
Urban Productive Safety Net and Jobs Program (UPSNIJ)

Program Implementation Manual

Ministry of Urban Development and Construction
in collaboration with the Ministry of Labour and Social Affairs and the Job Creation Commission

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ABBREVIATIONS

ARAP	Abbreviated Resettlement Action Plan
BC	Business Correspondents
BCC	Behavioral Change and Communication
BCCEE	Behavioral Change Communication using Education Entertainment
BD	Bidding Documents
BoA	Bureau of Agriculture
BoF	Bureau of Finance
BoLSA	Bureau of Labour and Social Affairs
CAO	City Agriculture Office
CASNP	City Annual Safety Net Plan
CBPWD	Community Based Participatory Watershed Development
CBSPC	Community Based Social Protection Committee
CCC	Community Care Coalition
CDTACs	Capacity Development Technical Advisory Committees
CE	Citizens Engagement
CIP	City Investment Plan
CJC	Competitiveness and Job Creation
CJCFSTF	Community Job Creation and Food Security Task Force
CMC	Coordination and Management Committee
COPCO	Channel One Project Coordination Unit
CQS	Consultants' Qualifications
CRGE	Climate Resilient Green Economy
CRMP	Cultural Resource Management Plan
CSI	Climate Smart Initiative
DC	Direct contracting
DPs	Development Partners
DRM	Disaster Risk Management
DS	Direct Support
DSTC	Direct Support Technical Committee
DSTCC	Direct Support Technical Coordination Committee
ECPI	Ethiopian Cities Prosperity Initiatives
EDP	Entrepreneurship Development Program
EIA	Environmental Impact Assessment
EMP	Environment Management Plan
EOI	Expressions of Interest
ESAP	Ethiopia Social Accountability Program
ESMF	Environmental and Social Management Framework
ETB	Ethiopian Birr
ETST	Employment through Skill Training
FA	Financing Agreement
FHH	Female Headed Household
FIs	Financial Institutions
FM	Financial Management
FPCO	Federal Project Coordination Unit
FSP	Food Security Program

FTA	Financial Transparency and Accountability
GAP	Gender Action Plan
GOE	Government of Ethiopia
GRM	Grievance Redress Mechanism
GSD	Gender Sensitive Development
GTP	Growth and Transformation Plan
HEW	Health Extension Worker
HHs	Households
IBEX	Integrated budget Expenditure
IBRD	International Bank for Reconstruction & Development (World Bank)
IC	Individual Consultant
ICB	International Competitive Bidding
IDA	International Development Association
IDs	Identification card
IEC	Information Education Communication
IFRs	Interim Financial Report
IGA	Income Generating Activities
ISO	Industrial Support Organization
ITC	Information to Consultants
JCC	Job Creation Commission
JRIS	Joint Review and implementation Support
KDC	Kebele Development Committee
KTC	Ketena Targeting Committee
LCS	Least Cost Selection
LCU	Livelihood Coordination Unit
LIPW	Labour Intensive Public Works
LOI	Letter of Invitation
M&E	Monitoring and Evaluation
MFI	Micro Finance Institution
MHH	Male Headed Households
MIS	Management Information System
MoE	Ministry of Education
MoF	Ministry of Finance
MoH	Ministry of Health
MoLSA	Ministry of Labour and Social Affairs
MoU	Memorandum of Understanding
MoUDC	Ministry of Urban Development and Construction
MoWCA	Ministry of Women and Children Affairs
MoYS	Ministry of Youth and Sport
MSEs	Micro and Small Enterprises
NCB	National Competitive bidding
NGO	Non- Government Organization
NSPP	National Social Protection Policy
OFED	Office of Finance and Economic Development
OP	Operational Policies
OSCD	One Stop Centre Directorate
PAD	Project Appraisal Documents
PASS	Payroll and Attendance Sheet System

PBS	Promoting Basic Services
PCU	Project Coordinating Unit
PDO	Project Development Objectives
PIM	Project Implementation Manual
PMT	Proxy Means Test
PP	Procurement Plan
PPA	Project Preparation Advance
PPR	Procurement Post Reviews
PSNP	Productive Safety Net Program
PW	Public Works
PWCU	Public Works Coordination Unit
QBS	Quality Based Selection
QCBS	Quality and Cost based Selection
RAP	Resettlement Action Plan
REOI	Request for Expressions of Interest
REPA	Regional Environmental Protection Authority
RFP	Request for Proposal
RFQ	Request for Quotation
RJCFSSC	Regional Urban Job Creation and Food Security Steering Committee
RPF	Resettlement Policy Framework
R JOBFA/B	Regional Urban Job Creation and Food Security Agency/Bureau
SA	Social Accountability
SC	Steering Committee
SDG	Sustainable Development Goal
SH	Shopping
SIA	Social Impact Assessment
SLMP	Sustainable Land Management Program
SS	Soil Storage
SSS	Single sources Selection
SWM	Solid Waste Management
TAs	Technical Assistances
TCC	Technical Coordination Committee
TOR	Terms of Reference
TVET	Technical and Vocational Education and Training
UFSD	Urban Food Security Desk
UFSP	Urban Food Security Program
UGGCBB	Urban Good Governance and Capacity Building Bureau
UJC&FSA	Urban Job Creation and Food Security Agency
ULB	Urban Local Body
ULG	Urban Local Government
ULGDP	Urban Local Government Development Program
UPSNJP	Urban Productive Safety Net and Job Project
UTC	Unconditional Transfer Clients
W/KACs	Woreda/Kebele Appeal Committees
W/KASNP	Woreda/ Kebele Annual Safety Net Plan
W/KEP	Woreda /Kebele Environmental Profile
W/KJCFSTF	Woreda/Kebele Job Creation and Food Security Task Force
W/KJCFSTF	Woreda/Kebele Job Creation and Food Security Task Force

WASNP	Woreda Annual Safety Net Plan
WoFED	Woreda Finance and Economic Development
WoLSA	Woreda Labour and Social Affairs Office

PART I. PROJECT OVERALL MANAGEMENT AND M&E

CHAPTER 1. ABOUT THIS PROJECT IMPLEMENTATION MANUAL

1.1. Objective and scope of the PIM

This Project Implementation Manual (PIM) describes the policies and implementation procedures of the Urban Productive Safety Net and Jobs Project (UPSNIJ).

The UPSNIJ is a continuation and expansion of the Urban Productive Safety Net Project (UPSNP) that was implemented for five years (2016 to 2020). It also includes new components and features that are described in detail this PIM.

The UPSNP was designed to address urban poverty and has been successfully implemented in 11 major cities. Given the accelerated growth and growing opportunities in urban areas, the program has a strong focus on economic integration while helping selected households stabilize their income over three years. The project has been implemented in 11 cities, including Addis Ababa where 75 percent of the activities take place.

The UPSNP includes (a) Cash-for-Work Program with monthly cash payments over three years; (b) Livelihoods Grants to promote self-employment and wage employment; (c) Permanent Direct Support (PDS) cash transfers for labour-constrained households (elderly, disabled, and pregnant and lactating mothers); (d) Services for Urban Destitute (homeless) with the objective of social, economic, and educational reintegration of homeless children and adults; and (e) Institutional Strengthening and Project Management. The program has been successfully scaled up and reaches 600,000 beneficiaries, about 60 percent of whom are women. A total of 152,703 bank accounts have been opened for previously financially excluded households, and beneficiaries have already saved US\$8.7 million. The midline impact evaluation (at midline as of September 2020) shows that public works beneficiaries have increased their incomes and savings, improved mental health, and improved children's human capital development.

Through the UPSNIJ, the Government of Ethiopia (GoE) and the World Bank have agreed to scale up the program to an additional 72 new cities or towns. The broad criteria for the selection of these new cities/towns are based on the number of regional urban population, unemployment rate, and equity grant formula and poverty level. Based on these criteria the regional share is allocated as 29 cities or towns for Oromia, 16 for Amhara, 14 for SNNP, 5 for each Tigray and Somalia, 1 for each to Gambella, Afar and Benishangul-Gumuz regional states.

The PIM provides the guidelines and operational procedures for the implementation of the program, which must be followed by all key implementers, in particular the Urban Job Creation and Food Security Agency (JOBFA) under the Ministry of Urban Development and Construction (MUDC), the Ministry of Labour and Social Affairs (MoLSA), the Job Creation Commission (JCC), the Ministry of Finance (MoF) and other relevant ministries and agencies, regions, city administrations, communities and service providers.

Communicating the PIM will create an enabling environment, awareness and understanding of implementing institutions and partners of the processes described in the PIM. This includes: i) Developing a project and audience specific communication strategy; ii) Advocacy and sensitization to raise awareness of UPSNIJ implementers and stakeholders on the PIM and other guidelines; iii) Disseminate the PIM to the Federal level implementing institutions, Regional States, participating cities and communities; v) monitor how the PIM is properly used in the project coordination and management at all levels and take adequate corrective measures.

1.2. Structure of the Manual

The manual consists of three different parts, with a total of seventeen chapters:

Part One comprised six separate chapters (Chapter one – six) which describe the overall UPSNJP implementation and processes at project level. The first chapter explains what the PIM is and how it may be revised. Chapter 2 gives an overall description of the various components and subcomponents of the UPSNJP, their geographical rollout as well as the safeguards documents that are part of the PIM. Chapter 3 describes the roles and responsibilities of institutions and stakeholders in the implementation of the UPSNJP components, from federal to local level. Chapter 4 describes overall Citizens Engagement in the implementation of UPSNJP. Chapter 5 describes monitoring (including monitoring indicators and how data is collected to calculate them) and the evaluation strategy for the project as a whole. Chapter 6 describes the annual planning exercise at all levels, from local to federal-

Part Two consists of seven separate chapters (chapter seven to fourteen) which describe the operational cycles and processes to implement each of the main component or “subprogram” of the UPSNJP. Chapter 7 describes targeting and enrolment processes common to the Public Works and Permanent Direct Support subprograms. Then chapter 8 to 14 describe processes related to, respectively, Public Works planning, Public Works implementation, Livelihoods Development, Permanent Direct Support, Urban destitute Support, the Apprenticeship Program of the Youth Employment Component, and the Refugee and Host Community Integration subcomponent. Chapter five deals with the program entry and exit principles. This part describes program entry principles, targeting, graduation and the role of the community in the program. The focus of the chapter six is on citizen engagement approach, mechanism and tools.

Part Three deals with management and fiduciary related issues: Chapter 15 on financial management, Chapter 16 on procurement and chapter 17 on physical resource management.

In addition to the main body of the document, a number of formats and other key materials are annexed.

1.3. Complementary Manuals, Guidelines and Reference Documents

This PIM includes all the key processes of the UPSNJP that all implementers must follow. However, it is not an entirely standalone document, and some aspects of program implementation are further detailed in separate documents.

There are several types of documents that need to be consulted together with the PIM:

- Documents that are considered as annexes to the PIM: these documents describe processes that must be followed by all implementers. As they are part of the PIM, they are considered legally binding, in the same way the PIM is. Although they are annexes to the PIM, they are standalone documents that have been produced at different dates than the PIM – and are therefore not attached to the PIM file but can be consulted on the JOBFSA website.
- Reference documents: these documents mostly include technical guidelines, which,

In addition, this PIM includes a list of annexes (attached to the PIM file) that may be detailed instructions on certain topics, forms, etc. A list of the annexes attached to this PIM is available in the Table of Contents.

The table below lists all the documents that complement the UPSNJP PIM and their status.

Table 1. Comprehensive List of Documents (PIM Annexes or Reference Documents)

Name of document	Location (URL)	Date of last revision	Language	Status
Environmental and Social Management Framework			English	Annex to the PIM (Safeguards document)
Resettlement Policy Framework		Updated April 2020	English	Annex to the PIM (Safeguards document)
Labour Management Plan (LMP)			English	Annex to the PIM (Safeguards document)
Gender Based Violence (GBV) Action Plan			English	Annex to the PIM (Safeguards document)
Stakeholder Engagement Plan (SEP)			English	Annex to the PIM (Safeguards document)
Guideline for Public Work Occupational Health and Safety Accident Injury Compensation Draft		July 2020	English	Annex to the PIM (Safeguards document)
Apprenticeships program implementation guidelines		November 2020	English	Annex to the PIM
Standard Operating Procedure of Grievance Redress Mechanisms suitable for GBV/SEA		June 2020	English	Annex to the PIM
Implementation guidelines for Urban Destitute Support program		June 2020	English	Annex to the PIM
Contingent Emergency response Component (CERC) draft manual			English	Annex to the PIM

Guideline on Handling System of Internally Displaced (IDP) Safety Net Beneficiaries		March 2019	English	Reference document
Public Work Guidelines		2018	English	Annex to the PIM
Urban Integrated watershed development Biological and Physical soil and water conservation packages		May 2019	Amharic	Reference document
Integrated urban Solid waste management package		May 2019	Amharic	Reference document
Urban green infrastructure packages		May 2019	Amharic	Reference document
Urban food security strategy		April 2015	Amharic	Reference document
Public Works Code of Conduct guideline		February 2019	Amharic	Reference document

1.4. Revisions of the PIM

The PIM must be reviewed once a year, updated in case changes have occurred or are necessary to include, and submitted to the World bank for No Objection. It will be revised, in full or in part, if:

- Evidence gathered from the regular review and supervision missions recommend a revision.
- There are changes in any of the accompanying manuals and annexes; and
- The GoE and the World Bank agree that there is a need to revise the PIM.

CHAPTER 2. OVERVIEW OF UPSNJP IMPLEMENTATION

2.1. Background and Context

The Ministry of Urban Development and Construction (MoUDC), as key Government executive organ, is given the mandate to tackle the urban food insecurity and poverty. To this end, the ministry has developed Urban Job Creation and Food Security Strategy and Program as part of the National Social Protection Policy and Strategy of the country. The initial phase of the program is implemented in collaboration with various stakeholders and the World Bank as development partners financing the program.

The long-term program framework has an objective of reaching 4.7 million poor in 972 urban areas by implementing productive and predictable urban safety nets and complimentary livelihood interventions. The first phase supported by the UPSNP runs from 2016/17 to 2020/21 in 11 cities (Adama, Addis Ababa, Sosa, Dessie, Dire Dawa, Gambella, Harar, Hawassa, , Jijiga, Mekele, and Semera/Logia) and will focus on putting in place basic safety net building blocks, including productive and predictable transfers through PW, livelihood interventions, and capacity building.

2.2. Links with the Overall Government Policies, Strategies and Programs

The GTP II clearly stipulates that reducing food insecurity, urban poverty and ensuring sustained job creation in urban areas is a top priority. A number of policies, strategies, initiatives and programs are designed to address aforementioned urban challenges and hence the UPSNJP is complementary to these Government strategies and programs.

The policies, strategies, initiatives and programs include, inter alia:

- National Social Protection Policy and Strategy (November 2014)
- The Urban Development Policy (2013)
- The Environmental Policy of Ethiopia (1997)
- Urban Food Security Strategy (May 8, 2015)
- The National Policy and Strategy on Disaster Risk Management
- The Climate Resilient Green Economy Strategy (2012)
- Urban Solid Waste Handling and Disposal Strategy (2014)
- The Climate Change Resilient Urban Green Infrastructure Strategy (2014)
- The National Nutrition Program (NNP)
- The Rural Productive Safety Net Program
- UIIDP (Urban Institutional and Infrastructure Development Project (PRF)

A short description of each policy and strategy is provided in annex to this chapter.

2.3. Project Development Objectives

The Development Objective of the five-year program is to support the Government of Ethiopia (GoE) in improving the incomes of the urban poor and the labour market inclusion of disadvantaged urban youth.

- The results of the project will be measured by the following key performance indicators:

- Increase in household consumption of Public Works (PW) and Permanent Direct Support (PDS) households as a result of the project (Percentage), disaggregated by gender and refugee/host communities
- Share of participating youth who are wage-employed three months after completion of the apprenticeship (Percentage)
- Homeless integrated socially, economically or through education (Percentage)

2.4. UPSNJP Principles

- **Goal oriented:** all activities and interventions are geared towards the goal of reducing urban food insecurity and vulnerability.
- **Strategy based:** interventions are aligned with Government's policies, strategies and programs so as to create synergy and accelerate poverty reduction.
- **Fair and transparent:** UPSNJP planning, targeting, implementation and other processes shall be fair and transparent.
- **Non-discrimination:** All program beneficiaries are treated equally. The PIM makes sure that there are no practices of treating one person or group of people less fairly or less well than other people or groups.
- **Timely, predictable and appropriate transfers:** Transfers can be considered predictable if UPSNJP clients have timely knowledge of their eligibility for the program, and they know the amount of transfer they will receive well in advance. A transfer is timely if (i) it is provided to clients before or at the time during the year when they need it most; (ii) A timely transfer is also done according to a planned transfer schedule. A transfer is appropriate if it meets the needs of households.
- **Integration with local sustainable development plans:** UPSNJP plans are integrated into wider development plans of City and woredas/kebeles administrations.
- **Proximity:** Public works are provided as much as possible in the immediate localities of the people in need. Similarly, the co-responsibilities (soft conditionality's) to which temporary direct support beneficiaries agree shall be based on what service provision is adequately available in the local area.
- **Gender equity:** The UPSNJP is designed to respond to the unique needs, interests and capabilities of men and women to ensure that they benefit equally from the program. This is done by promoting the participation of both men and women in UPSNJP decision-making structures and responding to women's responsibility for both productive and reproductive work and the differential access of female-headed households to resources.
- **Avoiding dependency syndrome:** The UPSNJP is an urban safety net that protects food consumption and livelihood improvement and addresses some of the underlying causes of food insecurity. Safety nets and livelihoods support are integrated to lead to self-reliance. The productive element comes from infrastructure and improved natural resources base created through UPSNJP public works and from the multiplier effects of cash transfers on the local economy.
- **Confidentiality (link it to ethics):** All client information stored in electronic or print form remains confidential and not transferred to any third party.
- **Clients' access to information:** notwithstanding the provision in Principle 9 above, all UPSNJP clients have access to information stored about them and their families at any time they request.

- **Best interest of the beneficiary:** All decisions will be taken on the best interest of the beneficiaries.
- **Respect and dignity:** All beneficiaries must be treated with respect regardless of their circumstances. They must be treated as persons, in the full respect of their dignity. This means that they should never be humiliated or made to feel ashamed because of their circumstances.

2.5. Project Components and subcomponents¹

To address the challenges of urban poverty and unemployment, particularly during Ethiopia's COVID-19 recovery phase, the UPSNJP expands the urban safety net to more cities, focusing on livelihoods and labour market integration particularly of youth, as well as protecting the most vulnerable populations such as the elderly, disabled, and homeless as well as refugees and host communities. The GoE has decided to expand the urban productive safety net to up to 83 cities in the next five years, by rolling out the number of beneficiaries in each city by waves. Further expansion of the urban safety net could benefit from financing of other development partners and additional financing. To this end, the proposed project has five components:

- **Component 1** expands the urban productive safety net by providing public works and livelihood support to selected urban poor households, including refugees, in up to 83 cities, considering city-level poverty and unemployment rates, administrative capacity, and regional equity.
- **Component 2** provides a first work experience for disadvantaged urban youth and support reforms in job search services, in up to 11 cities.
- **Component 3** strengthens urban social assistance by expanding direct income support to up to 83 cities and by providing reintegration services for the urban destitute expected in up to 22 cities.
- **Component 4** supports institutional strengthening of the Urban Job Creation and Food Security Agency (JOBFS), MoLSA, JCC, and the Agency for Refugee and Returnee Affairs (ARRA) to further build safety net systems and foster public private partnerships for livelihood development and jobs.
- **Component 5** is a Contingent Emergency Response Component (CERC), a zero-dollar component that will be activated and funded in case of a declared emergency that affects urban populations.

Component 1: Expand the Urban Productive Safety Net to Improve the Urban Environment

(total US\$346.9 million equivalent, of which IDA PBA US\$209.1 million equivalent and IDA-19 WHR COVID-19 grant US\$48.2 million)

Building on the experience of the UPSNP, this component provides labour-intensive public work opportunities for selected urban poor in selected cities, assist in business development, and provide livelihood grants for beneficiary households. The public work and livelihood program beneficiaries includes poor urban households with able-bodied household members selected using a combination of geographic targeting, community pre-selection, a Proxy Means Test (PMT), and community validation. Selected beneficiaries participate in the program for three years during which they get income support

¹ This section is adapted from the PAD of the Urban Safety Net and Jobs Project (P169943), dated September 9, 2020.

through public works during 12 months of each year but in a decreasing manner in the third year to ensure they have time to develop their livelihood activities. As under the UPSNP, this component implements a variation of the 'graduation' model which provides an integrated development pathway for livelihoods and has been tested and implemented in multiple countries. It provides three years of comprehensive support for the public works beneficiaries. In the first year, beneficiaries participate in public works as well as life skills and financial skills training. They are encouraged to start savings from the beginning so that they can later invest in their business. In the second year, beneficiaries receive support for business planning, technical training as needed, and job search support from woreda-level One Stop Shop Centres (OSSCs) which are specialized in supporting micro- and small business development. Based on the training and business plan, the beneficiaries receive a livelihood grant in the third year during which they work less time in public works and thus have more time for building their business. During this final year, they also receive mentoring/coaching advice from the OSSCs. The approach is equally implemented for host communities and refugees, with some small adaptations as described below.

- Subcomponent 1.1: Public Works (US\$188.3 million equivalent)

Public work beneficiaries receive monthly payments, based on a daily wage rate calibrated so as not to undercut the labour market. The maximum monthly support for a household of four (or more) is about US\$55 for approximately 20 hours of work each week. Cash payments are made monthly through the banking system and increasingly through mobile banking. The daily wage rate is determined considering the market wage rate for similar or comparable unskilled labour. The cash-for-work activities are complemented by training sessions providing financial literacy skills and information on essential family practices, reproductive health, parenting, gender-based violence (GBV) issues, and availability of referral services. Public works program will be rolled out in up to 83 cities based on an independent assessment that will ensure regions' and cities' readiness for implementation. Cities will roll out the number of beneficiaries over time, depending on the number of beneficiaries in each city, planning for either one, two or three waves of targeting.

Public works are identified and planned by city governments through a participatory process involving local communities. They encompass five areas: (a) urban greenery and beautification, (b) urban integrated solid waste management, (c) urban integrated watershed management, (d) social infrastructure (as part of a larger plan such as environmental, disaster prevention, and human development enhancing initiatives), and (e) creating a conducive environment for urban agriculture. The activities are planned for three years and implemented on a rolling basis. Work site management and coordination will be provided by the JOBFSAs' woreda/kebele offices. The implementation of PW must adhere to Occupational Health and Safety standards agreed for the project. Among others, the JOBFSAs have developed guidelines for covering the medical costs for injuries at the workplace for public work and youth employment beneficiaries upon the submission of their injuries with evidence that indicate that the accident occurred while they were on site. Procurement of necessary goods, protective equipment and material will be carried out at the city level with support from the regional liaison offices.

Strict protocols and safeguards will be followed at public works sites to minimize the health risks arising due to COVID-19. While public works under the UPSNP were temporarily suspended at the beginning of the COVID-19 outbreak, they have now resumed with strict protocols, which will also be followed by the proposed UPSNP and adapted over time to the emerging needs.

- Subcomponent 1.2: Livelihood Development (US\$110.4 million equivalent)

Support for business development and livelihood grants through technical, financial, and behavior change. Building on the experience of the UPSNP, the project will provide each participating public works household the opportunity to access a livelihood grant of US\$600 after developing a business plan with support from local woreda offices including OSSCs and NGOs. The support for developing a business plan starts during the second year of participation in the public works, and the livelihood grant will then be disbursed to the households at the end of the second year so that business activities can begin during the third year when public work activities are reduced, hence using a variation of the well-known and evaluated model for safety net graduation. The livelihood support will also include financial literacy and soft skills training covering topics such as planning, budgeting and saving, attitude and expectations at work, and business and workplace readiness. The livelihood activities will be accompanied by a set of behavioral nudges, developed in collaboration with an international expert group on behavioral science, to maximize impact. However, given the current uncertainties around COVID-19 and political tensions and their negative impact on the economy, the feasibility of successfully setting up sustainable businesses with the livelihood grants remains to be evaluated (that is, whether they are still operational six months after the livelihoods grant is disbursed).

The design of the livelihood activities builds on international evidence on the success of such graduation strategies as well as the lessons learned through the implementation of the UPSNP. There is a large and growing body of research on the impact of economic inclusion/livelihood/graduation programs, especially programs whose entry point is based on advancing livelihoods and jobs.² In particular, the evaluation of pilots modelled after BRAC's Targeting the Ultra-Poor program, conducted by the Ford Foundation and the Consultative Group to Assist the Poor in six countries, made a significant contribution to the evidence base in diverse contexts. There is growing international evidence that integrated packages of livelihood interventions complementing regular safety nets can promote income-generating activities and have a range of productive and sustainable impacts. Economic inclusion programs show impact on investments in productive assets, savings, and enhanced resilience to shocks through diversification of income sources and livelihoods. Most programs increase household resilience to shocks by diversifying livelihoods and sources of income, facilitating savings and access to affordable credit, and building social networks. Many programs empower women by enhancing economic opportunities and social status. Evidence of impact on child well-being in participating households is more limited but suggests these programs may increase investments in human capital. Results are sustained in the medium term (although generally smaller in magnitude), and there is reassurance that results can be reproduced at scale in government-led programs. While cash transfers themselves have positive impacts on resilience and productivity, 'Cash +' programs (combining cash + savings facilitation, cash + training, cash + asset transfers) have larger productive impacts while they also improve households' resilience to shocks.

Economic inclusion programs for the poorest show strong potential as part of integrated policy responses focused on containing the COVID-19 pandemic,³ ensuring food security, and supporting medium-term recovery. Some adaptations can be made in program design and delivery to better operate in a pandemic setting. Key priorities in adapting program delivery include (a) early activation of economic inclusion components in new programs, especially cash transfers; (b) scale-up of digital

² World Bank. 2020. State of Economic Inclusion Report 2020, The Potential to Scale: Economic Inclusion for the Poorest.

³ World Bank. 2020. "Economic Inclusion for the Poorest and COVID-19: Adaptation and Early Priorities for Medium- and Longer-Term Recovery." Draft Policy Note 1.

solutions for delivery of key program components; and (c) identification of practical measures to maintain social distancing.⁴ Multidimensional economic inclusion packages such as those of the UPSNJP are well positioned to help women address the plurality of COVID-19 related constraints. According to the high-frequency phone survey of firms in Ethiopia, women were overrepresented among the layoffs, likely because women are more likely to be in temporary employment and are overrepresented in sectors and occupations that are most affected by COVID-19, such as commerce and services⁵ (High-Frequency Phone Survey of Firms 2020). Lessons from previous crises highlight declining opportunities for women, de-prioritization of female health services, and increased GBV. Economic inclusion programs serve as a strong base of support with 88 percent of all existing programs already targeting women as a priority segment, including the UPSNJP.

The UPSNJP livelihood development design builds on this evidence. It will provide three years of comprehensive support for the public works beneficiaries so that they can then graduate from the program. In the first year, beneficiaries participate in public works as well as life skills and financial skills training. They start savings from the beginning, which they can later invest in their business. In the second year, beneficiaries receive support for business planning, technical training as needed, and job search support from the OSSCs (like job centres but focusing on small and medium enterprises [SMEs] development largely). Based on the training and business plan, the beneficiaries receive a livelihood grant in the third year, during which they work less time in public works and thus have more time for building their business. During this final year, they also receive mentoring/coaching advice from the OSSCs.

For the UPSNJP, a number of improvements for the livelihood activities have been agreed. Based on the learning of the UPSNP, the rural PSNP and international experience, several improvements for the development of sustainable livelihoods have been included in the UPSNJP. These include:

- Contracting specialized training providers for livelihoods and financial skills as well as business development based on experience of the Women Entrepreneurship Development Project (WEDP), among others, to improve the quality of training.
- Providing support through behavioral nudges to enhance plan making, self-affirmation, and social proof of support beneficiaries in developing their livelihoods.
- Building capacity of OSSCs to strengthen their support to beneficiaries' business development.
- Promoting links through referral to services such as micro-finance opportunities, specialized training in technical and vocational education and training, and market information services; and
- Further streamlining processes and implementation arrangements by developing better quality operations manual and providing continuous training to frontline workers.

It is too early to draw on results from the impact evaluation of the livelihoods grants from the UPSNP. However, the team plans to ensure these results are utilized to refine the design of the livelihoods component under the UPSNJP as soon as evidence is available.

