	Capacity building of local and national NGO implementing partners (demand side) using a Training of Trainer approach is carried out.	Civil Society
	Output 3.8	Training of national/provincial/district officials (supply side) using a Training of Trainer approach is carried out.	Government/ Civil Society***
COMPONENT 4: LEARNING	Sub-component 4A: Lesson Learning And Feedback		
	Output 4.1:	An innovative learning strategy and action plan is formulated.	Independent***
	Output 4.2:	Instruments and guidance materials are prepared and disseminated	Independent
	Output 4.3:	Feedback and learning forums are held regularly.	Independent
	Output 4.4:	Feedback and policy revision processes to enhance I-SAF implementation are established.	Independent
	Output 4.5:	Specific studies conducted by a specialized Learning Partner support ongoing development of SAF policy and implementation.	Independent
	Sub-component 4B: Monitoring And Results		
	Output 4.6:	Monitoring of results is undertaken in accordance with agreed framework.	Independent
	Output 4.7:	Impact evaluations are conducted.	Independent
	Output 4.8	Process documentation and audits are carried out.	Independent

NOTES

*A number of outputs require the participation and constant engagement of both government and civil society. This listing only notes the lead.

** Although the JAAPs are the responsibility of a joint government and civil society committee, accountability for the JAAP implementation will lie with the Commune Chief for activities Commune and below.

*** Training of government officials will be carried out by government as well as joint training with civil society partners.

**** Although this may be contracted by government, the learning component should be independent.

ANNEX B

GLOSSARY OF TERMS

(All terms are used for the context of ISAF)

Information for Citizens (or I4Cs) is the information set being made available to promote accountability. The I4C will contain material for public display (posters) and distribution (booklets) that provide citizens with key information about local public services. They cover health centers, primary schools and commune services and include information about user rights, service standards, performance, budgets and expenditures. I4Cs are designed to be user-friendly and accessible even to those with limited literacy.

Interface Meetings take place in the context of citizen monitoring. They are facilitated meetings where service users and citizens come together with service providers (i.e. commune and district level officials and staff from communes, health centers and primary schools) to share their views about the quality of services and to develop joint action plans for improvement.

Community Scorecard is the social accountability monitoring tool which enables citizens and users to assess the quality of local services and to collaborate with officials and service providers in identifying and implementing actions for change.

Joint Accountability Action Plans (or JAAPs) are the main product of the community scorecard monitoring process. They are the list of actions that citizens, service providers and commune and district officials collectively agree to implement to improve the quality of commune, primary school and health center services and functions. JAAPs are discussed and agreed at the final interface meeting.

Supply Side is a term that refers to the role of state actors in social accountability. National government has a role in supporting social accountability by establishing processes, rules, standards and regulations. Sub-National Administrations and service delivery agencies are responsible for sharing information and engaging with citizens and their representatives at local level.

Demand Side is a term that refers to the role of citizens and CSOs in social accountability. These actors have a responsibility to know their rights and duties, to be informed about government policies and services and to constructively engage Sub-National Administrations and service delivery agencies to improve their performance.

Service Standards refers to the level and quality of service that government has determined through policy and regulation and citizens can expect to receive.

State actors refers to government institutions, agencies, officials and staff, including provincial line departments and district offices, communes and local service delivery officials in primary schools, health centers and commune councils.

Non-state actors refer to citizens, community-based organizations (CBOs), civil society organizations (CSOs) but may also refer to media and academia in this context.

Social Accountability Cycle refers to the annual implementation of planned ISAF activities. This cycle includes: (i) producing or updating I4C materials; (ii) conducting public awareness and budget literacy activities; (iii) citizen monitoring of local public services; (iv) dissemination and implementation of the resulting JAAP, and; (v) monitoring progress and documenting lessons learned.

Community Social Accountability Facilitators are community volunteers who are selected and trained by local NGOs to lead communities in the implementation of local level ISAF activities and mobilize community participation in social accountability processes.

Service Providers are those actors who are directly responsible for the delivery of public services. They include, for example, commune officials, school principals, teachers, health center chiefs and staff.

Service Users refers to citizens who use local public services such as those provided by the sub national administrations, primary schools and health centers.