- Subcomponent 1.3: Integration of Refugees and Host Communities in Selected Localities (US\$48.2 million equivalent)

⁴ <https://www.jobsanddevelopment.org/why-economic-inclusion-programs-matter-during-covid-19/>.

⁵ Bundervoet, T., G. Abebe, and C. Wieser. 2020. Monitoring COVID-19 Impacts on Firms on Ethiopia: Results from a High-Frequency Phone Survey of Firms (English). Washington, DC: World Bank Group.

The project includes refugees and host communities living near selected cities in a joint public works and livelihoods program. Many among the large refugee population in Ethiopia are living in protracted displacement conditions while host communities are often sharing their scarce resources (water, grazing land for livestock, and so on) with the refugee population. The project will include households from host communities and refugee camps in public works and livelihood training and grants, as described in Subcomponents 1.1 and 1.2. Accompanying activities such as livelihood trainings and follow-up as well as the social cohesion building activities are key complements to the income support and grant funding provided by the program. Life-skills and business-skills trainings acquire even greater importance for refugees, who are for the most part unemployed and are likely unfamiliar with how wage employment or self-employment works in Ethiopia. Implementation modalities remain largely the same as the idea is not to create a separate program but to integrate refugees and host communities in the existing program. While the selection of host households will be led by the local office of the JOBFA in a participatory way using the PMT among others, the selection of refugees will be led by ARRA equally in a participatory way, with participation of key stakeholders including the JOBFA, and based on predetermined criteria. The integration of refugees and host communities will be carefully rolled out in different regions, based on the outcome of the pilot from Somali region prioritizing camps near cities that will be part of the UPSNJP (for example, Sherkole, near Asosa) based on local consensus, and adhering to international protection standards as well as social and environmental standards.

The project will foster social cohesion and sustainable integration of host and refugee communities through shared activities and communication. Several project features aim at fostering social cohesion among the hosts and refugees to ensure that both fully understand the scope and the purpose of the interventions, are (and feel) fairly treated, and can work and live together. To foster social cohesion, public work teams will be mixed; platforms for joint refugee-host decision-making on shared community interests, trainings (for example, on essential family practices), and social events for community development will be supported under the project. Refugees should be made better-off by joining the UPSNJP—that will be a binding constraint in the design of any benefit reduction schedule, which will require concerted joint work with ARRA, World Food Programme (WFP), and the UNHCR, with the understanding that refugees graduate from the UPSNJP but remain under the continuous support and surveillance of UNHCR. Camp-based support, which often includes a cash component, can be part of the obstacle to local integration. Host communities, which are typically located in economically marginal, poorer parts of the countries, feel that refugees receive many benefits, while they receive none. Participation in the UPSNJP is therefore geared toward equal treatment of host and refugee and so must endeavour to minimize ‘double-dipping’ by refugees. For fairness and sustainability, the government will seek to implement some form of reduction of camp-based benefits received by refugees participating in the UPSNJP. The project will also include a joint communications strategy and activities between the implementing agency and partners to ensure that both refugees and hosts, whether beneficiaries or not, are informed about the project’s scope, objectives, and modalities and that the expected social cohesion impacts of joint refugee-host work are maximized. Through an accompanying World Bank-executed trust fund (Forced Displacement Trust Fund TFOB2352, P151712), a set of preparatory and accompanying studies will aim at a thoroughly grounded understanding of the social, economic, and environmental dynamics of displacement in the area, as well as inform communications. Besides establishing a baseline for the project’s impact evaluation, the accompanying research plan is structured around four themes: refugee and host communities’ intentions and aspirations, refugee protection mechanisms, promoting integration and social cohesion through tailor-made communications, and accompanying measures. The World Bank will leverage synergies with existing World Bank projects that focus on refugees, such as the Economic Opportunities

Project (EOP, P163829) especially in cross-cutting areas, such as refugee protection outside of camps and implementation of refugees' legal rights of residence and employment. Project implementation will continue to benefit from experience sharing with similar World Bank-sponsored projects including in Chad, Cameroon, and Burkina Faso, as well as more broadly through the UNHCR knowledge base of refugee graduation programs worldwide. Local conditions matter in designing projects for refugees and host. The team was able to draw on evidence from the World Bank Skills Profile Survey of 2017, which provides information on refugees' and host communities' living conditions, skills, labour market participation, consumption patterns, and other relevant parameters. To ensure the local context is fully understood, the project plans to undertake preparatory studies to complement its understanding and further refine the design of this subcomponent.

Component 2: Foster Urban Youth Employment

- (total US\$72.8 million equivalent, of which IDA US\$51.0 million equivalent)

The Youth Employment component consists of two sub-components. The first sub-component (Subcomponent 2.1) aims to provide urban youth with a first work experience through the Apprenticeship Program. This component supports key elements of Ethiopia's National Plan for Job Creation, through fostering the development of human capital. The JOBFSA is the primary implementer of the Apprenticeship Program. The second sub-component (Subcomponent 2.2) improves the ecosystem of employment by strengthening labor market intermediation services. The JCC is the primary implementing organ and will work with JOBFSA and other federal entities to build modern and effective Ethiopia employment services. (Subcomponent 2.2). The proposed interventions are based on rigorous research on urban labor markets in Ethiopia and in line with international best practices.⁶

- Subcomponent 2.1: Provide a First Work Experience for Less Educated Urban Youth (US\$65.8 million equivalent)

This subcomponent seeks to address key obstacles to labour market integration of young, less educated adults by providing a first work experience in the form of six-month apprenticeships in up to 11 cities. Certain obstacles to enter the labour market are particularly apparent for certain demographic groups, and the project will therefore target youth with a high school diploma or lower qualifications. Through apprenticeships, youth are expected to learn valuable soft and technical skills. The apprenticeship combined with soft skill training, basic digital literacy training, job search support, and certification at the end of the program are designed to substantially improve labour market prospects and signalling ability of the young beneficiaries. The apprentices will work 22 days per month for six months and receive a stipend of \$2 per day, which will continue for three more months after successfully completing the apprenticeship to help with job search. This model is currently being piloted under the UPSNP in Addis Ababa, and lessons from this pilot will be used to scale up the intervention under the UPSNJP.

The program has distinct features that together will provide a multifaceted approach to build skills and provide firms with potential apprentices:

- Selection of apprentices and firms will consist of several stages of registration, matching, interviews, and final selection, ensuring a high value proposition to

⁶ World Bank. 2018. Integration: A New Approach to Youth Employment Programs, General Guidelines for Project Teams.

apprentices and firms. Interested firms will be screened for their suitability for offering apprenticeships, including considerations of occupational health and safety (OHS) as well as GBV.

- Life skills, digital, and job search training will be provided through government entities and third parties as required based on a harmonized curriculum to guide potential beneficiaries in workplace behaviors, develop basic digital literacy skills, and strengthen their job search ability.
- Apprenticeships will be offered by private and public sector firms (MSMEs and large firms). A work and training plan will be required for each apprentice which will be supervised by a firm mentor and by local OSSCs. Successful apprentices and firms will receive a certificate of completion.

To maximize program effectiveness, careful attention will be paid to the selection of participating youth and firms, and participants will be provided with necessary support including relevant training and stipends. The selection of beneficiaries will be based on multiple rounds of screening and interviews. Beneficiaries will be provided with financial support through stipends as part of the project. Participating firms will be selected based on suitability for providing apprenticeships and will be monitored throughout the course of the program by JOBFSA, and the OSSCs, to ensure adherence to work plans and relevant safeguards (for details, see appendix 2). To ensure successful matches between beneficiaries and firms, matching algorithms based on innovative tools including profiling surveys and behavioral games will be used.⁷

Given the drastic impact of COVID-19 on firms resulting in a fall in external demand hitting the Ethiopian industry (including air transportation, tourism, hospitality, and others), this component may struggle to find immediate traction with firms in Ethiopia. Given the recent challenges to firm operations,⁸ firms may not be willing to hire workers due to reduced profit expectations and collapse of several large global value chains particularly. This component will only be successful if it meets the needs of the private sector. Therefore, the Bank is undertaking a demand assessment with firms and young job seekers to better understand their demand for the program. This demand assessment will collect information on preferences of different program modalities of firms and young job seekers. It also aims at providing a better understanding of the constraints to job creation among firms and how this is likely to affect their willingness to host apprentices. There are likely to be significant barriers to job creation. This underlines the importance of the strategic engagement with the JCC and their National Plan for Job Creation, through which the GoE is aiming to address the demand and supply sides.

- Subcomponent 2.2: Strengthen Employment and Intermediation Services (US\$7.0 million equivalent)

In line with the National Plan for Job Creation, the JCC has developed a new vision for Public Employment Services (PES) to bridge key gaps in job intermediation services. The new PES will build on the existing infrastructure, including OSSCs, Public Employment Service Offices (PESOs), and youth centres. The OSSCs are the most viable outlets to test new models of PES as they are the strongest local

⁷ A World Bank team that has been piloting such a tool in South Africa will also support the piloting and possible rollout of a matching tool for this project.

⁸ As outlined in Bundervoet, T., G. Abebe, and C. Wieser. 2020. Monitoring COVID-19 Impacts on Firms on Ethiopia: Results from a High-Frequency Phone Survey of Firms (English). Washington, DC: World Bank Group.

structures available to register job seekers. JCC will test several models that consider different contexts, such as city size and urban/rural differences. The mandate of these OSSCs is expected to be expanded to include job matching services, self-employment, wage employment, and referral to skill development services.

This component will support this new PES vision in three distinct ways:

- **Policy development.** This subcomponent will support an assessment of the existing employment services landscape with the aim of informing the implementation road map of the new job centres. In addition, support will be provided defining a legal framework that will guide the new PES. The project will support a series of consultations between different stakeholders within the federal government, regional offices, development partners, and private service providers to ensure successful formulation, testing, and implementation of the new framework.
- **Establishment of the system of PES.** This subcomponent will provide support through significant investments to upgrade infrastructure in 15 job centres and set up 3 cluster offices. These job centres and cluster offices will be set up in the first year as a pilot to test different models of service delivery, reporting lines, and monitoring. This will be accompanied by the development of an information system which will facilitate registration of job seekers and employment opportunities by firms but will also link job seekers and firms to services offered in and outside the job centres. In addition to the physical infrastructure, the project will support institutional development and capacity building of the job centres through service delivery training of PES staff as well as technical support.
- **Support for the development of complementary private employment services.** Support will be provided to strengthen existing private providers, possibly through financing, technical assistance, and capacity building. It will explore the possibility of supporting start-ups that offer innovative solutions to the challenges in labour market intermediation in Ethiopia, learning from international experience. Similar to the support provided to the PES, IT-based solutions will be promoted among these actors.

Component 3: Strengthen Social Assistance and Services for the Urban Poor and Destitute

(total US\$90.3 million equivalent, of which IDA US\$63.2 million equivalent)

MoLSA is constitutionally mandated to oversee and coordinate Ethiopia's social protection policy, and this component further enhances MoLSA's capacity to manage (a) the expansion of PDS for labour-constrained selected urban poor (elderly, disabled, orphans, and so on) in project cities and (b) services for the homeless with the objective of their reintegration.

- Sub-component 3.1: Expanding Permanent Direct Support (PDS) (US\$56.5 million equivalent)

This component will provide a combination of cash and service link assistance to the poorest. Typical PDS beneficiaries include people with limited or no capacity to engage in wage labour or self-employment activities or public works activities such as the elderly, people living with disabilities, orphans, and people with HIV AIDS or other chronic health issues. These beneficiaries will be identified through a combination of community targeting and PMT as part of the overall beneficiary selection process under Component 1. Existing UPSNP PDS beneficiaries will be eligible to receive benefits if selected through a recertification process. A cash payment equivalent of US\$10 per person per month will be made to the individual bank accounts of beneficiaries and will be adjusted for inflation annually. Cities will hire additional social workers who will play an active role in beneficiary selection as well as program monitoring and grievance redress.

MoLSA's social workers at the city and woreda levels will link PDS beneficiaries with social services.

These typically include services such as health, education, and health insurance services and links to other relevant services in communities as deemed necessary, which may include disability services, legal services, housing, and transportation services. Social workers will be responsible for coordinating, overseeing, and supporting case management activities in their respective woredas and will work closely with community care coalitions or community workers (where available) to prioritize and select the most vulnerable households and development of care plan and facilitate access to services. A process review will be carried out in the current 11 UPSNP cities to identify the optimal way of implementing service links in the face of capacity constraints.

Cash transfers such as the PDS have big climate co-benefits just by virtue of their effects on household consumption, time use, and income diversification effects. A recent study⁹ reports that modest, but persistent, transfers of cash to extremely poor households can provide both social and environmental benefits. It shows that Indonesia's national antipoverty program, which transfers cash to hundreds of thousands of poor households, reduced deforestation as a side benefit. Although the program has no direct link to conservation, it is estimated that it reduced tree cover loss in villages by 30 percent. The program's environmental impact appears to be mediated consumption smoothing, whereby cash substitutes for deforestation as a form of insurance, and consumption substitution, whereby market-purchased goods substitute for deforestation-sourced goods. The results imply that antipoverty programs targeted at the very poor can help achieve global environmental goals under certain conditions.

- Subcomponent 3.2: Services for the Urban Destitute (US\$33.8 million equivalent)

This subcomponent will support the homeless toward their social, economic, and educational reintegration in cities with high number of homeless people. It will support four categories of the homeless: (a) homeless women and mothers with one or more children; (b) unaccompanied children between the age of 4 and 18 years (boys and girls); (c) homeless adults between the age of 19 and 59 years (male and female); and (d) homeless elderly 60+ years of age with no support from relatives, government, or NGOs. Cities will be selected based on the number of homeless people, track record in the UPSNP program, and availability of staff and service providers. Services will be provided through eligible NGOs contracted by regional BoLSA or MoLSA that will be responsible for outreach campaigns. MoLSA will also contract a management firm to assist in the planning, implementation, monitoring and evaluation (M&E), contract management, and system development.

Services offered under this subcomponent will be based on the needs of the beneficiaries as well as on the capacity of service providers. The MoLSA intends to roll out the Urban Destitute activities in up to 22 cities. This will be reviewed based on the planned urban Destitute Scoping Study, the administrative capacity of MoLSA and the performance of the respective subcomponent under the ongoing UPSNP. Preference will be given to cities that have service providers able to offer a combination of services that address a comprehensive set of needs. The list of services includes temporary shelter and protection, access to basic social services, temporary home services, psychosocial support, life skills training, sustainable livelihood support, addiction treatment, sports and crafts activities, cash transfers, family reunification support, and so on.

⁹ Paul J. Ferraro and Rhita Simorangkir. 2020. "Conditional Cash Transfers to Alleviate Poverty also Reduced Deforestation in Indonesia." *Science Advances* 6 (24). <https://advances.sciencemag.org/content/6/24/eaaz1298>.

Component 4: Institutional Strengthening, Project Management and Monitoring and Evaluation

(total US\$40.0 million equivalent, of which IDA PBA US\$26.7 million equivalent and IDA-19 WHR COVID-19 grant US\$1.8 million)

This component supports the development and strengthening of safety net systems, at JOBFSa, MoLSA, and JCC, as well as regions, cities and woreda offices. It strengthens and supports key processes such as targeting, enrolment, payments, grievances, citizen engagement, and monitoring of the project elements. It will focus on capacity building and institutional collaboration (human resources, training, administrative, and technical capacity) and strengthen program management supported by a Project Coordination Unit (PCU) that includes technical, fiduciary, and environmental and social risk management staff in support of the JOBFSa, JCC, and MoLSA. To strengthen project oversight and coordination, the project will also support the gradual transition from the current rudimentary Urban Payroll and Attendance Sheet System (UPASS) to a fully developed MIS to cover the various project components that will connect the local offices with cities, regions, and the federal agencies. The MIS for the UPSNP is presently being developed and expected to be fully operational in early 2021. The MIS will be expanded to add the youth employment Subcomponent 2.1. There will be dedicated modules of the MIS for MoLSA to manage the PDS and destitute programs. The latter will serve both the rural PSNP and UPSNP needs and feed into the development of a national social registry. This will, among others, support the objective of strengthening the oversight, coordination, and implementation capacity of MoLSA. This subcomponent will also enhance the use of technology at the federal, regional, and local levels. The component will also strengthen capacity of the JOBFSa and ARRA to support the implementation of refugees' inclusion into the public works and livelihood program. The capacity-building efforts will focus on adjusting targeting mechanisms to ensure inclusivity in refugee and host settings where the project will be active and review and implementation of joint protection mechanisms that are reliably effective for refugee beneficiaries also outside a camp setting. The component will also support dedicated focal points for refugee and host communities to ensure continuous dialogue and cooperation on the ground with relevant actors such as the UNHCR.

Citizen engagement and social accountability. Building on the experience of the UPSNP, the proposed project will include support for citizen's engagement in the areas of beneficiary selection (targeting), selection of public works, appeals and grievance processes, and financial transparency. The objective of citizen engagement is to ensure that the project clients are receiving their entitlement promptly, in full, and with dignity. Citizens' participation in planning and providing feedback on project activities will be facilitated to allow for informed feedback and developing appropriate solutions. This subcomponent will support four interconnected interventions: (i) an extensive communication strategy to inform key stakeholders including the general public and potential beneficiaries about the project; (ii) social accountability (structured mechanisms for citizens' participation through citizens' report cards or community score cards;) (iii) grievance redress mechanisms (GRM) through complaints and appeals committees at the kebele, woreda and city levels as appropriate, and (iv) partnership and networking.

Component 5: Contingent Emergency Response Component (CERC)

(total US\$0 million equivalent, of which IDA US\$0 million equivalent)

The zero-dollar CERC will be activated and funded in case of a declared crisis that affects the economy or the environment and threatens to increase the vulnerability of the urban population. The CERC is a financing mechanism that will allow the Government to rapidly reallocate uncommitted funds from World Bank-financed projects toward urgent needs to finance physical, economic, and social recovery in the event of a crisis or emergency. The PIM will include an annex with the procedures for triggering

and implementing the CERC, based on World Bank standards. IDA19 WHR funds can only be mobilized for the CERC if these funds support activities dedicated to refugees and host communities.

2.6. Geographical Targeting and Rollout Plan

The UPSNP will be implemented in up to 72 new cities and towns, as well as the 11 cities currently being targeted by the UPSNP, therefore reaching a total of up to 83 cities.

The Federal Steering Committee decided on the number of cities and towns based on the following criteria:

- Number of regional urban population size,
- Unemployment rate,
- Poverty rate, and
- Federal equity grant formula

On the basis of these criteria, a number of cities were selected by region. All new (up to) 72 cities will start based on a readiness assessment. The readiness assessment will show whether cities are ready to implement and only upon cities considered “ready”, will they be able to roll out the program (see section 2.7). The following roll out modalities will apply:

- 26 cities with more than 5,000 beneficiaries will have a three-round roll out, (year 1, 2 and 3) if they are considered ready;
- 25 cities with 3,000 to 5,000 beneficiaries will have a two-rounds roll out (year 1 and 2) if they are considered ready; and
- 21 cities with less than 3,000 beneficiaries will have one round in the first year if they are considered ready.

All 11 cities already targeted by the UPSNP will have only one round of rollout.

The PW and PDS components will be implemented in up to 83 cities. However, the UDS component will only be implemented in 21 cities and the YE component will be implemented in 11 cities.

The following table shows the number of cities per region.

Table 2. Number of New Participating Cities per Region

s.n	Name of Regions	Number of cities
1	Oromia	29
2	Amhara	16
3	SNNP	14
4	Tigray	5
5	Somali	5
6	Gambella	1
7	Beninshangul Gumuz	1
8	Afar	1

	Total	72
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A complete list of cities, including number of beneficiaries, and rollout, is included in annex to this chapter.

The following tables also summarize the rollout of the various components of the UPSNJP and number of beneficiary households to be targeted each year (please note that the number of beneficiaries for PES is only included as a total number as the exact rollout is not defined at the time of writing the PIM); and the rollout of the Host Communities and Refugees component.

Table 3. Rollout per Component (PW, PDS, UDS, and LD) and Number of Beneficiaries

Component	Round	Year 1	Year 2	Year 3	Year 4	Year 5
PW	1	284,547	284,547	284,547		
	2		113,108	113,108	113,108	
	3			75,593	75,593	75,593
Total		284,547	397,655	473,248	188,701	75,593
PDS	1	22,824	22,824	22,824	22,824	22,824
	2		21,544	21,544	21,544	21,544
	3			107,519	107,519	107,519
Total		22,824	44,369	151,887	151,887	151,887
UDS			7,000	7,000	7,000	
LD	1			94,849		
	2				37,703	
	3					25,198
AP		10,000	14,500	17,500	17,500	70,500
PES						15,000

Table 4. Rollout of the Host Communities and Refugees component

Component	Round	Year 1	Year 2	Year 3	Year 4	Year 5
PW	1 (20%)	16,273	16,273	16,273		
	2 (40%)		32,546	32,546	32,546	
	3 (40%)			32,546	32,546	32,546
Total		16,273	48,819	81,365	65,092	32,546
LD grant	1			5,424		

	2				10,849	
	3					10,849
Total						27,122

2.7. Regions and Cities' Readiness and Performance Criteria and Verification Process

Criteria

Regions, cities and woredas will need to comply with a number of predetermined readiness criteria in order to participate in the UPSNJP, and annual performance criteria in order to continue participating each year. Meeting the required annual performance criteria will be linked to budgetary allocations and will determine whether the UPSNJP is further rolled out (for example, second and third wave of public works) in the region/city.

These criteria are divided into the following categories:

- Appointment of qualified staff;
- A functional MIS (initially UPASS and then a full MIS);
- Establishment of coordination arrangements;
- Access to STEP and Capacity Building plan; and
- An inception report on the readiness criteria for the first time to join the UPSNJP, and annual reporting on the performance criteria.

The Federal level agencies must also meet a number of readiness and performance criteria.

The complete list of readiness and performance criteria is included in annex to this chapter.

The PCU will support regions and cities (including the woredas in each city) meeting the readiness and performance criteria. It will in particular:

- Provide standard TOR and required qualifications for all the staff positions that must be filled;
- Provide essential training, in particular Training of Trainers, so all recruited and assigned staff at regional, city and woreda level are adequately trained in carrying out their functions. This includes programming, organizing and implementing trainings on STEP and procurement, safeguards, and GRM;
- Providing all regions and cities with a checklist containing all the readiness and performance criteria, and guidance on how to meet these criteria..

Cities will be responsible to support their own woredas in meeting the readiness and performance criteria, based on the checklists provided by the PCU and with the relevant support of the PCU if required.

Based on the checklist provided to them by the PCU, regions and cities will provide an inception report (the format will also be provided by the PCU) demonstrating that they meet the readiness criteria (or a progress report each year to demonstrate they meet the performance criteria). Cities will be responsible to report on the readiness of their own woredas.

Verification of criteria

The process of verification of the readiness criteria will be initiated at the request of each region and city. Each region and city will submit to JOBFSa an inception report and through this report, request that their readiness criteria are verified.

The readiness of each region and city will be assessed by a third party contracted by JOBFSa under the UPSNJP.

Cities will be responsible for ensuring and verifying that their own woredas meet the readiness and performance criteria. Therefore, verifying readiness and performance criteria at the woreda level will not be under the responsibility of the third party.

The verification third party will:

- Develop a verification protocol and checklist (including how each criteria is verified, eg. Appointment or recruitment of staff is verified by confirming that a contract has indeed been signed, and that the recruited staff is clearly identified in the Human Resources records). The protocol must include a system of points: a number of points is attributed to each criteria in the checklist, and the total of points should be at least 80% of the total of points in order for the region or city to be formally authorised to join the UPSNJP.
- Carry-out the verification process in each region and city, at the request of JOBFSa, within an agreed period of time once the request has been placed by the region or city;
- Produce a verification report based on the checklist and attributing the resulting total of points. If at least 80% of the criteria have been met according to the point system, then the third party will recommend that the region or city joins the programme.

Authorisation to join the programme

Depending on the report of the verification third party, JOBFSa may take two different decisions:

- If the report does not recommend that the region or city meets the programme because it meets less than 80% of the criteria, then JOBFSa notifies the region or city in writing that its participation is postponed until 80% of the criteria are met. The PCU will support the region or city meeting these criteria, and the region or city can request a new verification process at any point of time.
- If the report recommends that the region or city joins the programme because it meets at least 80% of the criteria, then JOBFSa notifies the region or city in writing that its is formally joining the programme.

2.8. Environmental and social safeguards

The UPSNJP environmental and social risk rating is classified as Substantial under the World Bank Environmental and Social Framework (ESF). This is based on the type of project and nature of its activities which are primarily cash transfer and public works, as well as employment and social services for which potential environmental and social risks and impacts are assessed as substantial.

Anticipated Environmental and Social Risks and Impacts

The project will have considerable positive environmental and social impacts. The public works carried out under the project encompasses: a) solid waste management (waste collection from river banks

along the roads), b) social infrastructure such as construction and operation of communal toilets and contributions to improve education and health infrastructure, c) landscape/watershed management (on the adjacent hills of the cities to prevent flooding through terracing, digging channels, gullies, and so on), d) urban greenery such as small parks and roadside beautification, and e) urban agriculture in areas cleaned from municipal waste.

The beneficial impacts include, among others, reduction of flooding because of terracing, reforestation, cleaning drainage ditches, and so on; cleaner air and aesthetics in the beneficiary cities/towns; reduction in prevalence of diseases that can be caused by poor environmental sanitation; and improvements in environmental health of the urban centres of Ethiopia. The project greening activities would effectively make use of green spaces for water conservation, biodiversity improvement, pollution management (natural filters), and flood control. In addition, the project will have considerable social benefits. It will address the challenges of the urban poor and also take advantage of the economic opportunities in cities; it will expand the income support for the poor as well as livelihood opportunities and will provide services for the destitute. Moreover, the project will provide young men and women with opportunities to enter the labour market.

However, the project activities also have environmental and social risks. The environmental risks mainly come from the public work activities including pollution of ground and surface water (if the collected wastes are not properly disposed of), emission of greenhouse gases from waste disposal sites, soil erosion, and solid waste that may provide a food chain path for transmitting animal and human diseases. Given that these activities will be implemented in small scale, the potential adverse risks and impacts on the environment are not likely to be significant. The project does not involve activities that have a high potential for harming the environment.

Public workers handling solid waste can be exposed to occupational health and accident risks related to the content of the materials they are handling, emissions from those materials, and the equipment being used. People living and working near solid waste disposal facilities also are exposed to environmental health and accident risks. The open burning of waste can have serious consequences on the health of people as burning of household waste can lead to exposure to fine particles, dioxins, volatile organic compounds, polycyclic aromatic hydrocarbons, and polychlorinated biphenyls, which have been linked to heart disease, cancer, skin diseases, asthma, and respiratory illnesses. The project should give serious consideration to the species to be selected for greening activities in terms of their biodiversity value by planting a wide variety of indigenous species rather than a limited number of exotic species. The proposed project is expected to generate positive social results for poor and vulnerable populations in participating cities through the provision of a social safety net and livelihood support and services for the destitute. It also provides young men and women with opportunities to enter the labour market.

However, the project has social risks including

- Land acquisition for public works;
- Social exclusion and elite capture for targeting (Assessments conducted in the country indicate that young people and women are at a significant disadvantaged position in the urban labour market. These groups of people will face further exclusion in this project unless a careful targeting system is in place.);
- Insufficient community engagement;
- Potential tension between host and refugee communities due to the potential perception by host communities that refugees are receiving advantages that should go to Ethiopian citizens; and

- Gender Based Violence (GBV).

Other potential risks may be related to underage participation in public works. An additional item to consider is population movements, above all in relation to forced displacement and related grievances by displaced beneficiaries and/or host communities. While beneficiaries of the UPSNJP are vulnerable by definition as a criteria for inclusion into the project (via a targeting approach involving community participation with a strong focus on poverty), additional dimensions of vulnerability may require special project attention as they may interlink with the core activities of the project, for example, female-headed households, minor-headed households, the elderly, people with disabilities, and so on. The social risk of the project is therefore rated Substantial.

Environmental and Social Framework Standards

The project has been prepared under the World Bank's new Environmental and Social Framework (ESF). Nine ESF Standards are relevant for the project. The GoE will implement material measures and actions so that the project is implemented in accordance with these standards, as specified in the Environmental and Social Commitment Plan (ESCP) signed between the WB and the GoE. The ESCP is included in annex of this chapter.

The following documents have been prepared and disclosed, and are considered annexes of the present PIM:

- Environment and Social Management Framework (ESMF),
- Labour Management Procedures (LMP),
- Resettlement Policy Framework (RPF),
- Environment and Social Commitment Plan,
- Stakeholder Engagement Plan (SEP),
- GBV Risk Assessment, and
- Social Risk Assessment.

Where necessary, Environment and Social Management Plans and Resettlement Action Plans will be prepared, consulted upon, and disclosed during project implementation. The social and environmental risk management specialists of the federal PCO is responsible for the training of the federal, regional, and city-level focal persons. Besides, review of the safeguard instruments of cities prepared for subprojects; review and consolidation of quarterly monitoring reports; and undertaking of field visits to check the implementation of Environment and Social Management Plans, Environmental Impact Assessment implementation, and design-related guideline as deemed necessary.

Organizational Responsibilities for Environmental and Social Safeguards Implementation

The implementation of the UPSNJP streamlined into the existing government structure at the Federal, Regional, city and local levels. The overall coordination and management of the USNJP will continue to be the responsibility of the PCU/ JOBFSa. The PCU/UFSJCA will furthermore oversee the fiduciary and safeguards aspects of component 1 and 2. The MoLSA will be in charge of implementing component 3, including fiduciary and safeguards, as well as linkages with social services (health, education etc.) There will be collaboration by the JOBFSa with JCC and private sector associations during implementation of component 2 (Youth employment).

2.9. Specific COVID-19 related safeguards and protocols

Strict protocols and safeguards followed at public work sites to minimize the health risks arising due to COVID-19. While public works under the UPSNP suspended at the beginning of the COVID-19 outbreak, they have now resumed with strict protocols, which followed by the proposed UPSNJP and adapted over time to the emerging needs.

These protocols include communication of COVID-19 related orientation sessions to train workers and field staff on the sources of exposure to the virus. The hazards associated with that exposure and appropriate workplace protocols in place to prevent or reduce the likelihood of exposure. Creating small work teams and staggered shifts, ensuring availability of necessary hand washing facilities at work sites and ensuring social distancing practiced at work sites.

Specific measures to adjust the public works will also include:

- Ensuring that sick beneficiaries do not participate in labour-intensive public works;
- Establishing clear guidelines for social distancing at work sites, including, among others, creating smaller teams of 10 or less people in a group, creating staggered shifts, allowing younger people to work while keeping older people isolated, and discouraging people from shaking hands;
- Requiring all participants at work sites to wear face masks;
- Disallowing participants from sharing work tools and equipment;
- Sanitizing tools and equipment that are used by participants daily;
- Providing water and soap on-site;
- Collaborating with local health facilities to support the monitoring of participants' health, where possible; and
- Developing and posting guidance to beneficiaries on how to stay safe during COVID-19 and creating trainings for beneficiaries on the topic.

CHAPTER 3. INSTITUTIONAL AND IMPLEMENTATION ARRANGEMENTS

3.1. Key Institutional Arrangements as per the Financial Agreement

The UPSNJP is implemented by several government institutions, supported by a number of implementing partners from the public, private and nongovernmental sectors.

The Ministry of Finance (MoF) will be responsible for FM of the UPSNJP, including the payments through commercial banks to beneficiaries through its regional and city-level offices.

The MoUDC is the lead ministry responsible for the UPSNJP's overall coordination and management, chairing its steering committee, and representing the project at the highest level of Government. The MoUDC oversees and guides the work of the JOBFSA, which is the project's main implementation agency.

The JOBFSA under the MoUDC will be in charge of implementing the UPSNJP, particularly implementing the urban public works and livelihood activities, as well as overall coordination of the project. JOBFSA is directly responsible for the following components and subcomponents:

- Component 1 safety net (PW, LD, and Refugee and Host Community Integration),s
- component 2 (Apprenticeship Program/ Youth Employment),
- Component 4 (Institutional Strengthening, Project Management, and Monitoring and Evaluation), and
- Component 5 (Contingent Emergency Response).

JOBFSA works with and through regional governments and city administrations down to the woreda offices where the JOBFSA is in charge of OSSCs. The OSSCs are expected to deliver the coaching and mentoring activity based on the priorities of each year. The OSSCs are also actively engaged in recruiting unemployed individuals for training on entrepreneurship and formation of the SMEs and in providing advisory services. However, their typical clients are more educated than the average safety net beneficiary. Mentoring and coaching material customized to the needs of the livelihood beneficiaries will be developed, and the OSSC staff will be trained on the same. The mentoring and coaching manual will have focuses on both wage and self-employment.

The **Project Coordination Unit (PCU)**, established in JOBFSA, is responsible for supporting Project coordination and providing technical, fiduciary, and safeguard support to all relevant federal agencies, regions and cities on planning, budgeting, financial management, procurement, technical support, quarterly and annual reporting, and monitoring and evaluation.

The MoLSA is responsible for the overall coordination and policy development in the social protection sector. Coordination of these multisector engagements is enhanced by the country's Social Protection Council which includes the ministers of the main sectors contributing to implementation of the NSPP. Under the UPSNJP, MoLSA will be responsible for implementation of the direct income support cash transfers. MoLSA will be directly involved in the implementation of public works and livelihoods components as it relates to support for childcare, behaviour change communication, and wage employment. Component 3 will be implemented by MoLSA and its regional and city structures in close coordination with all concerned sector ministries mandated to provide social services to the destitute. Special emphasis will be given to links with services such as health, education and psychosocial support, and institutional care services. A small technical and fiduciary team of experts and consultants will support MoLSA's safety net unit. The team will have specialized expertise in the area of social

protection and social work, procurement, FM, M&E, and MIS. Because coverage of the urban destitute is extended to more cities, the role of regional BoLSAs would be crucial as well. Hence, in regions where more than two cities are selected, a regional urban safety net team will be established to serve as a regional hub to coordinate regional social service delivery systems. The team will consist of, at the very least, a coordinator, a social worker, and an M&E officer.

The JCC under the Prime Minister oversees, guides, and monitors the job creation agenda. The JCC has been closely involved throughout the design of Component 2 of the proposed project. The JCC will be responsible for the implementation of Subcomponent 2.2 on job intermediation services. As the OSSCs that be upgraded fall under the mandate of the JOBFSAs, and the PESOs under MoLSA, the JCC will closely work with both to ensure coordinated implementation.

City-level officials. City-level labour and social affairs offices, in close coordination with city mayor office, will be responsible for effective planning and implementation of urban destitute activities. Each city expected to have dedicated operational staff. For a city to be eligible to work on PDS and UDS, the city BoLSA has to demonstrate that it has at least three to four full-time staff who would work on the project. However, staff size needs to be proportional to the number of project beneficiaries (as the beneficiaries increase, the number of the staff also increases) and has to be capable of providing the required services on PDS-, UDS-, and livelihood-related activities.

Technical assistance and coordination support provided through a federal PCO and regional hubs. The overall management and coordination of the project by the MoUDC and MoLSA supported by a PCU under the guidance of the minister of the MoUDC. The PCO will support the coordination of the project and provide technical assistance for project planning, M&E, procurement, FM, and safeguards. The PCO be staffed with appropriate technical and fiduciary staff and managed by a competitively selected and/or Government assigned project coordinator. To coordinate across multiple cities, the project will set up regional hubs that will include experts and staff in key operational processes (public works, payments, grievances, and so on) as well as fiduciary- and safeguard-related issues.

ARRA will be an implementing partner for the integration of the refugees and host communities under the project. ARRA will be mostly responsible for the coordination at the national, regional, and local levels of refugee-related programs; for facilitating access; and for providing necessary protection services. ARRA will be concretely involved in the selection process of the participating refugees (whose participation is of course voluntary) and in the overall monitoring of project progress. A Memorandum of Understanding (MoU) between the JOBFSAs and ARRA signed before implementing any activities with refugees, which will outline the respective roles and responsibilities under Subcomponent 1.3 of the project.

The MoA is implementing the rural PSNP and collaborates with MoLSA, JOBFSAs and others in developing a national social safety net system, including a social registry of beneficiaries. While the MoA does not have any direct role under the PSNP or the proposed PSNP, the collaboration between the urban and rural safety net programs is crucial for developing an integrated social protection system in the future. Furthermore, the MoA also has a jobs creation department and function, and it therefore has a role to play in developing the country's job search and intermediation services.

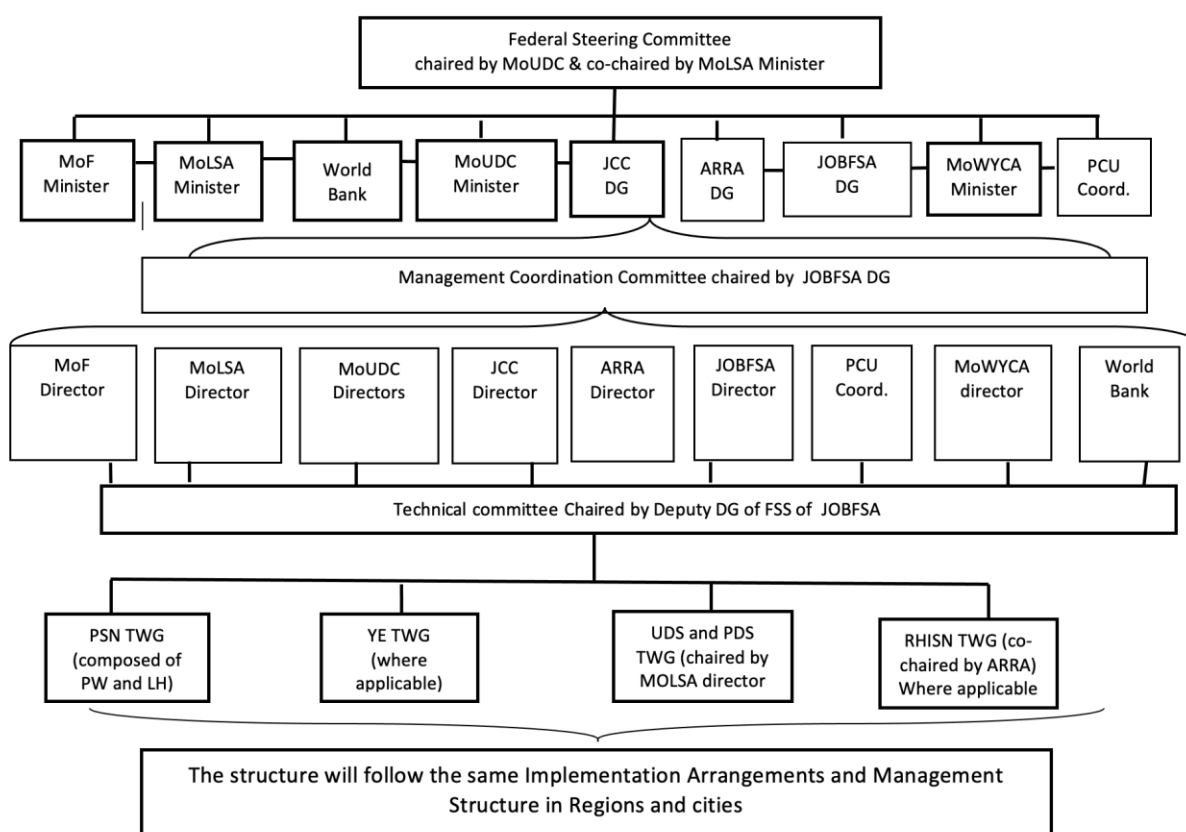
Private sector and NGOs will play an important role in the implementation of the PSNP. Private sector firms will provide livelihood development services including life skills training based on a

structured curriculum developed by the JOBFSa under Component 1. Given that the project implemented in different regions, the city offices will translate curriculum into local official languages. Private firms will also act as intermediaries between job seekers, potential employers, as well as private and public sector firms for provision of apprenticeships under Component 2. NGOs will provide services for the homeless under Component 3. The involvement of private sector firms and NGOs will be based on competitive selection. Private service providers will be contracted by the cities and sub-cities to deliver life skills training based on a structured curriculum. This curriculum will be developed by the JOBFSa considering the features of the beneficiaries (educational background, age and gender, and knowledge and experience).

3.2. Overview of Institutional arrangements

The overall institutional arrangements at the national level for the project are captured in the figure below and are detailed in the following sections. The same structure is replicated at regional and City level i.e., at Federal level, four committees: steering committee, Management coordination committee, Technical committee and Refugee and Host Community Integration Technical committee, but at regional and city levels: steering committee, Management coordination committee, Technical committee and only for those regions and cities that have refugee camps, Refugee and Host Community Integration Technical committee is added when it is necessary.

Figure 1: UPSNJP Implementation Arrangements and Management Structure



3.3 National, Regional and City level Committees

3.3.1 National Steering Committee

Role

The National Steering Committee (NSC) is responsible for-

1. Overall oversight of the project, including providing strategic guidance and direction on project implementation,
2. Approving the annual plan and budget and project expenses, and
3. Acting on issues that require high-level decisions.

❖ Members of NSC

- Minister of the MoUDC-----chair
- MoLSA----- co-chaired
- MoWCYA.....Member
- The state minister of the MoUDC...Member
- The state minister of MoLSA-----member without voting
- The state minister of MoF.....member
- Commissioner of JCC-----member
- The Director General of the JOBFSA.....member
- The Director General of ARRA-----member
- Task team leader of the World Bank-----member without voting

The NSC meets once every quarter and the PCO, under JOBFSA, serves as a secretariat without voting.

3.3.2 Regional Steering Committees

Roles

1. Overall oversight of the project, including providing strategic guidance and direction on project implementation,
2. Approving the annual plan and budget and project expenses, and
3. Acting on issues that require high-level decisions.

❖ Members of RSC

The regional Steering Committee is composed of,

- ✓ Regional Vice president.....Chairperson

- ✓ Regional UDCB/ Regional JOBFA/Enterprise, technique and vocation bureau... member
- ✓ Regional BoF.....member
- ✓ Regional BoWYCA.....member
- ✓ Regional BoLSA.....member
- ✓ MSE Agency.....member
- ✓ The regional PCU.....secretary and non-voting

The RSC meets once every quarter.

3.3.3 City level Steering Committee

Roles

The city SC is responsible for:- over all implementation and budget allocation.

❖ Members

- City mayorchair
- City Manager.....member
- Job creation and food security office/ Enterprise, technique and vocation office.....secretary
- Office of Labour and Social Affairs.....member
- Office of Women and Children's Affairs.....member
- Office of Financemember
- MSE office.....member

The CSC meets on a quarterly basis.

3.3.4 Management and Coordination Committees (MCC) at federal level

Roles

MCC is responsible for-

1. follow up on regular project coordination and management issues, including capacity building, M&E, planning, system development, FM, and procurement management,
2. Serving as the liaison between the NSC and the Technical Committees.
3. The coordination of technical committees and implementing agencies.

❖ Members of the MCC

All directors (or their delegates) of **relevant directorates** involved in the program include:

MoUDC, MoLSA, MoWCYA, JOBFA, JCC, ARRA, MoF, World Bank without voting and the federal **PCU** serves as a secretariat of MCC.

The MCC meets on a monthly basis and is chaired by the Director General (DG) of the federal JOBFA, and co-chaired by the Director of MoLSA.

3.3.5 Management and Coordination Committees at regional level

Roles

MCC is responsible for-

- follow up on regular project coordination and management issues, including capacity building, M&E, planning, system development, FM, and procurement management,
- Serving as the liaison between the NSC and the Technical Committees.
- The coordination of technical committees and implementing agencies.

❖ Members

All directors (or their delegates) of relevant directorates involved in the program include:

- Regional urban development and construction bureau/ Enterprise, technique and vocation bureauchair
- Regional social and labour affairs bureau.....co-chair
- Regional JOB creation and food security agency.....secretary
- Regional job creation commissionmember
- Regional finance bureau.....member
- Regional Bureau of Women children and Youth Affairs....Member
- The regional PCU/Hub.....member
- ARRA where appropriate... member

The MCC meets on a monthly basis.

3.3.6 Management and Coordination Committees at city level

Roles

MCC is responsible for-

To oversee all planning and the implementation process of the UPSNP, including:

- ✓ Targeting,
- ✓ appeal mechanisms,
- ✓ capacity building,
- ✓ Transfers, Public work and livelihood activities.

❖ Members

The members of the city MCC are the heads (or their delegates) of relevant offices involved in the program:

- ✓ City Manager.....member
- ✓ Office of Labour and Social Affairs.....member

- ✓ Job creation and food security office/ Enterprise, technique and vocation office.....secretary
- ✓ Office of Women and Children's Affairs.....member
- ✓ Office of Finance and Economic Cooperation.....member
- ✓ Office of Public Mobilization & Participationmember
- ✓ representatives of the city Development Committee....member
- ✓ Women's Forum,member
- ✓ Youth Forum,member
- ✓ Residents' Forum.....member
- ✓ Iddirs Council and others as appropriate....member.

The MCC meets on a monthly basis

3.3.7 Technical Working Group (TWG)

Roles

Ensure regular technical support and guidance for the project implementation.

❖ Members

Four TWG will be established:

1. **Productive Safety Nets (PSN TWG)**
2. **Youth Employment (YE TWG) where applicable**
3. **Urban Destitute & Permanent Direct Support (UD/PDS TWG).**
4. **Refugee Host Community Integration TWG (where applicable), co-chaired by ARRA.**

3.3.7.1 Productive Safety Nets (PSN TWG),

This technical committee is responsible for livelihood and public work activities.

❖ Members include:

- Deputy D/G of JOBFSa.....chair
- Safety net directormember

- Livelihood directormember
- Climate change Resilient Bureau....member
- Land management bureau of MoUDC.....member
- Citizen engagement directorsecretary
- Job creation directormember
- TVET (responsible director member
- MoWCYA (responsible director)..... member
- Federal PCUO coordinator.....secretary
NB others when required

3.3.7.2 Youth Employment (YE TWG) where applicable

This technical committee is responsible for the apprenticeship activities in the YE.

❖ **Members include:**

- Deputy D/G of JOBFSAs.....chair
- Job creation directorsecretary
- JCC (responsible director)..... member
- OSS directormember
- Livelihood directorate.....member
- MoWCYA (responsible director)..... member
- Employment specialist.....member
NB others when required

3.3.7.3 Urban Destitute & Permanent Direct Support (UD/PDS TWG).

This TWG is responsible for the overall implementation of UD/PDS activities.

❖ **Members include:**

- Social welfare and development program director.....chair
- Citizen engagement directorsecretary
- Health extension director..... member
- MoWCYA (responsible director)..... member
- Attorney General (responsible director).....member
- CRDA (responsible director).....member
- Disabled associationmember
- Elderly people associationmember
- Federal PCU social protection specialist.....member
NB others when required

3.3.7.4 Refugee TWG Chaired by ARRA where applicable

This refugee TWG is responsible for the overall implementation of RHISN in selected areas.

❖ **Members include:**

- Safety net directorchair
- ARRA responsible director.....secretary
- Livelihood directormember
- Citizen engagement directormember
- Refugee specialist.....member
- Concerned team in the World Bank group-----member

All the TWG meet monthly and report to the Management Coordination Committee (MCC)

NB regional steering committee, management coordination committee and technical working group composition of institutions at the remaining levels adjusted according to the circumstance of the regional institutional arrangement.

3.4 Woreda and Kebele Committees

Woreda level Urban Job Creation and Food Security Office

At the woreda level, the joint leadership of Woreda Urban Job Creation and Food Security Task Force, under the oversight of the Woreda Cabinet and the Woreda Council, manages the UPSNJP. The head of the Woreda UJC&FSO is responsible for the overall management of the UPSNJP and is the chair of Woreda project MCC. The woreda-level project focal unit is responsible for day-to-day coordination of the project implementation and expected to support the implementing offices. The project focal unit expected to prepare the project annual plan and budget endorsed by the Woreda project MCC and approved by the Woreda Council/Cabinet.

Ketena Targeting Committee (KTC)

In selected Woredas, management members and experts of JOBFSa in collaboration with the management members and experts of MoLSA will identify Ketenas, in which KTCs established based on project need.

The KTC is responsible for undertaking the community targeting exercise by undertaking house-to-house visits of all households within their community and ranking households based on pre-set targeting criteria.

The KTC will provide a list of households to be included into the next stage of the targeting process (data collection and PMT).

Woreda/Kebele Development Committee (W/KDC)

Woreda/Kebele Development Committee will assist in coordinating the project activities with other development interventions in the Woreda/Kebele.

The Kebele Cabinet presents and the Kebele Council approves the list of beneficiaries of the UPSNP and related plans for the program. The kebele chairperson is responsible to oversee the implementation of the project.

A task force established at kebele level includes representatives from the community and development committees. Its role is to facilitate planning, community participation, and the targeting process.

Woreda/Kebele Appeals Committee (KAC)

Appeals Committees are responsible to collect and resolve complaints, claims, and appeals from Woreda/Kebele residents on the targeting process and other implementation issues

Private Sector and NGOs

The private sector and NGOs play an important role as implementing partners in the implementation of the UPSNP for providing livelihood development services under Component 1, as intermediaries between job seekers and potential employers, as well as private and public sector firms for apprenticeships under Component 2. Furthermore, NGOs provide services for the homeless under Component 3. The involvement of the private sector and NGOs guided by competitive selection.

CHAPTER 4. CITIZENS ENGAGEMENT

4.1. Objective and scope of Citizens Engagement

The objective of Citizens Engagement (CE) is to ensure that the program clients are receiving their entitlement promptly, in full, and with dignity and that citizens' participation in planning and providing feedback on project activities facilitated to allow informed feedback and development of appropriate solutions. The implementation of CE aims at creating an environment that facilitates effective delivery of program benefits through promotion of transparency and accountability, getting very poor community members to be part of the program through effective targeting, citizens' participation, and a system for registration and resolution of complaints and appeals (grievances).

CE includes the following interrelated interventions, namely

- Targeting;
- Grievance Redress Mechanism (GRM);
- Awareness creation;
- Social Accountability (SA); and
- Financial Transparency and Accountability (FTA).

Targeting of PW and PDS beneficiaries described in a separate chapter, as it is an important phase of the program operational cycle involving many stakeholders. A description of the other areas given in this chapter, together with reference to separate guidelines when they exist.

4.2. Grievance Redress Mechanism

The UPSNP has a Grievance Redress Mechanism (GRM) for citizens to report concerns or complaints if they feel unfairly treated or affected by any of the subprograms. This means beneficiaries or members of the community have the right to provide feedback or make a complaint about selection of eligible program participants and other related unsatisfied project activities in all project components (public work including refugees, youth employment Direct support and urban destitute). In order to manage and resolve grievances about beneficiaries' selection or any other implementation procedures, woreda/kebele GRM committees are at Woredas/kebeles level and appeal committee at City/Sub City level established.

The UPSNP has a GRM manual, which constitutes an annex to this PIM.

The woreda/kebele Council is responsible for overseeing the functionality of the GRM committees at Woreda/Kebele level. Citizens can register complaints about the management of PW, timeliness and completeness of transfers, resettlement, and selection of site areas to work, GBV and any other perceived abuses of the UPSNP. The grievance committee at the various levels will address such complaints, including logging, tracking, and resolving grievances promptly.

As part of awareness creation, the existence of GRM procedures for citizens will be adequately communicated. Where there are no existing GRM committees, complaints, and appeals committees will be established at the woreda/ kebele and city levels, with a mandate to receive and register complaints, convene meetings to resolve the complaints, and respond to the appeals resulting from committees' decisions. The effectiveness of resolution of complaints and appeals will be monitored during implementation. Information on the complaints and appeals will be collected at the, woreda/kebele and city levels, and if there are referrals to the Project Coordination Unit level, woreda

is the lowest administrative unit within Addis Ababa and kebele is the lowest administrative unit in other cities.

Implementation Units will be required to report information on the cases' management as well. Information requirements will include registered cases, cases resolved in a timely manner, and cases referred to the next level of the complaints and appeals structure.

Formation of GRM Committee

The GRM committees will be established at Woreda/Kebele and City/sub city level in all urban areas where projects are implemented. If a new woreda/kebele enters the project, a new Woreda/Kebele GRM Committee shall be formed as soon as possible. The city/town Council is responsible for establishing the committee, details on the formation of appeal committee members including the number at City, Woreda/Kebele level is found under GRM manual. The Woreda / Kebele GRM committee comprises of the following members:

- Woreda/Kebele (Woreda Job creation & Food security)
- Social worker/WoLSA
- Elder representatives
- Health extension worker
- Women representative
- Religious institution representative
- Representative from disability association

The result of GA and GBV risk assessment for the new project preparation which is conducted by the client (Gender Analysis and GBV Risk Assessment Report 2019,) as part of the project preparation displays, that UPSNP doesn't have procedures for implementers that help to address cases of GBV and make appropriate referrals to GBV survivors & guiding manual that helps them in dealing and resolving complaints and issues related to GBV. And existing GRM guideline and committee members are not well trained in a way that helps them to solve GBV cases in particular. So that in order to fill this gap, a new GRM operational guideline which provides guidance on how to address GBV cases is prepared and there will be different levels of GRM committees. These are City/Sub city and Woreda/Kebele level but not Ketena level. So that individuals can provide complaints to the lowest Woreda/Kebele level and if it can't be solved and serious or they aren't satisfied by the decision they can proceed and appeal to the next level of GRM. In all levels of GRM there will be two (2) focal persons one for GBV cases and the second will be for other complaints (from B/WoLSA and JC & FS offices). In the absence of job creation and food security at Woreda/Kebele level Woreda/Kebele administration representative (Woreda/Kebele speaker) will be assign as a focal person.

The costs associated with establishing and running the Woreda/Kebele GRM Committee is financed from independent budget allocation for the committee. This budget will also help to facilitate committee office, financial, technical, and training support.

Lodging a Complaint

When beneficiaries and communities may make a complaint about any aspect of program implementation, they shall submit their complaint to the Woreda/Kebele GRM Committee.

The Woreda/Kebele Council, community development committee and Woreda/Kebele GRM Committee members will use every opportunity to inform program beneficiaries and non-beneficiaries

of the availability of the GRM/appeals mechanism, how it functions, and the timing of Woreda/Kebele GRM Committee meetings.

At each level there shall be grievance handling committee and follow hierarchys from the community to City/Sub City level. If the petitioner is not satisfied with the response given at a given level then the complaint can be lodged to the next level.

Any compliant concerns the targeting or others regarding the program shall go starting through the lowest level (Woreda/Kebele level) and if not satisfied will go to the next level.

Complaint resolving process

- Woreda/Kebele GRM committee receive complaints, investigate and provide decision (a person can provide complaint either in written form or orally).
- The committee will document the person's detailed information who appeal and the core of the complaint
- The committee will give appointment in written form
- Complaints will be addressed within 5 (five) days starting from the day of application (the decision will be based on facts or investigation, and if it can't be solved by Woreda/Kebele level, or not satisfied by the decision the person can go to the next level or can appeal to sub city/city level).
- The final decision by city/subcity will be sent to Woreda job creation and food security
- And also final decision made will be given for the person who complain in written form

Receiving complaints

In UPSNJP, complaints can be received in three ways:

Complaint Boxes

The project will make complaint box available at Woreda/Kebele and city/sub city level for beneficiary & communities. For the Destitute Component, the project will make complaint box available inside the service providers compound. The project will ensure that the complaint box is accessible to everyone and ensure that locations will be selected in consultation with the beneficiaries.

Telephone Hotline for GBV Complaints

UPSNJP will have new way of complaint receiving way which is hotline (toll-free number). This will be access and announce the toll number at the beginning of UPSNJP.

SMS complaints line

A final channel through which youth, firms, and other stakeholders under the Youth Employment component can submit their grievances will be a dedicated complaints SMS line. As most youth are expected to have access to a phone, this will serve as an anonymous and convenient channel through which they can submit their grievances. In addition, it will allow firms and others to submit their complaints as well. Similar to the other channels, sufficient efforts will need to be made under the project to raise awareness on the availability of this grievance channel.

At the same time individuals can submit their complaints in person through written form or orally. All complaints/appeals shall be recorded by the chairperson.

Managing and Resolving Complaints

The Woreda/Kebele GRM committee meets monthly. All individual complaints and appeals regarding program matters will be heard, considered, and as much as possible resolved. The Woreda/Kebele appeals committee is expected to resolve grievances within one to five days of the complaint being heard. Therefore, within two months of the new annual listing of program participants being produced, the Woreda/Kebele GRM committee will have provided a listing of the grievances and the associated resolutions to the city/town Council.

The Woreda/Kebele GRM committee will submit a complete listing of grievance cases, grievance resolutions and unresolved grievances to the City/town Council and city/town relevant job creation and food security office quarterly. The list of grievances heard and their outcome except GBV related is posted regularly in public locations in both the city/town and Woreda/Kebele centres.

There is a need for more effective reporting system for complaints at the woreda/ kebele, city and regional levels. This reporting system need not be burdensome, but a light touch record keeping system shall be in place through which local officials can track the number and character of appeals, and the outcome and the reason for the decision taken.

The details regarding the organisation of labour, labour rules, attendance, discipline, verification process, and appeal procedures will be described in each distinct operations manuals taking into account typical features of each project.

Note that there shall be no overlap between targeting and GRM committees. That is, an individual who is a member of the targeting committee cannot be a member of the GRM committee in the interest of independence of committees.

If beneficiaries or members of the community are concerned about selection of the eligible participants, they shall approach the woreda/Kebele GRM committees in the first instance. In most cases the woreda/ kebele GRM committees is responsible to resolve complains and alleviate the beneficiaries concerns. The woreda/Kebele GRM committee submits a complete listing of grievance cases, grievance solutions, and unresolved grievances to the woreda/Kebele Council. The Council shall verify the solutions by discussing any unresolved complaints with the woreda/Kebele GRM committees. At each level of administration, GRM committee shall be established which follows the hierarchy from the woreda/kebele to the sub-city or city level. If the complainant is not satisfied with the response given at a certain level, then the complaint can be lodged to the next level.

4.3. Awareness creation

The UPSNJP is designed to address the chronic social needs and problems of the urban poor individuals and households. Cognizant with its objective, the program aims to address such issues with effectiveness as a major principle. By doing so, it is expected the program will contribute to change the multifaceted behaviors of its target beneficiaries that is ranging from absolute poverty to self-sufficiency, from poor working culture to better understanding of the value of work through Behavioral Change Communication using Education Entertainment (BCCEE) during payday sessions, awareness creation programs, workshop, training, program review and evaluation, field visits, and other public gatherings. Moreover, the planned relative behavioral changes of beneficiaries can be also achieved by designing mechanisms such as unveiling the fruits of the programs, experience sharing among the beneficiaries, incentives schemes, establishing efficient communication means are among the few.

Methods to publicize UPSNJP broader context:

The stakeholder engagement plan (SEP) for USNJP has been prepared to ensure that direct and indirect stakeholders at all levels are informed and meaningfully consulted about the project design, its components, and intended target beneficiaries, risks and mitigation measures. SEP is also about addressing and responding to grievances and regular reporting to stakeholders. Stakeholder engagement is necessary to ensure inclusive, effective and meaningful consultation and engagement throughout the project phases.

Stakeholder engagement at the design stage includes formal and informal consultation, information gathering and disclosure about the project design, proposed activities and components and receiving initial feedback. Stakeholder engagement at project implementation includes consultation with, target population, periodic project review meetings, quarterly community interface meetings, and regular project monitoring and supervision and complaint and grievance handling and resolution methods and procedures. The platforms are viewed to provide avenues for exchange of information between project implementers and stakeholders regarding the progress of the project and feedback on implementation issues, and to address issues related to management of environmental and social risks including the grievance redress mechanism. Stakeholder consultation on project closure and post closure concerns are also considered at the end of project to inform project achievements, share lessons learnt and make recommendations for possible future engagements.

Various communication tools will be strengthened to publicize the existence of UPSNJP. Indeed, television is a prestigious, powerful, and empowering tool that can raise awareness, generate discussion, and increase knowledge. So that the first is using TV spot (a very short brief attractive advertisement) alert not only beneficiaries or stakeholders but all community members of the state and develop a sense of ownership of the project, radio remains the most powerful, and yet the cheapest, mass medium for reaching large numbers of people in isolated areas; second is using city FM (City JC & FS offices in collaboration with FUJC & FSA/PCU, will work to get air time for weekly program about the project), this weekly program can reach to wider audiences. The program will promote the project implementation and accept questions & confusions which arise from implementation and answer (questioning and answer program online). All helps to promote accountability & transparency on the implementation of the project through developing overall awareness about the project.

Given that in urban areas the literacy level is likely higher, preparing posters to put on public walls of cities, and prepare brochures/flyers in reaching wider readers will be used.

In addition, that of broader context, Citizen Engagement Directorate has big responsibilities to work on awareness creation and use every opportunity to publicize the project, it collaboratively works with other stakeholders and project components. There should be a well-planned activity to address awareness creation. In detail the project will design a plan to prepare awareness creation program from Federal, city/sub city, Woreda/Kebele and community level.

Low-cost audio and visual media, such as video, slide sets, filmstrips, audiocassettes and flipcharts, are valuable tools to create awareness for UPSNJP. Further, the project will ensure that the communications are in accessible format to people with disability.

Moreover, communication plays paramount role to exchange key program information to all party involved in UPSNJP through formal and informal channels. A well-planned and well-executed communication approach (mass media, posters, flyers) can help identify obstacles and opportunities for UPSNJP success, promote an enabling environment to broaden UPSNJP understanding, and reveal new ideas. For better understanding and commitment of sub-programs and projects, carefully planned communication ways are essential.

All stages of program implementation will function better if communities and clients have a good understanding of the program's objectives and activities.

4.4. Accountability

Social accountability for the UPSNJP will be linked to the broader Government of Ethiopia Social Accountability Program (ESAP). This will help to avoid duplication but also ensure that social accountability is streamlined as part of an integrated city-level process. It has been done in current UPSN Project.

To facilitate a structured mechanism for citizens' participation in planning, evaluation, and feedback provision, citizens' report cards or community score cards will be implemented in participating cities at the start of the program on a randomly sampled group of beneficiaries, at midterm, and at the end of the program. The applications of these report/score cards will help create awareness among the citizenry on their rights, roles, and responsibilities to participate in every aspects of citizens. It will also promote monitoring of beneficiary and broader citizenry perceptions about the program and management of emerging issues as part of implementation improvements. Implementation of the report/score cards will go hand in hand with empowering citizens to monitor program implementation. The creation of awareness about the program will ensure appropriate and informed citizen participation.

The most commonly used Social Accountability Tools (and most relevant for the UPSNJP) are the following:

Community Score Cards

Since the Community Score Card (CSC) process is a powerful tool to monitor services, empower citizens, and improve the accountability of service providers, It allow both UPSNJP clients and service providers to rate the quality of the services they receive or provide, once the rating has been done, a meeting is set up which compares the views of those receiving the service and those providing them and allows them to discuss and agree a plan on how things can be improved in the future. The purpose of a Community Score Card process under UPSNJP is to improve the quality, efficiency, and accountability of services at community level.

CSC implementation process needs same types of people in all implementation, this means there will be fixed participants for all process in different times (these participants will be same all the time, during every next CSC process they will be the one who will participate & rate the progress) of the program to rate the service of the project, they will need an awareness creation for the first time and next samples from project implementers, beneficiaries and stakeholders will be drawn for different FGD and score the indicators of service delivery. Based on results of FGD, they come up together (interface meeting) and discuss on the gaps which should be improved including strengths of the project. Based on agreement with stakeholders, beneficiaries and project implementers' joint action plan will be made to improve the gaps for next CSC.

Cities project implementers should follow up the implementation of agreed actions (JAP) on time and work collaboratively with FUJC & FSA/PCU to improve the gaps.

The external firm who conduct CSC should compile a report on the Score Card process including a joint action plan and submit to FUJC & FSA and the Bank on time, accept comments & back to FUJC & FSA and WB.

FUJC & FSA/PCU will monitor the implementation of the action plan to improve the gaps which are identified or take steps to institutionalize the process.

Community score card has been implemented under UPSNP and continue for the new project UPSNJP. The program **will be held every six months** by external firm who has well experience based on international standard of SA tools, the time interval of implementation may change based on discussion & mutual agreement with agency & external consultant.

Citizens' Report Cards (CRC)

The UPSNJP will also use CRC in addition to CSC when there is a need of quantified data to assess the quality of service delivers to the project beneficiaries, i.e. survey will be done by sample size stake holders, beneficiaries and city project implementers by external firm, the opinion of those using a particular service on how well that service is being provided in a particular city. As with the CSC, the point is not just to highlight what is wrong but to agree how to fix any problems. This emphasis on solving problems, rather than just complaining, makes the discussions about what is wrong something everyone wants to hear.

The Social Accountability process follows 5 steps described below and illustrated in Figure 3.

Step 1: Access to information. The Social Accountability process starts with access to information about service standards, plan targets, and budgets. CSCs make sure that citizens have the confidence and build the relationships that help them to ask for such information.

Under UPSNJP, the firm will start by creating awareness for proposed participants including project implementers about the whole project perspectives. The training must helpful to build confidence for participants to fully participate in SA process. After that, start to conduct CSC.

Step 2: Assessment with SA tools. CSCs enable the use of Social Accountability tools, so that service users can assess the service situation from various perspectives.

Based on UPSNP experience and due to CSC provide immediate feedback through Interface Meeting (between community & local government project implementers) for the project, facilitates immediate local actions on implementation issues and qualitatively richer data which can captures details of local context better, the firm will more work on CSC and for fewer quantified data will use CRC.

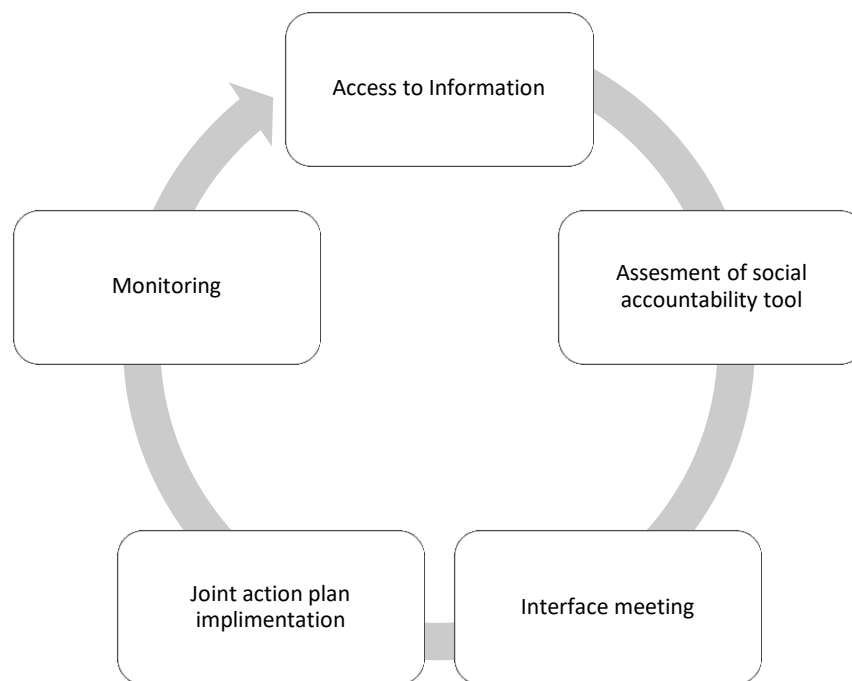
Step 3: Interface meeting. When the assessment is complete, interface meetings are organized by CSCs to facilitate dialogue with providers about the service issues, and to identify and agree among all stakeholders on local solutions.

Step 4: Joint Action Plan Implementation. A Joint Action Plan is implemented as agreed between citizens, service providers, and city officials during the woreda/ kebele or city level interface meetings. The report including JAP will be present to the agency and the Bank.

Step 5: Monitoring service improvements. When Improvements are monitored and required, the Social Accountability process starts again.

FUJC & FSA/PCU will conduct supervision on the implementation of JAP (Joint Action Plan) for cities before the next round of CSC implementation (together with cities identify which are accomplished and which are not, and support cities to accomplish all activities which are under JAP).

Figure 2. Social Accountability Process



4.5. Financial Transparency and Accountability

These activities will focus on promoting transparency and accountability on budgetary planning and implementation. The main activities will include budget literacy training among implementers at all levels and citizens' representatives. Basic tools for communicating budgets will be developed and disseminated at all levels. Feedback mechanisms will involve communication of the budget execution performance and variances as well as explanations as part of reporting by the implementers at local government levels. Feedback will be targeted to the citizenry in general and beneficiaries in particular as well as the implementers and service providers.

The purpose of the Financial Transparency and Accountability (FTA) will be to assure citizens, program clients in particular, access to program financial information. The FTA will, in particular, help deepen provision of information on budgets, expenditures, and service delivery information. The implementation of the FTA will be linked to the SA and GRM aspects and an integrated planning for the CE work will be ensured. Its implementation will thus be done at the city/sub city and woreda/kebele, levels.

The FTA will also support generation of quality information that will be easy for public and local citizens to consume. Given that the FTA under the PBS is currently being implemented in all the cities and woredas in Ethiopia, linkages with current implementers, namely the BoF will be ensured so there is no duplication of efforts at the implementation level.

An important aspect of the FTA will be implementation of the Budget Literacy Training among all the implementers and the beneficiary representatives. Customized Budget Literacy Training programs for the UPSNJP will be planned and relevant manuals and guidelines produced. Innovative tools like billboards, calendars, and T-shirts that have been found to be effective under the PBS-CE will be used to disseminate information about the program budgets, expenditures, and service delivery at all levels.

CHAPTER 5. MONITORING AND EVALUATION

5.1. Results Framework and Monitoring

The following subsections present the key project indicators, as well as frequency and responsibility for collecting the data to calculate these indicators. The PCU is responsible for the overall monitoring of the Project.

The processes by which the data is collected and reported are described in the monitoring section of the relevant chapters of each of the subcomponents.

Table 5. Project Development Indicators

Indicator Name	PBC	Baseline	End Target
Increase in income of urban safety net beneficiaries			
Increase in household consumption of Public Works and PDS households as a result of the project (Percentage) (Percentage)		0.00	40.00
Wage employment for youth			
Share of participating youth who are wage-employed three months after completion of the apprenticeship (Percentage)		0.00	60.00
Reintegration of homeless			
Homeless integrated socially, economically or through education (Percentage)		0.00	40.00

Table 6. Intermediate Results Indicators by Components

Indicator Name	PBC	Baseline	End Target
Expand the urban productive safety net to improve the urban environment			
Beneficiaries of social safety net programs (CRI, Number)		0.00	473,000.00
Beneficiaries of social safety net programs - Female (CRI, Number)		0.00	236,500.00
Public Works beneficiaries in the bottom two quintiles (Percentage)		0.00	70.00
WHR Public Works beneficiaries (WHR enrolled) (Number)		0.00	81,000.00
Refugee Public Works beneficiaries (Number)		0.00	34,020.00
Host community Public Works beneficiaries (Number)		0.00	46,980.00

Indicator Name	PBC	Baseline	End Target
Livelihood services beneficiaries who secured a new job or set up/expanded a business and are still in the new job/operating the business 6 months after receiving the grant (Percentage)		0.00	35.00
Payments delivered to safety net beneficiaries within 7 days of the end of each month (Percentage)		0.00	90.00
Public works subprojects with maintenance plan (Percentage)		0.00	100.00
PW beneficiaries satisfied with program services (Percentage)		0.00	80.00
Foster Urban Youth Employment			
Beneficiaries of job-focused interventions (CRI, Number)		0.00	70,000.00
Beneficiaries of job-focused interventions - Female (CRI, Number)		0.00	35,000.00
Beneficiaries of Job Centres (Number)		0.00	18,000.00
Proportion of female Beneficiaries of Job Centres (Percentage)		0.00	50.00
Youth placed in apprenticeship who complete the 6-month apprenticeship program (Percentage)		0.00	70.00
Proportion of women among those who complete the 6-month apprenticeship program (Percentage)		0.00	50.00
Strengthen social assistance and services for the urban poor and destitute			
Urban destitute/homeless receiving services for their reintegration (Number)		0.00	22,000.00
Permanent Direct Support (PDS) beneficiaries (Number)		0.00	152,000.00
Proportion of women among Permanent Direct Support program beneficiaries (Percentage)		0.00	50.00
PDS beneficiaries enrolled in free community-based health insurance (Percentage)		0.00	50.00
Institutional strengthening, Project Management and M&E			
Cities providing regular quarterly progress reports (Percentage)		0.00	100.00
Establishment of a functioning MIS at the federal and city levels (Yes/No)		No	Yes
PW and PDS beneficiaries included in the beneficiary registry with full PMT data (Percentage)		0.00	100.00

Indicator Name	PBC	Baseline	End Target
Complaints to GRM committees satisfactorily addressed within three months of initial complaint being recorded (Percentage)		0.00	90.00
Availability of Report on Occupational Health and Safety (OHS) measures (Yes/No)		No	Yes

Table 7. Monitoring and Evaluation Plan: PDO Indicators

Monitoring & Evaluation Plan: PDO Indicators					
Indicator Name	Definition/Description	Frequency	Data source	Methodology for Data Collection	Responsibility for Data Collection
Increase in household consumption of Public Works and PDS households as a result of the project (Percentage)	% increase in consumption/income among Public Works and PDS beneficiary households as a result of the project, disaggregated by gender, and refugee/host community status	Every 2 years	Impact evaluation	Impact evaluation	MoUDC/ JOBFSa
Share of participating youth who are wage-employed three months after completion of the apprenticeship	Proportion of youths that are wage-employed (either in the apprentice-hosting firm or other firms) 3 months following the end of the six-month apprenticeship.	Annual	Regular monitoring	Regular monitoring	MoUDC/ JOBFSa
Homeless integrated socially, economically or through education	Proportion of homeless that have found a home or livelihood or participate in training/school 3 months after exiting the services	Annual	Regular monitoring by SPs	Regular monitoring by SPs	MoLSA

Table 8. Monitoring and Evaluation Plan: Intermediate Indicators

Monitoring & Evaluation Plan: Intermediate Results Indicators					
Indicator Name	Definition/Descri	Frequen	Data	Methodolo	Responsibil

	ption	cy	source	gy for Data Collection	ity for Data Collection
Beneficiaries of social safety net programs		Quarterly	Regular monitoring/UPASS (later MIS)	Regular monitoring/UPASS (later MIS)	MoUDC/JOBFSA
Beneficiaries of social safety net programs - Female		Quarterly	Regular monitoring/UPASS (later MIS)	Regular monitoring/UPASS (later MIS)	MoUDC/JOBFSA
Public Works beneficiaries in the bottom two quintiles	The proportion of Public Works beneficiaries with consumption per adult in the bottom 40 percent of the distribution.	Every 2 years	Impact evaluation	Impact evaluation	MoUDC/JOBFSA
WHR Public Works beneficiaries (WHR enrolled)	Measures the number of host community and refugee beneficiaries enrolled under the WHR window (disaggregated by gender)	Quarterly	Regular monitoring/UPASS (later MIS)	Regular monitoring/UPASS (later MIS)	MoUDC/JOBFSA
Refugee Public Works beneficiaries	Measures the number of host community beneficiaries WHR enrolled (disaggregated by gender)	Quarterly	Regular monitoring/UPASS (later MIS)	Regular monitoring/UPASS (later MIS)	MoUDC/JOBFSA
Host community Public Works beneficiaries	Measures the number of host community beneficiaries WHR enrolled	Quarterly	Regular monitoring/UPASS (later	Regular monitoring/UPASS (later MIS)	MoUDC/JOBFSA

	(disaggregated by gender)		MIS)		
Livelihood services beneficiaries who secured a new job or set up/expanded a business and are still in the new job/operating the business 6 months after receiving the grant	Proportion of beneficiaries who either (a) established or expanded a business with a livelihood grant and is still operational 6 months after receiving livelihood grant; or (b) were able to secure a new job and are still in it 12 months after receiving livelihood grant.	After year 4 and 5 of the program	Impact evaluation	Impact evaluation	MoUDC/ JOBFSa
Payments delivered to safety net beneficiaries within 7 days of the end of each month	Measure the timeliness with which the payments system is working. Payments are expected to occur once every month.	Monthly	Regular monitoring/UPASS (later MIS)	Regular monitoring /UPASS (later MIS)	MoUDC/ JOBFSa
Public works subprojects with maintenance plan	This measures the proportion of projects undertaken in the PW that have a clear maintenance and sustainability plan at the local level (if the project requires it)	Annual	Regular monitoring/MIS	Regular monitoring /MIS	MoUDC/ JOBFSa
PW beneficiaries satisfied with program services	Measures the social accountability of the Productive	Every 2 years	Process evaluation	Process evaluation	MoUDC/ JOBFSa and MoLSA

	Safety Net Program				
Beneficiaries of job-focused interventions		Every 3 months based on AP cycle	Regular monitoring/UPASS (later MIS)	Regular monitoring/UPASS (later MIS)	MoUDC/JOBFSA/PCU/ULG
Beneficiaries of job-focused interventions - Female		Every 3 months based on AP cycle	Regular monitoring/UPASS (later MIS)	Regular Monitoring/UPASS (later MIS)	MoUDC/JOBFSA/PCU/ULG
Beneficiaries of Job Centres	Number of beneficiaries during inception phase of Job Centres	Quarterly	Regular monitoring/MIS	Regular monitoring/MIS	JCC
Proportion of female Beneficiaries of Job Centres	Proportion of beneficiaries during inception phase of Job Centres who are women	Quarterly	Regular monitoring/MIS	Regular monitoring/MIS	JCC
Youth placed in apprenticeship who complete the 6-month apprenticeship program	Share of youths who signed a contract for a six-month apprenticeship that also complete the apprenticeship	Every 3 months based on AP cycle	Regular monitoring/UPASS (later MIS)	Regular monitoring/UPASS (later MIS)	MoUDC/JOBFSA
Proportion of women among those who complete the 6-month apprenticeship program	Share of women among youths who signed a contract for a six-month apprenticeship that also complete the apprenticeship	Every 3 months based on AP cycle	Regular monitoring/UPASS (later MIS)	Regular monitoring/UPASS (later MIS)	MoUDC/JOBFSA
Urban destitute/homeless	Number of	Quarterly	Regular	Regular	MoUDC/JOBFSA

receiving services for their reintegration	beneficiaries under the Permanent Direct Support program	y	Monitoring/UPASS (later MIS)	Monitoring/UPASS (later MIS)	BFSA/MoLSA
Permanent Direct Support (PDS) beneficiaries	Number of beneficiaries under the Permanent Direct Support program	Quarterly	Regular monitoring/UPASS (later MIS)	Regular monitoring/UPASS (later MIS)	MoUDC/JOBFSA/MoLSA
Proportion of women among Permanent Direct Support program beneficiaries	Proportion of women beneficiaries under the Permanent Direct Support program	Quarterly	Regular monitoring/UPASS (later MIS)	Regular monitoring/UPASS (later MIS)	MoUDC/JOBFSA/MoLSA
PDS beneficiaries enrolled in free community-based health insurance	Percentage of PDS beneficiaries who are linked to free social services	Quarterly	Regular monitoring	Regular monitoring	MoLSA
Cities providing regular quarterly progress reports	Check whether each quarterly progress report includes number of beneficiaries for each component in each city	Quarterly	Progress reports	Progress reports	MoUDC/JOBFSA/PCU
Establishment of a functioning MIS at the federal and city levels	Check whether MIS reports are available every quarter	Quarterly	Observation	Observation	MoUDC/JOBFSA
PW and PDS beneficiaries included in the beneficiary registry with full PMT data	Data collected and PMT score available for all beneficiaries	Quarterly	PMT data collection system/ (later MIS)	PMT data collection system/ (later MIS)	MoUDC/JOBFSA
Complaints to GRM committees satisfactorily	This will give an indication on the	Every 2 years	Process evaluation	Process evaluation	MoUDC/JOBFSA

addressed within three months of initial complaint being recorded	extent to which the GRM mechanism is effective. It considers whether a complaint that has been received by the GRM Committee is resolved within three months of the initial complaint being recorded		n		
Availability of Report on Occupational Health and Safety (OHS) measures	Measure whether reports on Occupational Health and Safety (OHS) measures, including a plan of action of how issues are addressed in each progress report	Quarterly	Project Progress Reports	Project Progress Reports	MoUDC/ JOBFSa

5.2. General UPSNJP monitoring approaches

The monitoring framework of UPSNJP involves two types: performance monitoring and compliance monitoring. Performance monitoring will be used to improve program management and identify any problems in implementation. Compliance monitoring will be used to ensure that program implementation follows prescribed rules and procedures.

Therefore, the monitoring activity will involve:

- Tracking and monitoring key performance indicators related to inputs and outputs.
- Biannual performance reviews and quarterly performance reports to JOBFSa management and the World Bank.
- Identification of challenges, timely informing decision makers, and taking timely remedial actions.
- Periodic review will be made to track the physical and financial progress as well as externalities of the program that should give information for the program implementers, beneficiaries, community, stakeholders, and collaborators. This should help the program implementers to learn from experience and suggest positive inputs for further strengthening the program implementation.

- Monitoring of program activities, which is particularly important for the disbursement of transfers and the completion of public works, and tracking of client participation, which is particularly important for the livelihoods component and links to social services (although these aspects also have regular monitoring of program activities). Tracking of client participation entails technical monitoring of the full suite of services from a household perspective.
- The regular monitoring system, which includes kebele and woreda monthly and quarterly monitoring reports, regional and federal quarterly reports, and interim financial reports, is aligned with the institutional implementation responsibility for the UPSNJP.

A reporting system will be established to provide information about success, challenges, and mechanisms of addressing the critical issue of the program that emanate from operations at federal, regional city administration, and partner levels. Monitoring reports include:

- Quarterly progress reports, both physical and financial reports (consolidation of woreda/kebele, city/and regional level reports), including progress on the results framework.
- Coordinate and consolidate safeguard quarterly audit reports; ESMF and RPF, and EMP implementation reports.
- Annual procurement audit reports.
- Consolidation annuals plans and budgets prepared by region.

Within the structure, M&E staff at federal, regional, and city levels in each of the responsible agencies provides technical backstopping to lower-level staff along with regular feedback on the quality of reports.

Reporting follows the government fiscal year, which begins on July 8 (Hamle 1) and ends on July 7 (Sene 30). Annual plans for the following fiscal year UPSNJP will be completed and shared with the World Bank by July 7 (Sene 30) of each year and used as the basis for quarterly achievement reports of the following fiscal year. The following table presents the dates for submission of quarterly reports at different administrative levels. Progress reports for each quarter will be shared with the World Bank within 8 weeks of completion of the quarter.

Cities within the regions of Oromia, Amhara, SNNP, Somali, Tigray will report the status of their indicators to the regional hubs and/or their respective regions. Regional hubs in these regions will report to the federal level. Cities in other regions will report directly to the federal level and their respective regions. Besides of their respective regions cities reporting structure to federal; regions of Afar, Beninshangul Gumuz, Gambella, Harari, Sidama will report to the federal level. Addis Ababa and Dire Dawa cities will report the status of their indicators and periodic reports to the federal level.

Table 9. Dates of submission of quarterly reports

Quarter	Period Covered	Woreda/kebele reports submitted to cities	City/Regional reports submitted to federal level	Federal reports submitted to World Bank
Q1	Jul 8 – Oct 10 (Hamle 1 – Meskerem 30)	Oct 31 (Tikimt 21)	Nov 21 (Hidar 12)	Dec 5 (Hidar 26)
Q2	Oct 11 – Jan 8 (Tikimt 1 – Tahisas 30)	Jan 30 (Tir 21)	Feb 20 (Yekatit 12)	March 5 (Yekatit 26)
Q3	Jan 9 – Apr 8	Apr 30	May 21	June 4

	(Tir 1 – Megabit 30)	(Miazia 22)	(Miazia 15)	(Ginbot 27)
Q4	Apr 9 – July 7 Miazia 1– Sene 30)	July 29 (Hamle 22)	August 19 (Nehase 13)	Sept 2 (Nehase 27)

All monitoring reports include, as a minimum, the following four categories of information:

- Physical measures of outputs provided;
- Monetary measures of expenditures on inputs;
- Progress on the results framework, including the number of clients reached by program, broken down into category of household and/or individual client for each subcomponent. Households will be categorized into male-headed and female-headed, and individual clients will be disaggregated by gender; and
- Problems encountered and a concrete plan on corrective measures taken, including a timeline and responsibilities.

5.3. Monitoring Indicators at Project Level

The following indicators measure progress at project level. The following tables detail how, from which source, at which periodicity and who is responsible for data collection, aggregation, and calculation of the indicators.

Indicator 1	
Name of Indicator	Beneficiaries of social safety net programs
Definition/description	Number of beneficiaries of social safety net programs (PW, PDS, RHISN)
Measuring unit	The unit is <i>number</i> of households that are beneficiaries of PW, PDS, and RHISN
Data used to calculate this indicator and source of data	Total number of PW, PDS and RHISN households registered in the UPASS.
How this indicator is calculated	The number of beneficiary households of PW, PDS and RHISN in each woreda based on the UPASS is aggregated at the city level, and then further aggregated at federal level.
Periodicity	Data on number of households needs to be collected within the last two weeks of the last month of each quarter, and then communicated by cities to federal level at the end of each quarter
Responsible to collect and aggregate data	1. Woreda to send number of beneficiary households based on UPASS records to city
	2. City to aggregate all woredas in the city and share with regional/federal level
	3. Regional hubs (Oromia, Amhara, SNNP) to aggregate city level data to share with federal level

	4. PCU at Federal level to aggregate all cities currently participating in the UPSNJP
Indicator 2	
Name of Indicator	Beneficiaries of social safety net programs - females
Definition/description	Number of female beneficiaries of social safety net programs (PW, PDS, RHISN)
Measuring unit	The unit is <i>number</i> of households with a female beneficiary that participates in PW, PDS, and RHISN
Data used to calculate this indicator and source of data	Total number of PW, PDS and RHISN households registered in the UPASS with a female recipient.
How this indicator is calculated	The number of households with female participants in PW, PDS and RHISN in each woreda is aggregated at the city level, and then further aggregated at federal level
Periodicity	Data on number of female household recipients needs to be collected within the last two weeks of the last month of each quarter, and then communicated by cities to federal level at the end of each quarter
Responsible to collect and aggregate data	1. Woreda to send number of households with female participant based on UPASS to city level
	2. City to aggregate all woredas in the city and share with regional/federal level
	3. Regional hubs (Oromia, Amhara, SNNP) to aggregate city level data to share with federal level
	4. PCU at federal level to aggregate all cities currently participating in the UPSNJP
Indicator 3	
Name of Indicator	Payments delivered to safety net beneficiaries within 7 days of the end of each month
Definition/description	Measure the timeliness of payments and the efficacy of the payment system. Payments are expected to occur once every month at the beginning of the month.
Measuring unit	The unit is the <i>number of days</i> it takes to deliver payments to safety net beneficiaries
Data used to calculate this indicator and source of data	Timeliness/recorded days of payments delivered to safety net beneficiaries of Bank Statements/payroll

How this indicator is calculated	Average number of days that payments delivered to safety net beneficiaries for each month. The three months in every quarter are aggregated to the quarter by taking a simple average of the three months.
Periodicity	Timeliness/recorded days of payments delivered to safety net beneficiaries needs to be collected every month, at the end of the month for the same month, and then aggregated by cities to federal level at the end of each quarter for the three months of the quarter.
Responsible to collect and aggregate data	1. City to aggregate all timeliness/recorded days by month for the quarter and share with regional/federal level
	2. Regional hubs (Oromia, Amhara, SNNP) to aggregate city level data to share with federal level
	3. PCU at Federal level to aggregate all cities currently participating in the program
Indicator 4	
Name of Indicator	Cities providing regular quarterly progress reports
Definition/description	Check whether each quarterly progress report includes number of beneficiaries for each component in each city
Measuring unit	The unit is <i>number</i> of quality and timely reports following the necessary indicators
Data used to calculate this indicator and source of data	Total number of reports submitted with standard quality and timely delivery by cities to regional hubs, MoLSA, JCC, and JOBFA PCU
How this indicator is calculated	Reports submitted with the necessary quality and period by each city to regional hub, MoLSA, JCC, and JOBFA is summarized at Federal level by PCU
Periodicity	Reports with the necessary quality and timeliness by each city to regional hub, MoLSA, JCC, and JOBFA to PCU needs to be collected within 4 weeks of the end of the quarter
Responsible to collect and aggregate data	1. Cities to aggregate woreda level data
	2. Regional hubs to aggregate all city data
	3. Regional hubs (Oromia, Amhara, SNNP) to aggregate city level data to share with federal level
	4. PCU at Federal level to aggregate information for all participating cities

Indicator 5	
Name of Indicator	Establishment of a functioning MIS at the federal and city levels
Definition/description	Check whether MIS reports available every quarter

Measuring unit	The unit is number of quality and timely MIS reports following the necessary indicators
Data used to calculate this indicator and source of data	Total number of MIS reports submitted with standard quality and timely delivery at the city, regional hub, and federal levels
How this indicator is calculated	MIS reports submitted with the necessary quality and period of each city and regional hub are aggregated at city, regional hub, and federal level
Periodicity	MIS reports with the necessary quality and period by each city, regional hub, and PCU needs to be collected in the first one week after the end of each quarter. This indicator will only be reported once the MIS is functioning (approximately at the end of 2022).
Responsible to collect and aggregate data	1. Cities to prepare MIS reports of city data and share with regional/federal level
	2. Regional hubs (Oromia, Amhara, SNNP) to aggregate city level data to share with federal level
	3. PCU at Federal level to aggregate information for all participating cities

Indicator 6	
Name of Indicator	PW and PDS beneficiaries included in the beneficiary registry with full PMT data
Definition/description	Data collected and PMT score available for all beneficiaries
Measuring unit	The unit is PW and PDS households in the beneficiary registry with full PMT data
Data used to calculate this indicator and source of data	Total number of PW and PDS households included in the beneficiary registry with full PMT data
How this indicator is calculated	Records of the beneficiary registry are checked to ensure the number of PW and PDS households with PMT data are consistent with the number of total PW and PDS beneficiaries
Periodicity	Data on number of PW and PDS beneficiaries included in the beneficiary registry with full PMT data needs to be collected within the last two weeks of the last month of each quarter, and then communicated by cities to regional hubs and federal level at the end of each quarter
Responsible to collect and aggregate data	1. Cities to report to regional/federal level
	2. Regional hubs (Oromia, Amhara, SNNP) to aggregate city level data to share with federal level
	3. PCU at Federal level to aggregate information for all participating cities

Indicator 7	
Name of Indicator	Availability of Report on Occupational Health and Safety (OHS) measures
Definition/description	Measure whether reports on Occupational Health and Safety (OHS) measures are available, including a plan of action on how issues are

	addressed and included in each progress report
Measuring unit	The unit is number of progress reports which include OHS measures
Data used to calculate this indicator and source of data	Count if progress report includes reporting on OHS measures
How this indicator is calculated	Progress reports submitted with the OHS measures
Periodicity	Project Progress Reports every quarter
Responsible to collect and aggregate data	1. Cities aggregate all OHS city data and share with regional/federal level
	2. Regional hubs (Oromia, Amhara, SNNP) to aggregate the city OHS data and share to JOBFSa PCU
	3. PCU at Federal level to aggregate OHS data for all participating cities

5.4. Monitoring Indicators for PW

The following indicators measure progress for the PW subprogram. The following tables detail how, from which source, at which periodicity and who is responsible for data collection, aggregation, and calculation of the indicators.

Indicator 8	
Name of Indicator	Public works subprojects with maintenance plan
Definition/description	This measures the proportion of projects undertaken in the PW that have a clear maintenance and sustainability plan at the local level (if the project requires it)
Measuring unit	The unit is public works subprojects with a clear maintenance plan
Data used to calculate this indicator and source of data	Percentage of Public Works subprojects with clear maintenance plan reported
How this indicator is calculated	The proportion of Public Works subprojects with clear maintenance plan in each woreda is aggregated at the city level, and then further aggregated at federal level coming from records at the city level.
Periodicity	Data on the Public Works subprojects with maintenance plan needs to be collected within the last two weeks of the last month of each quarter
Responsible to collect and aggregate data	1. Woreda to aggregate Public Works subprojects with maintenance plan from reports
	2. City to aggregate all woredas in the city and share with regional/federal level
	3. Regional hubs (Oromia, Amhara, SNNP) to aggregate city level data to

	share with federal level
	3. PCU at Federal level to aggregate for all participating cities

5.5. Monitoring Indicators for UDS

The following indicators measure progress for the UDS subprogram. The following tables detail how, from which source, at which periodicity and who is responsible for data collection, aggregation, and calculation of the indicators

Indicator 9	
Name of Indicator	Urban destitute/homeless receiving services for their reintegration
Definition/description	Number of beneficiaries under the Urban destitute componenet
Measuring unit	The unit is <i>number</i> of destitute/special need beneficiaries who receive services for reintegration with their families
Data used to calculate this indicator and source of data	Total number of destitute/special need beneficiaries reached by NGOs as per records of service providers
How this indicator is calculated	The number of destitute/special need beneficiaries who receive reintegration services as per service provider records
Periodicity	Data on number of destitute/special need beneficiaries needs to be collected within the last two weeks of the last month of each quarter
Responsible to collect and aggregate data	1. Cities to aggregate all city data and share with regional/federal level of MoLSA
	2. MoLSA aggregate the data and share to JOBFSa PCU
	3. PCU at Federal level to aggregate all cities and MoLSA data

5.6. Monitoring Indicators for PDS

The following indicators measure progress for the PDS subprogram. The following tables detail how, from which source, at which periodicity and who is responsible for data collection, aggregation, and calculation of the indicators.

Indicator 10	
Name of Indicator	Permanent Direct Support (PDS) beneficiaries
Definition/description	Number of PDS beneficiaries
Measuring unit	The unit is <i>number</i> of households under the Permanent Direct Support program
Data used to calculate this indicator and source of data	Total number of PDS households as registered in the UPASS

How this indicator is calculated	The number of PDS households in each woreda is aggregated at the city level, and then further aggregated at federal level
Periodicity	Data on number of PDS beneficiaries needs to be collected within last two weeks of the last month of each quarter
Responsible to collect and aggregate data	1. Woreda to send number of beneficiary households based on UPASS records to city
	2. City to aggregate all woredas in the city and share with MoLSA regional/federal level
	3. Regional hubs (Oromia, Amhara, SNNP) to aggregate city level data to share with federal level
	4. PCU at Federal level to aggregate all cities currently participating in the UPSNJP

Indicator 11	
Name of Indicator	Proportion of women among Permanent Direct Support program beneficiaries
Definition/description	Proportion of households with female beneficiaries under the PDS program
Measuring unit	The unit is <i>percentage</i> of household with female PDS beneficiaries
Data used to calculate this indicator and source of data	Total number of households with female PDS beneficiaries as registered in the UPASS
How this indicator is calculated	Total number of households with female PDS beneficiaries as registered in the UPASS as a proportion of total households with PDS beneficiaries is aggregated at the city level, and then further aggregated at federal level
Periodicity	Data on number of women PDS beneficiaries needs to be collected within two weeks of the end of the last month of each quarter, and then communicated by cities to federal level at the end of each quarter
Responsible to collect and aggregate data	1. Woreda to send number of beneficiary households based on UPASS records to city
	2. City to aggregate all woredas in the city and share with MoLSA regional/federal level
	3. Regional hubs (Oromia, Amhara, SNNP) to aggregate city level data to share with federal level
	4. PCU at Federal level to aggregate all cities currently participating in the UPSNJP
Indicator 12	
Name of Indicator	PDS beneficiaries enrolled in free community-based health insurance
Definition/description	Percentage of PDS beneficiaries who are linked to free social services
Measuring unit	The unit is <i>percentage</i> of PDS beneficiaries who are linked to free social

	services
Data used to calculate this indicator and source of data	Total number of PDS beneficiaries who are linked to free social services and registered in the UPASS.
How this indicator is calculated	Number of PDS beneficiaries who are linked to free social services in each woreda as a share of the total number of PDS beneficiaries, aggregated at the city level, and then further aggregated at federal level
Periodicity	Percentage of PDS beneficiaries who are linked to free social services in each woreda needs to be collected not before the last two weeks of the last month of each quarter, and then communicated by cities to federal level at the end of each quarter
Responsible to collect and aggregate data	1. Woreda to send number of beneficiary households based on UPASS records to city
	2. City to aggregate all woredas in the city and share with MoLSA regional/federal level
	3. Regional hubs (Oromia, Amhara, SNNP) to aggregate city level data to share with federal level
	4. PCU at Federal level to aggregate all cities currently participating in the UPSNJP

5.7. Monitoring Indicators for LD

The following indicators measure progress for the LD subprogram. The following tables detail how, from which source, at which periodicity and who is responsible for data collection, aggregation, and calculation of the indicators.

Indicator 13	
Name of Indicator	Livelihood services beneficiaries who secured a new job or set up/expanded a business and are still in the new job/operating the business 6 months after receiving the grant
Definition/description	Proportion of beneficiaries who either (a) established or expanded a business with a livelihood grant and is still operational 6 months after receiving livelihood grant; or (b) were able to secure a new job and are still in it 12 months after receiving livelihood grant.
Measuring unit	The unit is <i>percentage</i> of livelihoods beneficiaries with a sustainable livelihood
Data used to calculate this indicator and source of data	Survey data from livelihoods impact evaluation
How this indicator is calculated	This information will be available from the impact evaluation surveys.
Periodicity	Data on this indicator will be reported after year 4 and 5 of the program.

Responsible to collect and aggregate data	Service provider hired to undertake impact evaluation
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5.8. Monitoring Indicators for YE

The following indicators measure progress of the YE component, including the AP subprogram. The following tables detail how, from which source, at which periodicity and who is responsible for data collection, aggregation, and calculation of the indicators.

Indicator 14	
Name of Indicator	Apprenticeship beneficiaries who are wage-employed 3 months following the end of the apprenticeship
Measuring unit	<i>Percentage</i> of apprentices who are employed in wage employment
Data used to calculate this indicator and source of data	Share of apprentices who are employed three months after completion of the apprenticeship training (percentage)
Definition	Proportion of youths that are wage-employed (either in the apprentice-hosting firm or other firms) three months following the end of the six-month apprenticeship
How this indicator is calculated	The number of apprentices in each woreda is aggregated at the city level, and then further aggregated at federal level . Ensure that information is available by gender to allow for male and female disaggregation.
Reporting period	Data on total number of beneficiaries employed needs to be collected three months after a cohort of apprentices finishes the program.
Reporting level and disaggregation	Reported separately for each city, sub-city, and by gender three months after the apprenticeship ends
Responsible to collect and aggregate data	1. Woreda to send number of beneficiaries who are in wage employment based on xxx 2. City to aggregate all woredas in the city 3. PCU at Federal level to aggregate all 11 cities.

Indicator 15	
Name of Indicator	Total number of job-focused intervention beneficiaries
Measuring unit	The unit is the <i>number</i> of apprentices who start the first day of the apprenticeship at the firm
Data used to calculate this indicator and source of data	The number of youth who start the first day of apprenticeship, measured in the UPASS
Definition	Number of apprentices who started in the apprenticeship program.

How this indicator is calculated	The number of apprentices in each woreda is aggregated at the city level, and then further aggregated at federal level
Reporting period	Data on number of apprentices who started the program is collected after the first day of apprenticeship and the reporting period will differ based on when each city starts the cohort of apprenticeships. Information from each city and sub-city will be communicated by cities to federal level at the end of the apprenticeship cycle.
Reporting level and disaggregation	Reported separately for each city, sub-city, and by gender at the start of the apprenticeship cycle (i.e. after the first day of the apprenticeship cohort starts the apprenticeship at the firm)
Responsible to collect and aggregate data	1. Woreda to send number of beneficiaries as from UPASS 2. City to aggregate all woredas in the city 3. PCU at Federal level to aggregate all 11 cities.

Indicator 16	
Name of Indicator	Total number of female beneficiaries of job-focused intervention
Measuring unit	The unit is the <i>number</i> of female apprentices who start the first day of the apprenticeship at the firm
Data used to calculate this indicator and source of data	The number of female apprentices starting the program, measured in the UPASS
Definition	Number of women apprentices selected who started in the apprenticeship program.
How this indicator is calculated	The number of women apprentices in each woreda is aggregated at the city level, and then further aggregated at federal level
Reporting period	Data on number of female apprentices starting the program is collected on a rolling basis as a cohort of apprenticeships moves through the program, and then communicated by cities to federal level at the end of the apprenticeship cycle.
Reporting level and disaggregation	Reported separately for each city, sub-city, and by gender at the start of the apprenticeship cycle (i.e. after the first day of the apprenticeship cohort starts the apprenticeship at the firm)
Responsible to collect and aggregate data	1. Woreda to send number of beneficiaries as from UPASS 2. City to aggregate all woredas in the city 3. PCU at Federal level to aggregate all 11 cities.

Indicator 17

Name of Indicator	Youth placed in apprenticeship who complete the 6-month apprenticeship program (percentage)
Measuring unit	The unit is the <i>percentage</i> of apprentices who completed the 6 month apprenticeship at the firm
Data used to calculate this indicator and source of data	Share of apprentices who completed the apprenticeship program as measured in the UPASS
Definition	Proportion of youths that received certification of completion (completed the 6-month apprenticeship training).
How this indicator is calculated	The number of apprentices in each woreda is aggregated at the city level, and then further aggregated at federal level
Reporting period	Data on number of apprentices selected needs to be collected as soon as an apprenticeship cohort has completed the apprenticeship, and then communicated by cities to federal level when an apprenticeship cohort has completed their cycle. .
Reporting level and disaggregation	Reported separately for each city, sub-city, and by gender at the end of the apprenticeship cycle (i.e. on the last day of the apprenticeship)
Responsible to collect and aggregate data	1. Woreda to send number of beneficiaries as from UPASS 2. City to aggregate all woredas in the city 3. PCU at Federal level to aggregate all 11 cities.

Indicator 18	
Name of Indicator	Proportion of women among those who complete the 6 month apprenticeship program (percentage)
Measuring unit	The unit is the <i>percentage</i> of all apprentices completing the program who are women
Data used to calculate this indicator and source of data	Share of females among all apprentices women who complete the apprenticeship program (percentage) as measured in the UPASS
Definition	Proportion of women that received certification of completion (completed the six-months apprenticeship training) compared to total number of apprentices who completed the program
How this indicator is calculated	The number of apprentices in each woreda is aggregated at the city level, and then further aggregated at federal level
Reporting period	Data on number of women apprentices completing the apprenticeship program needs to be collected as soon as an apprenticeship cohort has completed the apprenticeship, and then communicated by cities to federal level when an apprenticeship cohort has completed their cycle.
Reporting level and disaggregation	Reported separately for each city, sub-city, and by gender at the end of the apprenticeship cycle (i.e. on the last day of the apprenticeship)

Responsible to collect and aggregate data	1. Woreda to send number of beneficiaries as from UPASS 2. City to aggregate all woredas in the city 3. PCU at Federal level to aggregate all 11 cities.
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5.1. Monitoring Indicators for Job Centres

The following indicators measure progress of the subcomponent 2.2 on Job Centres. The following tables detail how, from which source, at which periodicity and who is responsible for data collection, aggregation, and calculation of the indicators.

Indicator 19	
Name of Indicator	Beneficiaries of Job Centres
Measuring unit	<i>Number</i> of beneficiaries in Job Centres
Data used to calculate this indicator and source of data	Monitoring system set up in the Job Centres
Definition	Number of beneficiaries during inception phase of Job Centres
How this indicator is calculated	The number of beneficiaries at Job Centres is measured at each participating Job Center by registering the beneficiary the first time he/she visits the Job Center.
Reporting period	Data on total number of beneficiaries at Job Centres needs to be collected every quarter
Reporting level and disaggregation	Reported separately for each Job Center
Responsible to collect and aggregate data	1. Each Job Center to send number to JCC 2. JCC to aggregate all Job Centres and share with PCU at federal level

Indicator 20	
Name of Indicator	Female beneficiaries of Job Centres
Measuring unit	<i>Percentage</i> of total beneficiaries of Job Centres who are female
Data used to calculate this indicator and source of data	Monitoring system set up in the Job Centres
Definition	Proportion of beneficiaries during inception phase of Job Centres who are women
How this indicator is calculated	Number of female beneficiaries during inception phase of Job Centres compared to total number of Job Center beneficiaries

Reporting period	Data on total and female number of beneficiaries at Job Centres needs to be collected every quarter
Reporting level and disaggregation	Reported separately for each Job Center
Responsible to collect and aggregate data	1. Each Job Center to send number to JCC 2. JCC to aggregate all Job Centres and share with PCU at federal level

5.2. Monitoring Indicators for RHISN

The following indicators measure progress of the RHISN subprogram. The following tables detail how, from which source, at which periodicity and who is responsible for data collection, aggregation, and calculation of the indicators.

Indicator 21	
Name of Indicator	WHR Public Works beneficiaries (WHR enrolled)
Definition/description	Measures the number of host community and refugee households enrolled under the WHR window (disaggregated by gender)
Measuring unit	The unit is <i>number</i> of host community and refugee beneficiary households enrolled under the WHR window (disaggregated by gender)
Data used to calculate this indicator and source of data	Total number of WHR Public Works households registered in the UPASS.
How this indicator is calculated	The number of WHR beneficiaries enrolled in PW in each woreda is aggregated at the city level, and then further aggregated at federal level
Periodicity	Data on number of WHR enrolled needs to be collected within two weeks of the last month of each quarter, and then communicated by cities to federal level at the end of each quarter
Responsible to collect and aggregate data	1. Woreda to send number of beneficiary households based on UPASS records to city
	2. City to aggregate all woredas in the city and share with regional/federal level
	3. Regional hubs (Oromia, Amhara, SNNP) to aggregate city level data to share with federal level
	4. PCU at Federal level to aggregate all cities currently participating in the UPSNP

Indicator 22	
Name of Indicator	Refugee Public Works beneficiaries

Definition/description	Measures the number of refugee households WHR enrolled (disaggregated by gender)
Measuring unit	The unit is <i>number</i> of refugee Public Works households of WHR
Data used to calculate this indicator and source of data	Total number of male and female Refugee Public Works households of WHR registered in the UPASS with a male and female recipient.
How this indicator is calculated	The number of male and female Refugee Public Works households is aggregated at the city level, and then further aggregated at federal level
Periodicity	Data on number of male and female Refugee Public Works households needs to be collected not before the last two weeks of the last month of each quarter, and then communicated by cities to federal level at the end of each quarter
Responsible to collect and aggregate data	1. Woreda to send number of beneficiary households based on UPASS records to city
	2. City to aggregate all woredas in the city and share with regional/federal level
	3. Regional hubs (Oromia, Amhara, SNNP) to aggregate city level data to share with federal level
	4. PCU at Federal level to aggregate all cities currently participating in the UPSNJP
Indicator 23	
Name of Indicator	Host community Public Works beneficiaries
Definition/description	Measures the number of host community households WHR enrolled (disaggregated by gender)
Measuring unit	The unit is <i>number</i> of host community Public Works households
Data used to calculate this indicator and source of data	Total number of Host community Public Works households registered in the UPASS disaggregated by male and female beneficiaries
How this indicator is calculated	The number of Host community Public Works households is aggregated at the city level, and then further aggregated at federal level
Periodicity	Data on number of Host community Public Works households is needs to be collected not before the last two weeks of the last month of each quarter, and then communicated by cities to federal level at the end of each quarter
Responsible to collect and aggregate data	1. Woreda to send number of beneficiary households based on UPASS records to city
	2. City to aggregate all woredas in the city and share with regional/federal level

	3. Regional hubs (Oromia, Amhara, SNNP) to aggregate city level data to share with federal level
	4. PCU at Federal level to aggregate all cities currently participating in the UPSNJP

5.3. UPSNJP Evaluation

The UPSNJP Will evaluate four components: (a) public works, direct income support, and livelihoods support; (b) first work experience for less-educated urban youth; (c) support for the urban destitute, including street children; and (d) refugee integration. Given that the safety nets are being expanded to smaller cities, the objective of these evaluations is to complement the evidence gained through evaluations of the UPSNP.

The evaluations under the UPSNJP can be divided into quantitative and qualitative evaluations. The quantitative assessments include (a) an impact evaluation of the public works, direct support, and livelihoods; (b) an impact evaluation of youth employment component; (c) tracer study of the destitute component; and (d) an impact evaluation of the refugee integration pilot. Each of these quantitative evaluations also has a qualitative component where in-depth information on beneficiaries is elicited through key informant interviews and focus group discussions. In addition to the quantitative evaluations, the project also includes a process evaluation.

Quantitative Evaluations

Public Works, Direct Income Support, and Livelihood Support

The impact evaluations of the public works, direct support, and livelihood support components of the UPSNJP will build on the design of the UPSNP in four distinct ways. First, similar to the UPSNP, the interventions will be introduced in a staggered manner to evaluate their impact. All eligible woredas in participating cities will be randomly assigned to receive the program in year 1, year 2, or year 3. A sample of beneficiary as well as non-beneficiary households in participating woredas will be surveyed to collect data. Comparing outcomes of interest between beneficiaries in ‘early’ and ‘late’ woredas will provide an estimate of the direct short-run impact of the program. Comparing outcomes (such as wages, employment, and so on) between non-beneficiary households in ‘early’ versus ‘late’ woredas will provide estimates of the spillover effects of the program. It is important to take these spillover effects into account while evaluating the overall impact of the program.

Second, households in woredas not eligible to receive the program (in any phase) will also be sampled, acting as a ‘pure control group’. This would allow for the estimation of medium-term effects by comparing outcomes in treated woredas to the pure control group three and five years after introduction of the program.¹⁰

¹⁰ The design of the evaluation of the UPSNP did not allow for this, because by year 3, all eligible woredas received the program.

Third, the evaluation will cover six cities of different sizes where this subcomponent is implemented. This would provide useful evidence of the direct and indirect effects of the program across cities of different sizes,¹¹ and could inform expansion of the program to other cities.

Fourth, working with an international group of behavioral science experts, the effectiveness of behavioral nudges as part of the livelihoods support (for example, interventions aimed at increasing grit among beneficiaries) will be implemented and tested.

In total, approximately 6,000 households will be surveyed. The baseline survey for this activity is likely to take place between January and March 2021. The first follow-up survey will be conducted at the end of the first year (January–March 2022) and will be used to estimate short-run effects of the public works and direct support components. The next survey will be conducted toward the second year of the program (October–December 2022), which would serve as the baseline for the evaluation of the livelihoods subcomponent. Surveys will also be conducted in October–December 2023, and October–December 2024, to collect data on the effects of the livelihoods intervention and the medium-run effects of public works and direct support.

Youth Employment Component

This component aims to help the less-educated urban youth find wage employment by providing them with six-month-long apprenticeships with private firms and trainings and three months of job search support after the apprenticeship. Through apprenticeships, youth are expected to learn valuable soft and technical skills, which along with digital, soft skills, and job search training could address some of the key labour market constraints faced by this demographic.

The impact evaluation of the youth employment component includes three main pillars: (a) the demand assessment aims at understanding youth and firm preferences about different program modalities, youth preferences about firms, and firm preferences about youths. It further tests instruments and collects data as a starting point for an automated matching tool; (b) the pilot will test the implementation arrangements of the youth employment component by placing 400 youths in apprenticeships in Addis Ababa, providing a qualitative assessment of implementation arrangements and feasibility; and (c) the phase 1 rollout of the program will place 10,000 youths in apprenticeships in Addis Ababa in year 1 of the UPSNPJ. This phase includes a rigorous impact evaluation (details are provided in the following paragraph) of the youth employment program and provides a better understanding the role of automated matching.

The evaluation of this component is likely to include three complementary interventions:

- **Worker-level intervention.** To study the effectiveness of the apprenticeship program, applicants will be randomly assigned to either a control group (that is, not participating in the apprenticeship program) or a treatment group (who get matched as an apprentice with a firm and also receive digital, soft skills, and job search training).¹² The randomization will either take place at the level of a woreda (that is, some woredas receive the program and others do not) or at the level of the individual (that is, some applicants within the same woreda receive the

¹¹ As described earlier, the evaluation of public works, direct support, and livelihoods under the UPSNP focuses exclusively on Addis Ababa.

¹² The details of the evaluation design are still under consideration, and it may be possible to include additional treatment arms.

program and others do not). The primary outcomes of interest are employment status, job quality, earnings, hours worked, job satisfaction and tenure, savings, and so on.

- **Firm-level interventions.** The objective of this intervention is to study what methods are most effective in getting private firms to both participate in the program and provide high-quality apprenticeships. Accordingly, firms will be randomly assigned to one of three treatment arms: (a) the standard advertisement package, (b) assistance in designing and managing the apprentice, or (c) provision of incentives by highlighting the visibility of the program and providing social incentives. The primary outcomes of interest would include participation rates of firms across these treatment arms and hiring of apprentices for full-time positions.
- **Job matching algorithm.** As part of the program, information will be collected both on job seekers (including demographics, education, work experience, soft skills, and preferences of types of apprenticeships) and firms (workforce characteristics, preferences of types of candidates, and so on). This information will be used to develop an algorithm to match job seekers with firms. The objective of this evaluation is to study the effectiveness of these matches. In certain (randomly chosen) woredas, the matches will be made manually by program staff, whereas in other woredas, the algorithm will be used.¹³ Match effectiveness (successful completion of the apprenticeship program, apprentice being retained at the end of the program, reported rates of program satisfaction by the firm/participating individual and so on) will then be compared across these woredas.

The impact evaluation will randomly sample participating firms and apprentices in treatment and control areas. On the apprentice's side, the evaluation will cover (a) a face-to-face baseline survey with 6,000 apprentices (likely to take place between June and August 2021), (b) quarterly phone-based follow-up surveys with 1,500 apprentices, and (c) a face-to-face end line survey with 6,000 apprentices (likely to take place three months after the end of the internship). On the firm's side, the evaluation will cover (a) a face-to-face baseline survey that will interview 500 firms and (b) an immediate phone-based follow-up survey to understand the experience of the program with 500 firms.

Support for the Urban Destitute

A process review will be carried out to investigate the effectiveness of the project, as being a catalyst in creating a sustainable and effective service delivery for people living on the street. The process review will engage in an in-depth analysis of the roles of each institution engaging in the urban destitute component and review the effectiveness of the implementation arrangements (that is, procurement system, payment system, reporting system, grievance redress arrangements, and reintegration arrangements).

The review will also look into whether and how links to services are being implemented by different service providers, such as links to health and education services, skills development services, and mental health services. In addition, the review will specifically analyze (a) what service providers deliver, (b) the manner in which they deliver the various services, (c) the quality with which services are delivered across different service providers, (d) the duration and quantity of services, and (e) the standards implemented.

¹³ These design features are still being finalized, and other options include a treatment arm where program staff are encouraged (but not mandated) to use the algorithm, a treatment arm where the algorithm provides its reasoning behind each selected match, and so on.

A cost-effectiveness and/or unit cost analysis will also be carried out to better understand the different costs of service providers for the most frequent expenditures (salaries, fixed assets, food, and also family reunification) by city, to determine reasonable unit costs for a certain quality. This would involve visiting service providers, getting their budgets, and assessing the quality of services that they offer for their budget. The process evaluation will also identify positive examples in terms of cost-benefit, so that program implementers and other service providers can learn from them.

Building on the tracer study under the UPSNP, the team will also implement tracer studies under the UPSNJP, including all four target groups of the destitute component: (a) children in street situations, (b) homeless women with children, (c) homeless elderly, and (d) other homeless.

Refugee Integration

The impact evaluation of the refugee integration component will focus on whether integrating refugees in the public works and livelihoods intervention of the UPSNJP can be an effective avenue for the integration of refugees into local labour markets and society. More detailed objectives will be determined but a preliminary set of research questions will evaluate the impact of (a) refugee and host aspirations, (b) inclusive targeting and integration, and (c) building social cohesion within refugee and host communities, and (d) livelihood development.

The evaluation will include two distinct phases. First, a set of preparatory studies will be undertaken to gauge refugees' interest to move to Jigjiga, possible hindrances to successful integration, and so on. Second, a randomized experiment will be implemented to understand the impact and effectiveness of providing public works and livelihoods to refugees. In addition to information already captured under the public works outcomes (see section III.A), the baseline data collection will emphasize (a) measures of economic and social integration (that is, proportion of refugees abandoning new livelihoods to return to camp-based unemployed life, proportion of hosts who have shopped at refugee shops and obtained services or goods from refugees, and proportion of hosts who have, vice versa, sold to refugees) and (b) social cohesion.

Process Evaluations

In addition to the quantitative evaluations outlined earlier, the UPSNJP covers an annual process evaluation. The process evaluation aims at (a) assessing the project implementers' compliance with the processes and procedures established in the PIM and the different guidelines and (b) suggesting improvements for both the processes and the implementation. The process evaluation will cover all aspects of the project implementation processes and procedures in a selected number of cities, likely those not covered under the process evaluation of the UPSNP.

The process evaluation will cover all different project components and subcomponents, with a focus on those components which are either new (that is, youth employment) or expanded (that is, destitute component). The UPSNJP activities, as outlined in the PIM, will be compared to the actual implementation plan arrangements to assess compliance of the actual implementation of project activities against the agreed process and procedures in the PIM. It also explores the process and procedures in all oversight and technical support-providing committees applied in project implementation. The process evaluation will also provide the results of relevant key performance indicators from the UPSNJP results matrix.

The process evaluation should be implemented annually with the hiring of a service provider in early 2021 and the first annual results available by 2021.

Targeting Evaluations

Targeting evaluations will be undertaken in year 1, 3, and 5 of the program to assess targeting quality. Helps evaluate how far the targeting processes and results are effective & efficient. And gives a more information how far the targeting and citizen engagement process follows the UPSNJP PIM and PAD.

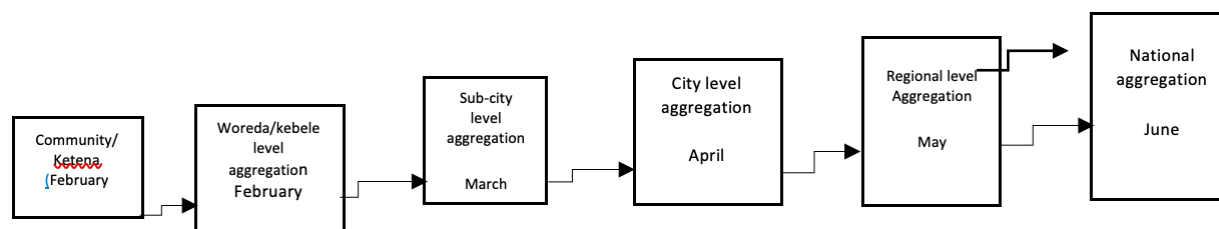
CHAPTER 6. ANNUAL PLANNING

Planning is the critical first step in preparing for UPSNJP implementation. Planning for the UPSNJP largely takes place annually in February-March of the Ethiopian fiscal year in time to release the budget for the start of the Ethiopian Government Financial Year on 8th July.

6.1. Overview of the Planning Process

The planning is basically **bottom up** as illustrated below.

Figure 3. Simplified UPSNJP planning process and timing



The above diagram depicts the level of planning that starts at Ketena/community level and ends at federal level. This planning is complemented and informed by other key preparatory activities including targeting and recertification of clients, the setting of the wage rate, decisions regarding the mode of transfer and livelihoods-related analysis.

The key features of the UPSNJP annual plan are:

- Provides an overview of ESMF procedures during planning
- Integrates livelihoods plans into overall planning
- Integrates links to social services for public works, permanent direct support and temporary direct support clients into overall planning
- Provides detail on the mechanisms for livelihoods planning
- Provides detail on the mechanisms for planning of soft conditionality for temporary direct support clients and community BCC for public works clients and overall program linkage to the national nutrition program
- Case management for permanent direct support and urban destitute clients
- Provides guidance on enhancing women's participation in planning
- When applicable tailors public works planning to pastoral/lowland livelihood types in pastoral lowlands.
- Details how to accommodate the different workloads for women in public works planning
- Serves as a coordination mechanism between public works/conditionality to livelihoods, nutrition and other social services, climate resilience and disaster risk management.

6.2. Steps of Planning Process

The planning process involves the following five steps:

Step One: Preparation at Community level

- Prepare list of identified clients categorized by direct support, public works and livelihoods for each participating community
- The program needs to prepare a specific community planning guideline to ensure that all community facilitators have the same understanding of the planning process
- Prioritization and selection of public works and livelihood activities
- Produce community UPSNJP plan with the assistance of community facilitators/and city level sectorial experts
- Submission of plans for various components to Kebele/woreda

Step Two: Review, Approval and Consolidation at Woreda/Ketena Level

- Plan nutrition related Behavioral Change Communication (BCC) activities. This involves coordinating with various agencies working on health and nutrition and securing BCC materials and provide the platform to share the materials
- These plans are reviewed, approved and consolidated at woreda/kebele level, and combined with woreda/kebele level client selection to produce the woreda/Kebele Annual Safety Net Plan
- Submission of plans for various components to the city

Step Three: Review and Consolidation of Woreda/Ketena Plans and Preparation of City Level Plans

- Prepare and incorporates specific City-level activities
- Check for compliance with UPSNJP ESMF and RPF
- Submission of plans for various components to City administration for action and relevant regional offices for follow up and support (see note below)

Role of regions

As stated in the introductory section of this manual, in this stage of the program, the role of regional offices in all aspects of program planning and implementation is much a well-thought-out. The level of aggregation is increased as compared to the UPSNP (a maximum of 29 and a minimum of two cities/towns per region) that encourages the need to get aggregated regional plan. However, it is more important to establish a regional hub that consolidates the cities plans to be shared with relevant regional offices for information, follow up and support, if necessary and besides these, the regional hub facilitates the planning work within zonal or clustered zones under each region.

Step Four: Review and Consolidation of Federal Level Plans

The Federal Annual Safety Net Plan is the highest level planning document which summarizes plans across the whole project cities/towns for the coming five years as well as describing specific activities to be conducted at the federal level.

6.3. Preparation of Plans

As a first step in planning at all levels, there is a review of the planning entities and their role, to ensure that:

- The planning bodies all exist, functional and are well staffed
- The correct members of various committee are present
- Members have been adequately informed of their task and have the necessary skills and information to conduct it
- Any new members, for example where there has been staff turnover, have been adequately trained

6.4. Consistency and Alignment of Plans

For each of these plans there is a hybrid review process which involves two parallel processes:

- **Horizontal review:** Submission of plans for various components by Urban Job Creation and Food Security, with review and consolidation into an overall safety net plan (for example, a City Annual Safety Net Plan which includes inputs on public works as well as livelihoods). This enables Urban Job Creation and Food Security at each level to have an overview of the whole program in relationship to budget allocation and utilization as well as ownership. This process also ensures the integration of safety net plans into overall development plans (e.g. City Development Plans) and oversight of appropriate administrative bodies at each level.
- **Vertical review:** Submission of plans for various components to appropriate line structures to allow for technical review and technical coherence of each component. This is particularly critical for the livelihoods component, which requires input from the city level in relation to value chains and markets, employment opportunities, and availability of TVET services. It is expected that program cities will have direct contact with TVETs and other service providers.
 - Therefore, each section of the plan is submitted to Urban Job Creation and Food Security at the appropriate level for consolidation into the overall Safety Net Plan, and is also submitted vertically to appropriate sectors for technical review and oversight.

The plans should be consistent with beneficiary targets set for each year, budget allocated and graduation process of the UPSNJP. An alignment with the Ethiopian Fiscal year is to be maintained.

6.5. Planning at Different Levels

Detailed planning procedures at each of the 3 levels (community/kebele, city and federal) are included in annex to this chapter. These annexes are structured according to the hierarchy of planning and the planning product produced, starting with community and kebele, moving to City, and then to regional and federal level planning.

At each step of the process, additional information is added to the plans. For some aspects of the program, information flows from the top down to inform the planning process. This includes information on budget allocation (to guide the targeting process) as well as livelihoods-related information such as market information, labour market opportunities, and credit availability.

6.6. Dissemination of Approved Plans

Each of the plans is distributed back down to the lower levels immediately following federal approval so that all participants are aware of final planning decisions that have been taken and final resource allocations that have been made. Annual conference will be held to discuss on the status of the previous year implementation and plan of the next year. This also allows both greater upward and downward accountability. Once the UPSNJP annual plan and budget have been approved at the federal level, MoF posts the annual local Government -by-local government budget on its website. Each urban local government also posts the annual UPSNJP plan, budget and list of clients, along with the Client Bill of Rights and Responsibilities, in a public location in the sub city and in each woreda/kebele center to ensure financial transparency and accountability (FTA). Dissemination should follow also the guidance outlined in the Stakeholder Engagement Plan to ensure equal access for all stakeholders, above all the most vulnerable, with adequate measures for people with disabilities, illiterate people, people who do not speak Amharic well, etc.

PART II. SUBPROGRAMS' OPERATIONAL CYCLES

CHAPTER 7. TARGETING AND ENROLLMENT OF BENEFICIARIES (PW AND PDS)

This section describes the criteria and processes by which the PW and PDS beneficiaries are selected.

The selection of UDS and YE beneficiaries is described in the relevant UDS and YE chapters.

7.1. Overview of targeting process

PW and PDS beneficiary households are targeted through a common targeting process.

The number of PDS beneficiary must not exceed 16 percent of the quota in any given Kebele. The objective is to keep the number of PDS households below 16 percent of the total number of program beneficiaries in any given year at the city level. Kebeles will be required to keep the final list with a maximum of 16 percent of their quota attributed to PDS beneficiaries. However, this is not a strict rule at kebele level, and cities may concede exceptions to some kebeles (i.e. Allow some kebeles to go over the 16 percent rule). In this case, cities must compensate and balance a higher number of PDS in one Kebele with a lower number in another one - in order to abide to the 16 percent rule at the city level.

The targeting process consists of a combination of the following:

1. Geographic targeting
2. Community-based pre-selection
3. PMT application
4. Community validation, and
5. An appeals process.

Geographic targeting (i.e. how cities are selected and the quota of beneficiaries is attributed to each city) and the rollout plan (i.e. at which point in time a city joins the program and when rounds of inclusion of beneficiaries are planned over time) are described in chapter 2.

In each Kebele, first, a Kebele Targeting Committee (KTC) will be formed and trained. The KTC will apply a pre-set list of criteria to each household and will rank each household according to the criteria. It will thus be responsible for establishing a long list of potential beneficiary households. This long-list (or pre-selection list) will include a number of potential beneficiary households equivalent to twice the quota established for the kebele. In a second step, socio-economic data will be collected from each pre-selected household by a specifically trained team of enumerators. The collected data will be used to calculate a Proxy Means Test (PMT) score for each household through a pre-established formula (initially, the data may be entered in a simple database used by the enumerators, but eventually will be entered in the MIS when the MIS is fully functioning).

All households on the long list will then be ranked according to their PMT score: those households that are ranked the lowest will be selected for participation into the program, within the limit of the quota of beneficiaries for the Kebele. In a third step, each household will be assessed on whether the household has able-bodied household members. Those households that do, will participate in the PWs program and those that do not will participate in the PDS program. Given that no more than approximately 16 percent of the final list may be composed of PDS beneficiary households, this must be taken into account when establishing the final list of beneficiaries. Once the ranking is done, the number of PDS beneficiary households must be counted; in case it exceeds 16 percent of the quota, only the lowest

ranking PDS households (up to 16 percent of the quota) will be kept, while the other PDS households will be put on a waiting list and replaced, in the final list by PW households according to their rank.

Households will be able to appeal along the targeting process, either because they claim that they should be included in the long list, or because they have complaints about the data collection process. A community validation process will validate the list of selected households.

The table below summarizes the steps that will be applied during the targeting process

Table 10. Steps in Targeting Process

Step 1	Selection of Kebeles and establishment of quotas at Kebele level
Step 2	Updating of the list of households in each Kebele by KTC
Step 3	KTC pre-selects beneficiary households and establishes a long list (equivalent to twice the quota for the Kebele) based on targeting criteria
Step 4	Data collection and calculation of PMT scoring.
Step 5	Establishment of list of selected households (respecting the rule of no more than 16 percent of PDS)
Step 6	Community validation
Step 7	Appeals
Step 8	Enrollment of beneficiaries

7.2. Special Case: Retargeting and Targeting of PDS Clients in the 11 UPSNP Cities

The existing PDs clients in the 11 cities and those who are in the waiting list will be re-targeted and will go through PMT to avoid inclusion and exclusion errors. In addition, those who will be identified as potential PDS clients will also be targeted and go through PMT.

Therefore, the long list of the PDs clients that will go through the final PMT Process includes the existing PDS clients, those PDs clients who were in the waiting list and potential PDs clients. The data generated after PMT is the final list of PDs clients.

7.3. Selection of Kebeles and Establishment of Quotas at Kebele Level (Step 1)

The selection of cities to be included in the program and their overall number of beneficiaries is described in chapter 2.

In each selected city, a rollout plan has also been established and is also described in chapter 2. According to this rollout plan, cities will select kebeles to be included in the program.

7.4. KTC Updates List of Households in each Ketena (Step 2)

The KTC is responsible to create a list of all households residing in the Ketena by undertaking a house-to-house registration. In the 11 existing cities, it will be particularly important to:

1. Not include households who were beneficiaries under UPSNP;
2. Ensure that households who moved to the area are included; and

3. Not include households who moved away.

7.5. KTC Pre-selection of Beneficiary Households and Elaboration of Long List (Step 3)

KTCs are responsible for establishing a pre-selection list of potential beneficiary households. The number of pre-selected households must be twice the quota attributed to the kebele.

Formation and training of KTC

The KTC must be composed of community members using the following criteria:

- It must have an odd number of members with a minimum of at least 7 members; and maximum of 11 members;
- It must have at least: 1 woman, 1 youth, 1 person with disabilities, 1 elder, and 1 knowledgeable person;
- A female ratio of more than 50 percent (i.e. more females than males) is mandatory
- Other potential KTC members include: 1 representative from religious institutions, 1 member from social institutions like Idir, association and the like, 1 representative of WoLSA, 1 representative of women and children's office, 1 health extension worker, 1 member from an NGO active in the kebele.

Once a KTC is established, it must:

- Participate in training on community targeting from CE focal person;
- Define rules of committee and committee meetings;
- Create awareness for the community members about selection criteria;
- Conduct home-to-home registration to ensure (see section 7.3);
- Score each household in the community according to the targeting criteria; and
- Rank all households in the community according to the overall score of the targeting criteria.

Criteria to be used for pre-selection

The Ketena Targeting Committee must apply a set of criteria to pre-select households.

The KTC will first apply two exclusion criteria, which will automatically exclude households from the program. These exclusion criteria are:

- Households must have resided in the UPSNP administrative unit for at least six months: if they don't comply with this criterion, they cannot be considered for inclusion on the long. Proof of residence is confirmed by relevant documents or clearance from the local authorities.
- Households must not benefit from another well-established government development program: if they don't comply with this criterion, they will automatically be excluded.

This second exclusion criterion applies to programs that are 'similar' in scope (that is, support by providing labour) but does not include programs that could provide complementary services (that is, health or education). Double-dipping is a concern for the GoE and it is vital to ensure that sufficient number of people receive support through the multiple social protection programs that the Government has in place.

The KTC, after ensuring that households not fulfilling the two criteria above are excluded, proceeds to apply a set of targeting criteria to the applying households.

The targeting criteria were designed based on the following four principles: (a) easy to understand, (b) observable by the community targeting committee, (c) ease with which they can be scored (ideally binary - yes/no), and (d) not overlapping with other criteria.

The Community Targeting Committee must use the following 11 targeting criteria:

- Does the household have any disabled household members that prevents them from working?
- Is the household head illiterate?
- Has no household member (including head of household) completed primary education?
- Is the household head female?
- Does the household currently not have a regular income source?
- Is the dwelling not owned by the household?
- Is the number of dependents larger than the number of non-dependents? Dependents are those younger than 15 years and older than 60 years.
- Is the household head widowed or divorced (male or female)?
- Does the household *not* own a refrigerator in working condition?
- Does the household *not* own a television with 14 inches or more?
- Does the household *not* own an electric stove for cooking?

The KTC will answer each of the 11 questions for every household within the community (except those for which the exclusion criteria apply). Given the ease of criteria, the community targeting committee can relatively easily score each household by giving a 1 to those criteria answered with a yes and 0 to those criteria answered with a no (see example below).

	Targeting criterion	Measure	Score (1/0)
1	Does the household have any disabled household members that prevents them from working?	Yes/no	0
2	Is the household head illiterate?	Yes/no	0
3	No household member (including head of household) has <i>completed</i> primary education?	Yes/no	0
4	Is the household head female?	Yes/no	1
5	Does the household currently <i>not</i> have a regular income source?	Yes/no	0
6	Is the dwelling <i>not</i> owned by the household?	Yes/no	1
7	Is the number of dependents larger than the number of non-dependents? Dependents are those younger than 15 and older than 60	Yes/no	0

8	Is the household head widowed or divorced (male or female)?	Yes/no	0
9	Household does <i>not</i> own a refrigerator in working condition?	Yes/no	0
10	Household does <i>not</i> own a television with 14 inch or more?	Yes/no	0
11	Household does <i>not</i> own an electric stove for cooking?	Yes/no	0
	Total		2/11

Each household receives a score by adding the scores for each question. All households get ranked based on this community targeting score and households with the highest rankings are included on a list of pre-selected beneficiaries for further processing: this is pre-selection list is a “long list”, out of which the final selection of beneficiary households will be done in the following targeting steps.

The number of pre-selected beneficiaries to be included in this pre-selection list will be determined by the quota of beneficiaries that the community has been communicated: the number of pre-selected households must be twice the quota. For example, if the quota for the number of beneficiaries in community x is 100, then the community pre-selects twice as many beneficiaries (that is, 200) for the ‘long list’ (potential list of beneficiaries).

Households on the long list will be tagged as either labour-constrained (i.e. no member of the household is able to work) or non labour-constrained (i.e. At least one member of the household is able to work and perform the type of tasks required under the PW program). This will facilitate the categorization of households as PDS or PW beneficiaries at the end of the targeting process.

7.6. Training of Enumerators and Data Collection (Step 4)

For each household on the long list, socio-economic data will have to be collected from the pre-selected households. The list of data to be collected includes variables that will allow the calculation of a “score” for each household. These variables have been selected because they represent “proxies” closely correlated with poverty. They mostly include:

- Demographic and socioeconomic information of the household head and household members,
- Dwelling characteristics, and
- Information on assets.

Data collection will take place via Computer Assisted Personal Interview (CAPI) questionnaire using tablet computers.

Data will be collected by enumerators appointed among JOBFSA officials at the Woreda and/or city level, either Development Officers or One Stop Shop Service Center staff. The Kebele Development Officers will be selected by the Kebele development committee.

The training in data collection for enumerators will have two phases. Participating cities will be clustered (clusters will depend on the number of trainees, itself dependent on the number of beneficiaries in each city). The two phases of the training will be (i) a Training of Trainers (TOT) and (ii) a training of enumerators (TOE).

1. The TOT will be given for limited number of staff at the head office and/or selected staff from the respective cities, who will all have a tablet installed with the CAPI application.
2. The TOE focuses on training enumerators and field supervisors. This training will take 4 days, in addition to a one day pilot at the end (half day pilot data collection and half day field observations discussions). Accordingly, a final revision of the questionnaire will be done based on the feedbacks from field staffs.

7.7. PMT Scoring and Elaboration of Short List (Step 5)

Once all data is collected, a formula (called “PMT formula”) allows the automatic calculation of the score for each household. All households of the long list will be ranked, from poorest to least poor, on the basis of the PMT score. The poorest households (i.e. with the lowest PMT score) will be selected until the quota is reached (accounting for the added number based on the appeals process).

After PMT scoring, all households in the pre-selection are divided into PW and PDS beneficiaries. Households with an able-bodied household member are PW beneficiaries. Households without an able-bodied household member are PDS beneficiaries. Based on this categorization, the correct quote of households is selected to ensure that not more than 16 percent of the beneficiary households may be PDS households. In cases where, after ranking of all households and identifying the ones to be selected to fill the quota, more than 16 percent are PDS, the city administration will have to keep only 16 percent of PDS in the final list and put the rest (i.e. the remaining PDS households who would make it to the final list according to their PMT score, but cannot be included because of the maximum 16 percent rule) on a waiting list to be included in subsequent targeting exercises in the following years.

7.8. Community Validation (Step 6)

The short list of beneficiaries will be shared with the KTC for validation. The KTC can remove beneficiaries from the list but cannot add beneficiaries. After the community validation, the final list of beneficiaries will be posted on a notice board. Households can subsequently appeal (see appeals process in chapter xx).

7.1. Appeals for targeting process (Step 7)

Appeals by community members can be made once the short list of beneficiaries is made publicly available in the communities (after the combination of community based targeting by KTC and PMT targeting). Once the list of beneficiaries is displayed in the communities to the wider public, community members have ten days to appeal to the GRM committee. The timeframe for appeals will be publicized to the wider public. During the ten day period, community members who were not selected for the program can appeal to the Woreda GRM committee. The GRM committees and KTC will collaborate on deciding whether the appeal is valid or not (KTC will justify the exclusion of households based on community targeting and PMT score from the list to the GRM committee members). It is essential that the GRM committee explains to appealing households that a valid appeal does not automatically mean that the household will be added as beneficiaries.

If the appeal is valid, the KTC will ensure that data is collected (by city officials) from the household to run the PMT. For appealing households, a PMT score will be calculated based on the collected data. Households can only be added if the PMT score is below the PMT threshold of their respective community. The PMT threshold is the PMT score of the last person that was added to the program (since we are including from most poor to least poor or from lowest PMT score to higher PMT score). If the appealing household’s PMT is below the PMT threshold, the household will be added to the wait list based on their score to be included when there is dropout during the project cycle.

If the appeal is not valid the appealing household will be informed or receive through complaint response letter/form that their appeal was not successful.

7.2. Enrollment of Beneficiaries (Step 8)

Once the final list of beneficiaries has been validated by the community, it is approved by the Technical Coordination Committee (TCC).

After approval by the NSC, each kebele must then organize an enrolment session of half a day. The objective of the enrolment session is to inform beneficiary households of their rights and obligations, collect specific additional information and issue client cards.

The enrolment session will be organized by the KTC as follows:

- All household beneficiaries will be informed of day, time, and place of the enrolment session (only the head of the household will be invited).
- Households will also be informed about the objective of the enrolment session and about the document that they need to bring. In particular, they need to be informed that PW and PDS clients must open a bank account in their name (or in the name of a person who represents them) to be able to receive the monthly transfer.
- The head of household will need to bring a valid ID card, the bank account number (the Bank account number has to be an official statement by the bank), and a passport-sized picture.

Households are issued with a Client ID Card of the project within 10 working days of being targeted. Beneficiaries should bring two photos. The ID has a barcode to identify beneficiaries. For PW participants, the card also shows how many days each household is entitled to work and the amount of payment they shall receive. Similarly, the IDs issued to direct support beneficiaries show the amount and period of payment. The ID is unique to each individual beneficiary representing the household, and contains the following details:

- Name as it appears on the Kebele ID or any other official document carried by the beneficiary
- Home address
- Sex
- Date of birth
- Photograph
- The card holder's signature, or fingerprint.

7.3. Exit and Replacement Rules for PW and PDS

Exit of PW Beneficiaries

PW household beneficiaries may stay three years in the program, at which point they exit the program automatically after receiving the livelihoods grant. Households that have participated for 3 years in the PW program cannot be retargeted in a subsequent targeting exercise.

Exit of PDS Beneficiaries

PDS beneficiary households may participate in the program without time limitations. However, certain situations may provoke exit of beneficiaries from the program. A PDS household may have to exit the program in the following cases:

- the PDS beneficiary household moves out of its original settlement area (i.e. the kebele in which it was originally selected) to an area outside the UPSNJP implementation areas (i.e. a woreda in the same city not included in the program, or a city not targeted by the program);
- in case there is only one member in the household and that member dies; and
- If the situation and/or composition of the PDS household has changed and as a consequence, the PDS is not eligible anymore to the PDS subprogram (for example, death of dependents): in this case, the social worker needs to bring the case to the attention of the KTC, which will take the decision on the exit of the household.

Regular updates of PDS household composition

PDS beneficiary must be subject to regular updates and controls to ensure the composition of the household is known and updated in the MIS (new births and deaths of households members, in particular death of head of household who is the recipient of the benefits and registered in the UPASS).

These regular updates may be combined with the regular case management that social workers perform, at a frequency determined by MoLSA. On these occasions, and at least once a year, social workers must ensure they meet the PDS recipient in person to confirm that this person is alive; and enter this information in the MIS. If this information has not been updated in a period of 12 months, the MIS will issue a special alert that a social worker must visit the household and certify that the recipient is alive.

In case of death of the PDS recipient, two cases may occur:

- (1) As already stated in the section above, if the recipient was the only member, the household automatically exits the program and must be replaced.
- (2) If the PDS recipient is survived by other family members, another adult member needs to be appointed the new recipient and his/her name entered in the UPASS.

Replacement of PW and PDS Beneficiary Households

PW beneficiary households stay in the program for 3 years and then automatically exit the program. However, they may leave the program under special circumstances, as follows:

- When an able-bodied member of a PW household dies, he/she will be replaced by another able-bodied from the household. However, if the person who dies is the only able-bodied member in the household, the household will be transferred to PDS.
- When a PDS recipient dies and is the only household member, it will be replaced by the next labour-constrained household in the waiting list.
- When a PW or PDS beneficiary moves out of the kebele, it will be replaced by another PW or PDS household in the waiting list. The waiting list includes households with a PMT score who were not selected in the initial phases of the project. Beneficiaries get selected by moving up the list, selecting poorest households first. If the household moves to another kebele that also participates in the program, it may keep its benefits in the new kebele.

Given that the UPSNJP builds on a phased approach in which livelihoods grants are paid out only to beneficiaries who participated in a certain set of training activities throughout the three years of PW,

there will be no replacement of public work beneficiaries that dropout in the third or final year of the program.

7.4. Roles and responsibilities in the targeting process

The roles and responsibilities of the various institutions and stakeholders in the PW and PDS targeting process is summarized in the table below.

Table 11. Roles and responsibilities of institutions for program entry under UPSNJP

Institutions	Program entry and exit
Ministry of Urban Development and Housing/City Bureau of Urban Development and Housing	<ul style="list-style-type: none"> Responsible for overall management and coordination of the program entry process Provide technical support for planning and implementation of program entry
Federal Urban Job Creation and Food Security Agency	<ul style="list-style-type: none"> Provides directions for program entry Prepare & update implementation manual of targeting Identify and Support targeting mechanisms Arrange awareness creation and training programs for the community Identify cities for the programs with the help of regions Review the number of clients for each existing or new cities on the basis urban poverty rate Support the review of the number of clients for each existing or new cities on the basis of the poverty rate
Ministry of Labour and Social Affairs/Bureau of Labour and Social Affairs	<ul style="list-style-type: none"> for the PDS targeting
Ministry of Women and Children Affairs/City Bureau of Women and Children Affairs	<ul style="list-style-type: none"> Provide technical assistance to ensure targeting is applicable on women, children and youth, Ensure gender issues are adequately addressed, monitored, and adjusted accordingly
Ministry of Youth and Sport/City Bureau of Youth and Sport	<ul style="list-style-type: none"> Engage in the targeting process to ensure poor and vulnerable youth issues are adequately addressed, monitored, and adjusted accordingly
City Urban Job Creation and Food Security Office	<ul style="list-style-type: none"> Conduct targeting process and strengthens coordination between different actors. Provides technical support and capacity building for Ketena/Kebele targeting committee Assists planning and reporting procedure of targeting, Chair targeting committee and technical committee Collect and organize beneficiaries' information Distribute client cards to each beneficiaries Identify and organize eligible beneficiaries for public work
City Job Creation and Food Security	<ul style="list-style-type: none"> Select any new kebeles/ketena for inclusion in the program following geographical targeting or expansion in

Institutions	Program entry and exit
Technical Committee	<ul style="list-style-type: none"> client numbers Review how any additional client numbers should be allocated across kebeles/ ketena. Approve the overall client list for the cities
City Labour and Social Affairs Office	<ul style="list-style-type: none"> Contribute to targeting processes as a member of the city level technical committee Identify and organize those individuals affected by social problems and problems for training and support After targeting of PDS beneficiaries prepare to next steps
City Job Creation and Food Security Task Force	<ul style="list-style-type: none"> Discuss and agree on allocation of client numbers between different communities Identify and verify eligible beneficiaries for the program Review and approve the client list. Mobilize resource to assist the most vulnerable group Prepare plan and report about targeting Create awareness about the targeting process to the community Follow up the implementation of PMT Support distribution of client cards/project ID
Ketena Targeting Committee/ Community Care Coalition:	<p>Before beneficiary selection</p> <ul style="list-style-type: none"> Participate in training on community targeting from CE focal person Define rules of committee and committee meetings Create awareness for the community members about selection criteria Conduct home to home registration <p>During beneficiary selection</p> <ul style="list-style-type: none"> Score each criteria for each household honestly and objectively Discuss scoring with committee Create a ranking of all beneficiaries (according to scores) Create a long list of beneficiaries (according to the quota provided to community) Categorization of selected community/beneficiary as PW and DS Submit documents (long list and documentation of scoring/ranking) to woreda or kebele officials <p>After beneficiary selection</p> <ul style="list-style-type: none"> Display the final list of beneficiaries (short list after PMT) Work with GRM committee on complaints which raised by the community

Institutions	Program entry and exit
	<ul style="list-style-type: none"> • Provide suggestion regarding the targeting criteria for future

CHAPTER 8. PLANNING FOR PUBLIC WORKS (PW)

8.1. Introduction

The urban safety net public work activity (workfare) is an activity where participating Cities implement various public work sub projects that can create temporary jobs for working communities grouped as the beneficiaries of the project. An important innovation of Urban Productive Safety Net and Jobs Project (UPSNNP) is that it creates temporary job for the urban poor with ultimate objective of ensuring own income while creating access to useful productive assets and services for the community that can contribute to Cities sustainability creating green and resilient environment, besides these, it is designed in order to reduce long existed dependency syndrome related to aid oriented transfers and that is why the term “productive safety net” is adjoined to it. This part of the project component is achieved mainly through deploying beneficiaries/able bodies based on pre-determined work norms in public work activities. Notably, public works provide income support considering gender equity, social and environmental safety. Therefore the public work activities selection criteria needs to be those activities that can be easily understood or managed and in a nearby locations for majority of the community and could be labour intensive depending on the type of PW sub projects prioritized by the community. Besides these, Public work activities that are more preferred by communities and supposed to increase their skills and productivity are encouraged. The other criterion for public work selection is its positive impact on the environment protection. Based on the above criteria five public work sub-components/categories with menu of sub-projects and resource based technologies and activities are selected. These include urban integrated watershed development activities, urban beautification and greenery, urban non-toxic solid waste and environmental cleaning activities, creating favorable environment for urban agriculture, and urban social infrastructure and services development. As the project develops, transfers may also be conditional on enrolment in tailored training aiming at connecting clients with job or self-employment opportunities. The purpose of this chapter is to identify and describe suitable and eligible activities that can be developed into sub-projects for the target audience as well as to illustrate the planning process that should be followed in annual public work sub project planning.

8.2. Feasible Menus of Public Works in urban areas

The proposed public work component/category focuses on the labour intensive work activities of small scale sub projects such as; urban non-toxic solid waste management and environmental cleaning, urban beautification and greenery, urban integrated watershed development, urban social infrastructure and creating favorable condition for Urban agriculture. These are supposed to contribute for the development of community assets and construction and/or rehabilitation of social infrastructure and services like community schools, latrine, temporary childcare centres, earth road etc.

The labour intensive public works sub-projects under UPSNNP support sustainable community assets and public services. A menu of PW sub projects appropriate for the urban areas and customized to the special environments in each of the participating cities should be provided as guidance to the communities in participating areas. The specific guidelines that are developed to guide the planning, design and implementation of varying PW subprojects include:

- Guideline for construction and maintenance of small-scale social infrastructures and services,
- PW guideline,

- Guideline for Urban greenery and beautification,
- Guideline for Urban Solid waste management and environmental cleaning,
- Guideline for integrated watershed development
- public work code of Conduct

Project implementers will exercise extreme care with all activities that they should not replace already existing income generating activities. PW activities are temporary employments but they can also be seen as paths to a more permanent income generating activity. They should not compete with jobs secured from the labour market. There is a need for coordination between public work implementers and the local labour market.

Table 12. List of eligible PW sub-projects

S.N	PW Categories	Major Menus of PW activities
1	Urban solid waste and environmental cleaning activities	<ul style="list-style-type: none"> ➤ Cobble stone road cleaning (Roadside cleaning) ➤ Cleaning Market and public meeting Areas ➤ River Side Cleaning ➤ Illegal dumping site cleaning for non-toxic solid wastes ➤ Open drainage cleaning ➤ Closed drainage cleaning(with no industrial effluents)
2	Urban Beautification and Greenery activities	<ul style="list-style-type: none"> ➤ site preparation ➤ Road median & road side development ➤ Open area development ➤ Urban park development ➤ Sport field development ➤ Pitting ➤ Planting ➤ Weeding and cultivation ➤ Watering urban green areas ➤ Seedling Production ➤ shrub planting
3	Urban Integrated Watershed Development	<ul style="list-style-type: none"> ➤ Area enclosure ➤ stone bund construction ➤ Hill Side Terrace with Trench ➤ Bench Terrace ➤ Gabion construction ➤ Stone Check dam ➤ Construction of water collection trenches ➤ Cutoff drain ➤ Brushwood check dam construction
4	Urban Infrastructure Social and services	<ul style="list-style-type: none"> ➤ Latrine Construction of pit area with (Width 3.70 m*Length 5.50m) at least site size of 10m*10m. ➤ Earth road construction ➤ Earth road maintenance ➤ Community school room maintenance ➤ Health post maintenance ➤ Water line construction

		<ul style="list-style-type: none"> ➤ Small Bridge construction ➤ Simple Shed construction with local materials ➤ Small Store construction with size (built up area) of (Width 4m*Length 7m) at least site size of 10m*10m. ➤ construction of school feeding kitchens and halls ➤ Temporary child care center construction with local materials, like medium size sky tents (movable and where appropriate).
5	Creating Favorable Environment for Urban Agriculture	<ul style="list-style-type: none"> ➤ Rehabilitation of degraded areas ➤ Rehabilitation of gully areas ➤ Filling, Reshaping and Leveling of query site areas that are only suitable for urban agriculture ➤ Cleaning of illegal/temporary non-toxic solid waste dumping areas ➤ Rehabilitation of riverside/ water body areas ➤ Area of land used for bench terrace construction
6	Others	<ul style="list-style-type: none"> ➤ Specific needs of a given community may be considered during the community planning process that is comparable to the above sub projects.

For the purpose of this PIM, a brief description of the above potential PW sub-projects is provided.

Urban non-toxic solid waste and environmental cleaning activities

Cities and towns in Ethiopia are struggling to manage solid wastes, which are often dumped into open areas, and endangering public health. Collecting and cleaning of generated solid wastes in each city is still a serious challenge to people and the environment all over cities and towns in the country. Therefore, the non-toxic solid waste management and environmental cleaning sub component is identified to solve this urban problem particularly affecting the urban poor. The public work beneficiaries who are engaged in the public work sub projects should be trained not to work on Deep-well or underground injection, aqueous organic treatment sites, incinerator activities, landfill and surface, impoundments practices/activities that are the common hazardous wastes which needs special approaches and are not part of this project. A more elaborated description of urban non-toxic solid waste and environmental cleaning guideline is in place to realize these activities. These activities are expected to have significant environmental and human health benefits. Typical non-toxic Solid waste management and environmental cleaning major activities are described in the table above.

Urban Beautification and Greenery activities

Urban Beautification and Greenery Development initiatives are widespread in most recent times. Urban greenery offers an improvement in air, water, and land resources through absorbing pollution agents, harnessing water retention and halting soil erosion. Plantation in urban areas also acts as a wind break and temperature buffers by providing shade in addition to reducing noise and air (CO₂ sequestration) pollution. It also contributes to improved mental and physical health of the population through creating recreational opportunities. In order to contribute to this, UPSNJP is designed to implement urban beautification and greenery subprojects in its operation areas. Unlike rural areas, the issue of implementing public works on private lands is very unlikely to arise. Where this situation arises, public work will be done only if it is in the interest of the community and the sector office with the particular plan. Such investments include in and around communal housing compounds, plaza and festival sites

and others open spaces in order to upgrade environmental, social and economic functions of these urban spaces. Typical Urban beautification and Greenery development major activities are described in the table above.

Urban Integrated Watershed Development

The UPSNJP Integrated Watershed Development activities will focus on biological and physical soil and water conservation activities as well as cleaning of or desilting of non-toxic wastes in waterways. Urban Integrated Watershed Development is a useful tool for dealing with these issues and maintaining sustainable development at the urban micro watershed scale. These activities have environmental functions such as improving land productivity, soil fertility restoration, access to drinking and irrigation water and minimization of runoff and if well managed they can significantly change the hydrology and hydrogeology of the intervened micro catchments. Typical Urban Integrated Watershed Development major activities are described in the table above.

Urban Social Infrastructure and services

Cities and towns are struggling to provide basic infrastructure and services due to rapid urbanization, carried over unplanned settlements and other challenges. This problem is particularly significant in urban slums and crowded areas. If not get right, it is likely that these areas run the risk of becoming unattractive and unhealthy places for the residents and their economic activity. The UPSNJP has come up with a specific subprojects that address some of these challenges through construction of new or rehabilitation of existing social infrastructures in the UPSNJP beneficiary residential areas that improve their access to social services. Therefore, the construction and maintenance works are supposed to be from local material and are applied where appropriate. UPSNJP will be able to contribute to such activities as long as the design reflects that the proposed project will be constructed or rehabilitated using locally available simple materials and through labour intensive methods. However, depending on scope of the project and in a way it suffices other national, social, natural and security conditions, fair and competitive procurement of skilled labour will be applied. For those sub projects where public work beneficiaries are entirely considered as a daily laborer, the overall capital costs will not exceed 29% of the total transfer for PW beneficiaries. However, whenever agreements from both the government and the World Bank side is reached, this percentage of capital cost will not be applicable for those social infrastructures selected by the community and are totally capital intensive. Typical Urban Social Infrastructure and services major activities are described in the table above.

Creating favorable condition for Urban Agriculture:

There is a growing awareness created due to UPSNP intervention made in project cities about the role of urban agriculture in the context of food security and poverty alleviation for urban populations, this also continues in UPSNJP where creating favorable ground for urban agriculture remains as an intervention that needs integration into urban planning. Urban agriculture is indispensable to improve food and nutrition security of the urban poor where project beneficiaries via public works need to prepare the land for urban agricultural works by implementing offices.

The Ethiopian urban poor situation is particularly difficult in the context of volatile food prices and financial, fuel and economic crises, since urban consumers are almost exclusively dependent on food purchases and the urban poor are the most affected. A gap in the availability of lands for agricultural uses has become one of the bottlenecks that constrained the goal of the project. Therefore, integrating the intervention with cities planning, availability of the resource and proven priority of the stakeholder offices for the intervention must be assured ahead of the intervention. The activity of creating favorable

condition for urban agriculture specifically focuses on cleaning and developing degraded and wasted patch of lands in urban residential areas to make it ready for urban agricultural uses. Typical activities on creating favorable condition for Urban Agriculture are described in the table above.

Other Types of PW Sub-Projects

While the activities listed above represent the expected focus of the UPSNJP, other activities reflecting specific needs of a given community can be planned which also needs consideration/acceptance during the community planning process. Such sub projects should be comparable to the above listed activities and follow the labour intensive approach of public work implementation. All of the proposed activities need to fit into the existing urban planning frameworks, avoid duplication with other urban investment projects and need to pass the UPSNJP ESMF screening process.

8.3. Labour Intensity Level and Determination

Effective and sustainable public work can generate temporary employment for the urban poor while also creating access to useful productive assets and services for the community at large. Considering that there is no or little seasonality in employment opportunities in an urban setting, the PW activity is supposed to be implemented throughout the year.

For medium scale projects, that require a range of skilled labour different from the contribution of the semi-skilled in labour intensive sub projects, proper planning is advised and labour intensity should be liable to flexibility, to fit into the sub project scope, with budgetary estimates for the labour versus capital expenditures of the PW. The ratio (71:29), need to be flexible based on the type and nature of the public work sub project. This labour intensity level is expected to be not less than 71 percent of average of all public works sub project costs.

8.4. Assessment of Environmental and Social Impacts

Prior to mobilizing citizens in PWs, all proposed PW activities should be assessed critically for any potential environmental and social negative impacts to mitigate adverse impacts of sub projects activities periodically. The assessment must comply with the guidelines provided in the Environmental and Social Management Framework (ESMF), which is an annex to this PIM.

The environmental and social impact assessment of each type of PW activities should be undertaken in consultation with community leaders and knowledgeable persons such as environmentalists, social worker and public health workers.

Guidance will be provided to communities so that, where possible, they select PWs that improve the productivity of work in the urban environment. Ideally PWs will not only provide desired job opportunities but also generate anticipated community benefits in each target city. Implementation of the PWs will also build basic skills amongst the clients. It should be adapted to local conditions and protect the environment.

The sub projects to be selected are also required to meet the following criteria:

- **Labour intensity:** the sub projects activities must be labor-intensive and use simple tools as much as possible, but the labour intensity will not be an issue for social infrastructures with high demand of capital inputs (cost and skilled labour)
- **Communal benefits:** the sub projects must benefit the community as whole or groups of households within a given area.

- **Community acceptance:** the sub projects must be accepted and approved by the community. They should have active community support and commitment.
- **Feasibility and sustainability:** the sub-projects must be feasible technically, socially, environmentally and economically. They should be simple and manageable in implementation and also in on- going maintenance in order to be sustainable.
- **Productive:** the sub projects should create durable community assets which should contribute to the ULG development and to the reduction of poverty.
- **Proximity:** Public works are provided as much as possible in the immediate localities of the people in need. Similarly the co-responsibilities (soft conditionality's) to which temporary direct support beneficiaries agree shall be based on what service provision is adequately available in the local area.
- **Gender sensitivity:** Priority should be given to sub projects that are assigned to enable women to participate and which contribute to reducing women's regular work burden and increase access to productive assets.

However, the following subprojects will not be admissible as USNJP LIPWs. These include:

- Subprojects that expose women to GBV
- Subprojects that use or encourage child labour
- Subprojects in locations that are ecologically sensitive such as forests, wetlands, and other unique habitats
- Subprojects located within a recognized Cultural heritage site, or World heritage sites
- Subprojects that involve the significant conversion or degradation of critical natural habitats;
- Subprojects that can cause adverse impact on the labors, the community and refugees.

As much as possible ensure that involuntary resettlement and land acquisition is avoided or where it is necessary, minimized, by exploring all viable alternatives. Where involuntary resettlement and land acquisition is unavoidable, resettlement and compensation activities are prepared and implemented by providing sufficient investment resources according to GoE Proclamation and Regulations.

Eligibility for land acquisition/resettlement, loss of assets and/or restrict access to social services:

- PW subprojects involving significant physical relocation of households and involuntary loss of assets, roads, water points or other social services are ineligible and,
- Subprojects involving minimal or insignificant loss of assets or loss of access to assets/roads water points or other social services will be eligible with implementation of the required mitigation/compensation measures as per the RPF procedure.

Moreover, to manage public work occupational health and safety (OHS) related accidents/incidents in PW working areas, prevention measures that includes training of workers and providing them personal protective equipment (PPEs) to be utilized during PW participation will be provisioned. In case of severe workers injury happens, proper mitigation and remedy measure will be implemented as per national legislation.

8.5. Budget/Cost Estimation for Public Works Construction Material and Semi-Skilled/Skilled Labour

Construction material is one of the input for public works and is a major procurable item. Hence, proper material cost estimation is indispensable during public work planning that is based on the current market price and published by the authorized government office. Cities should refer the unit cost of material from their respective Government offices updated and available during the period of planning, a reliable source of cost estimation should be attached along with the capital goods/plan to enable the Federal Project Coordination Office (FPCO) to cross check the cost estimation is based on updated and reliable cost database. In addition, if the public work is of a type that requires the involvement of semi-skilled/skilled labour, the cost estimation for the skilled/semi-skilled labour should also base on recent and reliable cost database from the government office. The format for the cost estimation for construction material and semi-skilled/skilled labour is shown below.

The cost estimation for public work hand tools, safety materials and seedlings/plants shall follow the same format used for construction material with proper modification.

Table 13. Proposed Format to Reach at Material Cost

Proposed Format to Reach at Material Cost						
Type of sub Project	S.No	Required materials	Unit	Quantity	Unit Rate	Cost

Proposed Format to Reach at labour Cost						
Type of sub Project	S.No	Required labour	Type of	Required Number of labour	Unit Rate	Cost

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8.6. Quantity Estimation for Public Work Construction Materials

Construction materials (local and industrial), for any public work sub projects and especially for social infrastructure is derived from the engineering design expressed as a Bill of Quantity (BoQ). The Cities should finalize the engineering design and get approval from the authorized office and based on the final approved design, a takeoff sheet is prepared to find the quantity of material which becomes an input for material cost estimation. The FPCO should support the Cities at all stage of quantity estimation before consolidating the cost of capital goods.

The City Civil Engineers should lead predominately the project engineering design, takeoff preparation, and material quantity estimation and use all the information to properly estimate the material cost.

The approach for quantity estimation for PW hand tools and safety materials should be based on the number of beneficiaries and required person days while the quantity for seedlings/plants should base on the detail area survey/watershed delineation using GIS to find the total area and estimating the need for seedling/plantation per area expressed in suitable unit of measurement.

8.7. Checklist in Public Work Planning

The planning of public works in general should be aligned with the development/structure plan of the City, depending on how the community prioritize projects the proposed list of projects should be screened using the checklist provided in the public work annexes attached with this manual . All the Cities during planning should use the checklist to revise and confirm the proposed lists of projects are well planned and encompasses the basic requirements. This is mainly used to harmonize the Public works sub projects, among other with the environment, social, city development/structure plan and technical requirements.

8.8. Inclusion of Proper Engineering/Technical Design

The planning of public work sub projects should be supported by proper sub projects design, for all the sub projects that require the involvement of skilled/semi-skilled labour will need a technical/engineering design that reflect how the proposed sub project can be constructed/implemented to serve the intended purpose.

Designs are a means to complement for comprehensive planning and are mandatory to prepare and use while planning sub projects, hence the Cities should assign a responsible unit for project technical design, design review and approval while the Federal Project Coordination Office(FPCO) will closely assist and follow on the completeness of the designs to ensure the sub projects are implemented with approved designs as one means to ensure the quality of the sub projects and guarantee sustainability and serviceability.

8.9. Operations and Maintenance Plan

The social infrastructures will improve the living condition and socio economic of the community, in most Cities these assets are not properly and timely maintained due to budget constraint and other issues. These are community assets and there should be a plan to benefit from the assets for a long period while contributing to the socio-economic development and this highly demands consideration of

proper asset management. In UPSNJP, such assets can be maintained using a comprehensive operation and maintenance plan and management plan for urban greenery and beautification activities comprising among other, the owner of the sub project, responsible unit following the functionality of the sub project, the required budget for annual maintenance, type of maintenance, means of maintenance implementation, maintenance implementation schedule, payment procedures and acceptance procedure. Hence the public work planning, should also include the operation and maintenance plan that should be prepared by the responsible unit of the City in collaboration with the planning team. The detail procedure for the planning of the O&M as well as management plan will be included in the public work guideline.

8.10. Public Works Planning and Approval Process

The planning for public works sub projects should generally ensure the following points are well considered:

- a. Community Consultation and sub project identification: The planning should start from the community level and then to City level (typically called bottom-up planning approach). The Kebele or ketene planning unit is responsible to organize consultation meeting with the community using proper invitation notice that can be easily accessible to the community and especially to women informing on the meeting time, agenda and venue and make sure the message is clearly conveyed to the community. Based on the need of the community, the possible type of sub projects will be listed and identified; there should be attendance, pictures/photo and minutes that show how the consultation is made with the community and all these need to be properly recorded and filed.
- b. Prioritization and sub project selection: The planning unit of the Ketena/Kebele will collect/consolidate all the identified possible list of sub projects and discuss with the community to prepare a priority list of sub projects taking in to consideration those sub projects that can address women's problems and improve income earning opportunities of the beneficiaries that will be further validated and endorsed by the general community members including the non-beneficiaries of the project.
- c. Preparation of the Annual Plan: The annual plan should be prepared comprehensively using the format provided in this manual comprising minimum information on the sub project description, planned quantity, person days, estimated cost, and implementation period. The head of the City planning unit should ensure the public works annual plan is prepared based on acceptable quality and reflect the need of the community before approval and incorporating as part of the city safety net annual plan.
- d. Approval of the Annual Plan: The public works annual plan is a major activity of the City that need proper approval and ownership. Hence, it should be approved by the City council.
- e. Public Dissemination of the Annual Plan: The public works annual plan should be posted/circulated for the public to provide full information on the type of sub projects that will be implemented in each part of the City. Such communication invariably helps the beneficiaries to receive support from the public in the course of performing their duties that will facilitate the subproject implementation and ensure sustainability of the sub projects.
- f. Planning Cycle/Calendar: The project also follows the planning cycle of the Government. The public works annual plan should always start in February and goes to June of the preceding year to prepare a plan for the next year, a simplified schedule table is shown below to indicate on the required timeline where all the implementing agencies should follow:

Table 14. Planning Calendar for Public Work

Activity	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
Community Consultation and sub project identification												
Prioritization and sub project selection												
Preparation of the Annual Plan												
Approval of the Annual Plan												
Public Dissemination of the Annual Plan												
Submitting for Regional hub												
Submitting for Federal Project Coordination Office												

Generally, PW planning is an annual engagement that starts at community level. The public work planning process need to be bottom-up with unlimited community participation in the process. According to the same guidance used in UPSNP, here in UPSNJP also Kebele or Ketena is set as a planning unit in all cities. This is meant to ensure the planning exercise it needs to get closer to UPSNJP beneficiaries and other community members to have a say on the process. Moreover, specific Sub Projects are expected to be identified and prioritized by the communities by taking into consideration activities that address women's problems and improve income earning opportunities for the beneficiaries. The government's UPSNJP staff at local level is expected to play facilitation role during such planning exercise. At the end, the proposed community PWs plan is supposed to be validated and endorsed by the general community members including the non-UPSNJP beneficiaries. Minutes of the community participation and attendance need to be taken and properly filed. Public work plans are

approved and endorsed by the different level council offices. Finally the principle of transparency is kept by posting approved public work plan for sub projects associated to their allocated budget. This process is followed every year starting in the month of February and goes hierarchically till the final plan is approved and become ready for implementation in the month of July for the EFY.

CHAPTER 9. PUBLIC WORKS IMPLEMENTATION (PW)

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9.1. Public Works Implementation Procedures

The implementations of public works require the massive involvement of the beneficiaries ensuring the sub projects are labour intensive. The important issues that should be considered in the implementation are:

- a) Awareness to the beneficiaries: The beneficiaries should be oriented to get ample information on the type of sub project, scope of the work, required materials and tools.
- b) Capacity Assessment of Implementers and Facilitators: Capacity assessment for both implementers and facilitators will be identified in order to provide or arrange the necessary training on sub projects implementation, and work forces organization into working 1:5 or 1:30 groups should be accomplished. The essential demonstrated technical trainings are provided in form of ToT for Regional and City level implementers which is latter cascaded up to community levels
- c) Proper site handover to the beneficiaries: the City should check the public work sites are safe for the implementation of the sub projects and will have no right of way problem hindering the implementation, thereby transferring the sites for the beneficiaries timely.
- d) Practical Support and Demonstration: Field level demonstrated technical supports should be provided to the beneficiaries also briefing with starting points of implementation(for sub projects like integrated watershed management where execution starts from top then down) that helps the beneficiaries to easily internalize the orientation and know the plan and execution seasons for each of the sub projects
- e) Timely Material Delivery: All the necessary materials (construction, safety, hand tools etc) should be delivered in required quantity to timely commence the implementation of various sub projects. Before distributing the material for the beneficiaries, the City should check the materials have the required quality and a special quality checking mechanism should be in place for construction materials with proper approach to testify the materials met the required specification standard.
- f) Sub project supervision and management (Sub project follow up): Selected activities/sub projects are implemented based on the preset work norms and person days where facilitators at working sites being with working group leaders, monitor proper implementations based on the standards and norms set for each of the sub projects. Moreover, there should be a robust contract management and project supervision approach for the social infrastructures with a clear plan on how to utilize the budget with the planned time keeping the quality of the sub projects.
- g) Completion and transferring of the sub projects to community: Sub projects should be counterchecked/inspected for proper implementation and amendment works for substandard activities that should be carried out being with all the working groups leaders and facilitators. Once proper amendment is done and the City confirms the completion, it will be transferred to the community for proper use as well as collaborate with the City for timely maintenance.
- h) Proper Operation and Maintenance: Once the sub projects are completed and become operational, there should be a systematic method to manage the facilities during operation as

well as allocate the required maintenance budget in annual plan for regular maintenance to ensure sustainability.

Though the majority of the public work activities are year round activities by their nature, some of the public works like the urban integrated watershed development needs special implementation steps. For such sub projects, the public works before implementation In UPSNJP follow three basic sessions/steps: (1) Preparatory session: in this step the overall awareness on the plan is described for the beneficiaries including (the type of sub project, volume of work to be accomplished for the plan year, inputs, tools and materials required, available labour that participates on the work, seasons in which works are executed, capacity assessment for both implementers and facilitators are identified in order to provide or arrange the necessary training on sub projects implementation, and work forces organization into working 1:5 or 1:30 groups are accomplished. The essential demonstrated technical trainings are provided in form of ToT for regional and city level implementers which is latter cascaded up to community levels. (2) Implementation session: in this session, field level demonstrated technical supports on site selection, starting points of implementation (for integrated watershed development works need to start from top of the watershed and to go gradually into the bottom...) are briefed as an awareness or refreshment on the already provided trainings and according to the plan and execution seasons for each of the sub projects, selected activities are implemented based on the preset work norms and person days where facilitators at working sites being with working group leaders, monitor proper implementations based on the standards and norms set for each of the sub projects. And (3) finalization sessions: in this step counterchecking for proper implementation and amendment works for substandard activities is carried out being with all the working groups leaders and facilitators. Leftover activities are to be carried out for the next plan year or added on top of the upcoming year plans.

9.2. Organization of Public Works

Public works are implemented in accordance with the approved annual plan and throughout the year as long as labour is available. Since all of the public works are assumed to be labour intensive, the capital intensive type of sub projects are not as common as labour intensive sub projects and are usually planned based on agreements made between the World Bank and Government. These type of public works sub project demand the involvement of skilled labour that cannot be ensured with the default approach of planning and implementation and require a different arrangement such as contracting out.

Organization of labour

The project provides temporary employment and help people to link to job-opportunities or income generating activities. The target households acquire skills and confidence that make them employable and also create jobs. They also acquire labour organization/teamwork skills that are useful in future works after PW sub-projects phase out.

Labour organization is necessary for a variety of works or various stages of a given work. The labour can be referred to a broad range of people or groups including:

- Individual or groups of beneficiaries who are living in the areas where project activities are implemented;
- Individual or groups of beneficiaries with skilled and unskilled labour
- Organized MSEs and entrepreneurs
- Small-scale artisans and other local or small commercial organizations.

The aforementioned projects are prioritized to satisfy the social, economic and environmental objectives of the community in terms of income and employment generation, as well as improvements in infrastructure and services. Thus, as the projects are labour intensive and use local know-how and material, defining the labour organization and associated rules is an essential requirement.

Key Points Concerning Labour Organization:

The following key points should be taken into account while organizing labour for the project activities:

- Laborers are organized in work teams and work is assigned to teams as well as to individuals.
- A work team is usually comprised of men and women members **no less than 1:5 and no more than 1:30**. Work is generally assigned to work teams but there are also cases when individuals are responsible for a piece of work. There may be only one work team at a public works site, or – for larger projects – several teams may be involved, but each team will be allocated the work it is expected to complete.
- Teams can be formed by grouping selected clients who reside in the same neighborhood, are from nearby villages or are close relatives. This helps to ensure cooperation within teams, such as covering each other's tasks willingly when some are unable to attend, monitoring each other's attendance, and ensuring that each other arrive at work on time.
- Team formation is done by the site supervisor, foremen/women or relevant city office in close consultation with the cabinet. Each work team should have a fairly balanced composition taking into account gender, age, skill ability and strength.
- Team leaders communicate to their members the time and location of the public works activities, and are responsible for sharing of the work within the team. Team composition and the assigning of teams to different public works project should take into consideration the need to allocate light works to women.
- Teams elect their own team leaders; the implementing agency facilitate for the appointment of site men and supervisors and, where necessary for a large project, foremen/women.
- Labour rules applied; the implementing agency fixes the number of hours to be worked such that 5 hours in cool areas and 4 hours in hot areas.
- Orientation on the fundamental principles of public works, cooperation, participation, and safety precautions should be given to all public work laborers before starting work and a first aid kit made available to each public works site.
- Disciplinary problems are dealt within teams, wherever possible.
- The Community Job Creation and Food Security Task Force (CJCFSTF) should periodically monitor the project activities to ensure that they are undertaken as prioritized by the community.
- Any concerns or problems noted should be raised in the first instance with the Woreda/Kebele Job Creation and Food Security Task Force (W/KJCFSTF) or the city line offices.

Criteria for Working Team Formation

- Prior training on project/sub-component activity
- Orientation on the fundamental principles of the project, cooperation, participation, and precautions should be given to all project laborers before starting work.
- Teams can be formed by grouping selected beneficiaries who reside in the same neighborhoods, are from nearby villages or are close relatives, or on the basis of traditional groupings. A work team is usually comprised of men and women members by 1 to 5 and 1 to 30.

- Each work team should have a fairly balanced composition taking into account gender, age, skill ability and strength. Women can be part of mixed teams or form their own teams. They can also be team leaders.
- Supervision and Technical Support in the team formation

Eligibility for Public Works:

- Only able-bodied adult household members within the category of chronic food insecure of target households are eligible to work at public works sites. The Public work clients are targeted using a community and proxy means of targeting mechanism process. Ketena Targeting Committees rank and select proposed beneficiaries. The following household members are not considered as able-bodied household members and are therefore **NOT** eligible to participate in public works:
- Children (under the age of 18)
- Elderly (over 60 years old)
- Physically or mentally challenged
- People who are eligible for temporary direct support i.e. pregnant and lactating women, primary caregivers of children under five who are moderate or severely malnourished, as identified by health extension workers.
- Other people who are temporarily unable to work because they are sick (including severely malnourished)

9.3. Public Works Supervision/Follow up

The implementing agencies especially JOBFA is the Agency that reviews and consolidates the public works project with a clear understanding on the type, complexity, nature and scale of projects in all the Cities. All the Cities are expected to execute the projects based on national standards, locally available testing procedures and statement of works (specifications), however it is expected that the FPCO and Regional hubs should have a supervising role in selected or all types of public works projects to ensure the projects are done in a holistic approach within the agreed budget, time and stipulated specification. A supervision checklist is provided in annex as a means to guarantee the quality of project to ensure best value of the investment.

9.4. Public Works Progress Reporting

Projects need a regular follow up mainly on how the parties(client, public work beneficiaries, semi-skilled labour, contractors) is performing within the required project period and allocated budget as cost and time are the primary influencing factors in project implementation. Thus, in UPSNJP Public works database should be properly documented and further the progress of the projects should be timely tracked and reported. The Cities, Regional hubs and FPCO should ensure regular quarterly public works report is compiled and reported at the end of each quarter based on the format provided below

Ministry of Urban Development and Construction

Urban Job Creation and Food Security Agency

Urban Productive Safety Net and Jobs Project (UPSNJP)

Public Works Progress Report

Reporting Quarter:

Name of the City:

S.No	Activity	No of participants	Unit	Work norm	Annual Plan	Total PD	Activity in this Quarter			Activity up to this Quarter			Project Activity Cumulative		
							Plan	Actual	%	Plan	Actual	%	Plan	Actual	%

• Prepared by:

Checked by:

Approved by:

The quarterly report also covers the actual number of beneficiaries involved in the public works and those who received the direct support, namely the public work beneficiaries and direct support beneficiaries. The following format is used to compile and report the number of beneficiaries along with the public work quarterly report

S/N	Activity	Unit	Annual plan	Achievement in this quarter			Achievement up to this quarter			Cumulative Achievement of the project			Remark
				Plan	Actual	%	Plan	Actual	%	Plan	Actual	%	
	Beneficiaries												
1.1	Targeted Beneficiaries of safety net projects (numbers) total	No of kebeles											
		Male											
		Female											
		Total											
1.1.1	Public work beneficiaries	Male											
		Female											
		Total											
1.1.2	Direct support beneficiaries	Male											
		Female											
		Total											

Prepared by:

Checked by:

Approved by:

9.5. Implementation of Mitigation Measures Identified during ESMF Screening

Sub-project construction should follow the agreed design prepared during the planning. If during Environmental and Social Management Framework (ESMF) screening, the need for mitigating measures were identified, these should be implemented during sub-project implementation. The responsible designates a person who is responsible for ensuring the mitigation measures are effectively implemented as specified before, during and after construction. The cities/ municipalities designate a staff member to inspect and oversee the implementation of mitigating measures. They will make site visits to relevant public works sub-projects during and on completion of sub-projects as required.

Each type of the proposed public work activities should be periodically assessed for any potential environmental and social negative impacts. The environmental and social impact assessment is undertaken in consultation with community leaders and knowledgeable persons such as environmentalists, social and public health workers. The selected public work activities implementation project should be feasible and adapt to local conditions in order to protect the living environment. Hence, as per requisite of project implementation, no Public work sub- projects implemented without undergoing Environmental and Social Management Framework (ESMF) screening. Thus, each and every subprojects planned must be screened by ESMF during every year of Public work plan period.

Procedures and Steps for environmental and social management:

It should be taken steps and procedures of environmental and social management to ensure that environmental and social impacts are adequately addressed over the project implementation period;

The UPSNJP highlights the proposed project planning and focus on ensuring the implementation of project activities are environmental friendly and socially acceptable with no harm principle through applying best practices and sound mitigation measures;

- The proposed projects has various activities that might require full ESIA/PESIA and RAP based on the Ethiopian Environmental legislation and should avoid sensitive areas and take steps to ensure Environmental protection;
- The Ethiopian environmental regulations require an environmental and social impact assessment to be undertaken for each site in consultation with the community, including appropriate review and clearance by the regional EFCCBs;
- The screening procedures (Schedule 1, 2, and 3) and implementation of environmental and Social management planning for each site and city will be verified through the REFCBs;
- Placement of environmental & social experts (Focal persons) in each UPSNJP city office and provide environmental & social capacity building to the staff including logistics;
- Preparation of appropriate and quality safeguards instruments based on the ESMSG and RSG (like Full ESIA, Partial ESIA and RAP);
- Environmental protection Authorities should critically review and approve screening reports and mitigation plans (RAPs, ESIAs);
- Timely implementation of safeguards instruments and regular monitoring;
- Take action on feedback provided by regional environment authority team/ Environment ^[1]SEP and Social audit / and document the progress;
- ES audits should be conducted by independent and qualified consultants to avoid potential conflict of interest and to improve quality of the audits;
- Strengthen the regular monitoring and reporting on environment and social safeguards;
- Address safeguards related grievances timely.

9.6. Labour Rules

The project defines the rules with respect to labor organization in general, and disciplinary measures in particular. In consultation with the Federal and Regional project implementation entities, cities/municipalities may amend these rules from time to time, as necessary depending on the existing circumstances.

The Regional Bureaus and regional hubs guide and monitor the system of labor organization in project activities, and ensure a consistent overall approach while allowing for local flexibility across cities and woredas/kebele. The FUJCFs Agency establishes:

- The number of hours to be worked per day and per week; and
- The overall organization structure (organogram) and number of foreman/women and other supervisors required.
- Working hours depend on local conditions. (5 hours in cool areas and 4 hours in hot areas)
- Work can be undertaken on a shift basis within a day (one set of workers in the morning, another in the afternoon) depending on the need of beneficiaries.

Before work commences, the implementing agency and the laborers, or representatives of the work teams in the presence of the representatives of the woreda/kebele task force agree on:

- The actual hours of work (hours of starting and ending work each day) provided that it doesn't exceed 5 hours in cool areas and 4 hours in hot areas;
- The number of days needed to complete a project, and the public and local holidays to be observed (except for special functions, such as guarding);
- Frequency of payment; and
- Other practical aspects related to labour organization such as how to address absences due to illness or other family emergencies).
- Clients willing and able to work but due to illness or any other issue beyond their control, couldn't work for a maximum of one-month will receive transfers upon verification (medical certificate). However they should make up the work the next month.
- If a client is absent from public works for consecutive 3 up to 6 months within a year without providing verifiable evidence will be excluded from the project.
- In a household if the able bodied individual is unwilling or unable to work due to chronic illness the case is investigated and the client can be transitioned into conditional transfer. However, if clients can show a medical verification that they are ill they will get a leave from public works for the days indicated on the medical document.
- Within a household if a husband and wife or mother and son or brother and sister is able bodied and the males are engaged in other income generating activity and the women were covering the household's public works requirement; and during this time becomes pregnant; the woman and the dependents she is covering for will be exempted but the man will have to cover his share of the public works.
- Mothers with severely malnourished or sick children are exempted from public works and will transition to temporary unconditional transfer until the child recovers; provided that they present a verification from a health facility. If there is another able bodied member in the household he/she will work his/her share of the public works.

- Clients who are resettled to another UPSNJP woreda due to development projects will have their budgets moved to the new woreda. However if they have resettled in a woreda where there is no UPSNJP they will be part of the project in a nearby woreda where the project is being implemented.

9.7. Working hours and discipline

Attendance of beneficiaries will be taken twice before starting and after completion of the day's work. Copies of the attendance records will be forwarded to the supervisor. The attendance of the participants should be strictly checked by the assigned officers and supervisors. If participants arrive for work but are prevented from working by factors outside their control (e.g. delays in the delivery of required public work materials) participants should receive 100% of the transfer for that day and do not have to work for it.

Disciplinary problems will be solved within the work team or unit as much as possible. The existing disciplinary body of the responsible office, in consultation with the concerned institutions, approves disciplinary measures including dismissals.

In the case when exceptional circumstances (ill health of the public works participant or other emergency) happen, the payment for beneficiaries should be handled according to rigorous and valid verification process from the responsible office.

9.8. Training for PW beneficiaries

PW beneficiaries will receive a training session every month on Essential Family Practices, and on Behavioral Nudges. This training will be imparted during working hours.

9.9. Transition to Temporary Direct Support status (TDS)

In order to link the clients to social services and to take special consideration for, identification of special need eligible clients are important. The special need PWs clients are:-

- Pregnant women
- Lactating mothers with a child under one year old
- PW clients suffering from severe malnutrition

Team composition and the assigning of teams to different public works project should take into consideration the need to allocate light works to women. When allocating tasks between team members, the team leader is expected to ensure that lighter works are allocated to women. The definition of light works can vary according to context – for example the watering of seedlings may be a 'light work' in some areas, but in others may involve the walking of unacceptably long distances to reach a water source.

Special focus should be given to facilitate continuous breastfeeding by women who have children below one year old and who perform public works and to assign them very light tasks because of the high-energy demands of breast feeding.

9.10. Childcare for children age 1 to 5 (pilot)

To promote women's economic empowerment, including for women with young children, child care will be designed and tested in collaboration with World Bank, UNICEF and other local and international NGO.

The UPSNJP provides an excellent opportunity to work with the younger children (ages 1-5) of public work beneficiaries in a stimulating environment led by parents. Mobile and community based childcare for children ages 1 to 5 at public work places - designed and tested in the current project - will be expanded. UNICEF has developed childcare center operating guidelines to pilot community-based centers for UPSNP beneficiaries. In addition, World Bank in will also pilot play based childcare centers in Addis Ababa by building on existing childcare establishments that have been initiated by government.

The childcare would be organized and provided by participating mothers with training and guidance from a consulting firm (technical assistance), and it would focus on a fun, safe and stimulating environment for children during parents' working hours. it will engage pre-school children of UPSNJP beneficiaries in play – based learning thereby promoting early childhood development. The importance of parenting and early stimulation for young children will be communicated to all public work participants during regular training sessions.

9.11. Attendance and payments

Annual Update of Payroll and Attendance Software System (UPASS)

At the start of each financial year, the final list of enrolled public works clients is entered into the UPASS software. Use of payment software – UPASS – is mandatory in all UPSNJP cities. Once the city has the software installed and has received the required training they will be expected to make use of the software to generate payrolls. In case when the UPASS malfunction, city office of finance in coordination with the office of UJCFS will contact the IT Helpdesks at the regional level for assistance. However, payments to clients should not be delayed if these problems persist. In this case, attendance sheets and payrolls can be prepared in Excel for the month in which payments are effected. The problem with the UPASS should be rectified prior to the following month's payment and any data entered into the excel sheet should be uploaded into UPASS.

Setting of Wage/Payment Rate

- The wage rate is reviewed on an annual basis and adjustments made depending on food price situation over the past three years.
- The current daily rate is determined by taking into account the previous wage rates, market wage rate for similar or comparable unskilled labour, the availability of individuals to undertake their co-responsibilities, and market prices of basic food commodities.
- Accordingly, the daily payment rate of Birr 90 per day is set for the first year of implementation of the UPSNJP.

Attendance Sheet Preparation

The attendance sheet for each public works project is collected by the responsible site managers and submitted to the CJCSTF for each month. These are approved by the CJCSTF and submitted to the municipalities. This attendance sheet is submitted alongside any notifications of household members

transitioning to temporary direct support. At the same time, the CJCFSTF informs communities that the attendance sheets have been submitted for processing and that payments should be expected within 10 days.

Table 15: Payroll Preparation and Verification

Attendance and direct support entitlement recorded in UPASS	<p>The municipalities enter the data on attendance into the attendance sheet of UPASS. If problems with the attendance sheet are noted, requests clarification from the CJCFSTF.</p> <p>The municipalities also records/confirm the entitlement for any temporary direct support transfers on the basis of information received from the site managers on household members who are eligible for temporary direct support.</p>
Payroll Preparation	Towards the end of each month, cities office of finance, in discussion with the municipalities generates the monthly payroll using the UPASS software. This payroll takes into account any lapses in attendance at public works and deducts payments accordingly (no payment is deducted for lapses in attendance of health sessions by temporary direct support clients).
Scheduling of Transfers	City office of finance then communicates with the bank to effect the payment into clients bank accounts..

Once payments have been completed, the bank and City Finance officer reconcile documents.

Payments to beneficiaries

- Transfers are made evenly throughout the year on monthly basis after completing public works. Wages are paid to client bank accounts opened in the nearest Commercial Bank of Ethiopia (CBE) within 15 days after the end of each month.
- Participation in the public works is designed to ensure it does not result in unnecessarily high levels of opportunity costs (foregone income opportunities from other sources). Specifically, the following measures are taken:
- Individuals work in public works up to a cap of 48 days per household member (48x4=192 days) in the first year and for the sake of responding to questions raised by beneficiaries related to keeping sustainable rate of working days the second round is supposed to be similar unto the first round which is 192 (48x4=192 days) and dropping in the third year to 24 days per household member which is (24x4=96 days) for up to 4 persons per household.
- The daily conditional payment rate will be *set lower than the conventional average wage rate* received for unskilled work in the project area. This encourages targeted households to pursue other work first and take public works option as the last resort,
- The livelihoods grant provided through the livelihoods component will match any amount saved from labour intensive PW payments encouraging individuals to use labour intensive PW to increase, not replace, income.

Table 16. Number of PW working days

Minimum Household size	First year eligible annual working days	Second year eligible annual working days	Third year eligible annual working days
1	48	48	24
2	96	96	48
3	144	144	72
4	192	192	96

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9.12. Roles and Responsibilities in PW Implementation

Federal urban job creation & food security agency and FPCO

- Supports Regional Public works Focal Units (Public work FU) and awareness-creation; [L] [SEP]
- Ensure the public work planning is based on realistic cost estimation in relation to construction material. Labour (skilled and semi-skilled), hand tools and safety materials.
- Ensure the public works are aligned with the structural plan of the City with no right of way problem
- Compile quarterly progress report for public works disaggregated by City showing the status of each sub project for each City
- Regularly supervise the progress of projects on site and provide a comprehensive written feedback to the Cities and ensure there is proper documentation on project/contract management
- Review the engineering designs and provide design input to public works and in particular to the social infrastructure to ensure serviceability and sustainability and follow up until official approval of the engineering designs
- Review and comment on the annual PW review and consolidate an action plan to address the findings from the annual PW review report
- Prepare proper PW guidelines and other PW activity, planning and follow up checklists
- Oversees and supports M&E of Public works, including the conduct of Public works [L] [SEP] Reviews and Impact Assessments; [L] [SEP]
- Ensures satisfactory implementation of the Environmental and social management frame work and review of Environmental and social management frame work design as required; [L] [SEP]
- Capacity building for Public work s, including development of appropriate training materials and conduct of capacity needs analysis; [L] [SEP]
- Provide technical support and quality assurance to Public

Regional Hubs

- | |
|--|
| works as required, concerning planning, design, operations and maintenance to ensure sustainable Public works, [SEP] |
| <ul style="list-style-type: none"> • Oversees and supports the integration of other relevant sectors into the planning, design and implementation of Public works; [SEP] • M&E of Public works; [SEP] |
| <ul style="list-style-type: none"> • Supports city Public works Focal Units (Public work FU) and awareness-creation; • Ensure the public work planning is based on realistic cost estimation in relation to construction material. Labour (skilled and semi-skilled), hand tools and safety materials. • Ensure the public works are aligned with the structural plan of the City with no right of way problem • Compile quarterly progress report for public works and send it timely each quarter to FPCO not later than a week after the end of each quarter. • Regularly supervise the progress of projects on site and provide a comprehensive written feedback to the Cities and ensure there is proper documentation on project/contract management • Review the engineering designs and provide design input to public works and in particular to the social infrastructure to ensure service ability and sustainability and follow up until official approval of the engineering designs • Oversees and supports M&E of Public works, including the conduct of Public works [SEP] Reviews and Impact Assessments; • Ensures satisfactory implementation of the Environmental and social management frame work and review of Environmental and social management frame work design as required; • Capacity building in the area of Public work s, including development of appropriate training materials and conduct of capacity needs analysis; • Provide technical support and quality assurance to Public works as required, concerning planning, design, operations and maintenance to ensure sustainable Public works, • Oversees and supports the integration of other relevant sectors in the region into the planning, design and implementation of Public works; • Conduct M&E of Public works; • Facilitate the coordination with the Cities during the public works review • Follow up action is taken on the findings of the public works review report • Check, review and confirm the annual public work plan is |

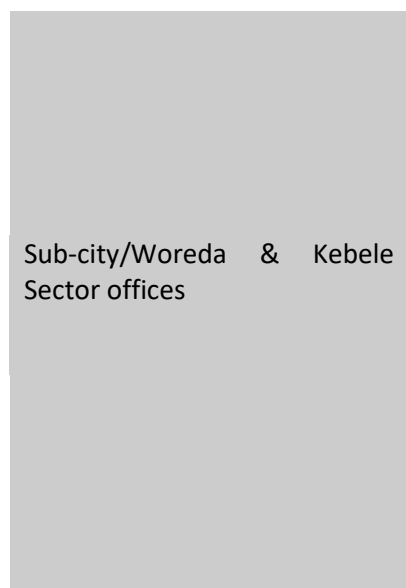


- prepared with acceptable standard and format
- Periodically conduct site supervision to the various public work sites in all the Cities to ensure the quality of the sub projects



Public work technical
committee at all levels

- Review and assess the plans performance and progress of public works towards the achievement of agreed bench marks;
- Make decision on strategic issues affecting public works implementation
- Discuss strategic issues arising from the implementation of public works which affect the broader UPSNJP and develop recommendations;
- Promote linkages with other public works-related project and organizations as appropriate,
- Review standards, quality and compliance of public works with agreed norms, and identify the need for technical assistance;
- The Federal public work technique committee shall be chaired by the general director of Urban job creation and food security Agency
- The city level public work technique committee shall be chaired by the head of Job creation and Food Security office
- The public work technical committee members shall be organized from line offices that are engaged in municipal activities and other offices as necessary or required



Sub-city/Woreda & Kebele
Sector offices

- Consolidates plans of the public work technical committee Task Force for incorporation in the Sub-city/Woreda, kebele UPSNJP plans
- Incorporates Public work activities in their yearly project/action-plans,
- Prepares activity implementation plans and request budget for implementation
- Implements Public work activities at kebele and community levels
- Provides technical assistance and training to technical personnel and staff
- Undertakes project screening in accordance with the ESMF.
- Conducts monitoring and evaluation of activities in collaboration with other relevant stakeholders
- Prepares monthly, quarterly, six month and annual progress and financial reports

	<ul style="list-style-type: none"> •
Community Level	<ul style="list-style-type: none"> • Mobilizes the community for participatory public works planning; • Monitors and evaluate the implementation of public works; •
	<ul style="list-style-type: none"> •
Site Manager	<ul style="list-style-type: none"> • Supervise and provide technical and managerial guidance to the team leaders and the foreman/woman involved in the project. • Ensure the satisfactory completion of works according to the work plan and approve the outputs of each team and the payment of laborers. • Issue warnings to laborers reported for discipline problems, • Informing the relevant woreda sector office, and refer serious cases to the Kebele Council/Cabinet or KFSTF. • Perform other tasks given to him by the woreda sector office • Prepare a monthly progress report for all planned PW activities based on format provided from the FPCO •
	<ul style="list-style-type: none"> •
Supervisor	<ul style="list-style-type: none"> • Make periodic (at least weekly) visits to all work sites, and can be assigned to more than one project. • Be responsible for the overall technical, administrative and managerial performance of the project(s) and provide guidance to the site manager and other on-site staff. • Identify issues related to implementation of the gender and social development provisions and suggest corrective actions where needed. •

CHAPTER 10. LIVELIHOOD DEVELOPMENT (LD)

10.1. Objective and Target Beneficiaries

The Livelihood Development component of the UPSNJP aims at facilitating the graduation of Public Works beneficiaries from the program and moving out of poverty. It provides beneficiaries with support for business development and livelihood grants through technical and financial assistance, and behavior change activities.

All PW beneficiary households are eligible for benefits under the Livelihood Development.

The head of the household is the direct beneficiary of the activities and benefits of the LD subprogram – however, households may nominate another member to be the direct beneficiary.

In certain cases, PDS beneficiary households may also participate in the LD subprogram. PDS households are not eligible under the PW program because none of its member has the capacity to perform the type of physical work that is required for PW. Factors range from age, physical or mental health limitations or chronic illness. However, a PDS household member may have the potential to develop a business and, following an assessment by MOLSA, may be eligible to participate on the LD program. In this case, receiving the Livelihood grant will be exclusive of continuing receiving the PDS benefits, conditional to participation to necessary trainings, and WOLSA making the linkages to the job agencies.

10.2. Guiding Principles of Livelihoods Services

The Livelihood Component enables beneficiaries to self-target in self-employment or wage employment opportunities, thereby engaging in transformational businesses or acquiring employable skills for employment. The LD component is guided by the following principles that implementers at all levels and beneficiaries must be aware of:

- ***Demand-driven***: The interest and demand from the household determines the type of self-employment or wage employment. Ensure livelihood activities people centered and selected through a participatory process, involving all household members. Ideas and aspirations/visions of the households and selected livelihood beneficiaries need to put forward and linked to livelihood strategies/opportunities, avoiding the imposition of packages on households to enhance innovations and increase the options.
- ***Individual and tailored support***: Under this component there is no requirement for group-based businesses. Individuals chose to engage in self-employment (e.g. starting small business) or wage employment (e.g. acquire driving skills to work for a company). They get support whichever they chose to do. While running self-business, formation of groups may be formed for the purpose of (i) training individuals engaged in similar livelihood businesses for cost effectiveness; (ii) sharing cost for work premises; and (iii) diversifying market functions (e.g. input sourcing, output marketing).
- ***Simple and client-friendly*** business plans and job search plans will be developed by the client with support from the OSS, private sector and other concerned bodies.
- ***Flexibility***: Although self-employment and wage employment are two pathways, they may not be mutually exclusive. A client who received training in self-employment pathway (e.g. woodwork or metalwork) may opt for wage employment with an existing business rather than set up own firm. On the contrary, a client who obtained a driving licence may opt to join a group operating taxi business rather than be employed as a driver for an organization. Thus, the training should be

designed in a way that training participants have sufficient knowledge in both hard skill and soft skills (business development).

- **Gender and youth-focused and climate *smart sensitive*:** The Government of Ethiopia prioritizes job creation for women and youth and activities should be climate smart sensitive through MSEs with broad participation of women and Youth. In pursuit of this, the livelihood support services have to give emphasis on targeting women and youth for both self-employment and wage employment. Self-employment initiatives have minimal negative effect on the environment; and promote positive gender and social values.
- ***Strong focus on learning and knowledge management*:** The livelihood support services are very dynamic and context specific, requiring a proof of success. As such, the support services should recognize the significance of documenting learning and Knowledge in order to be solution-oriented and be flexible enough to adopt innovative ideas, approaches and adaptive interventions to cope up with evolving/unpredictable risks and challenges. .

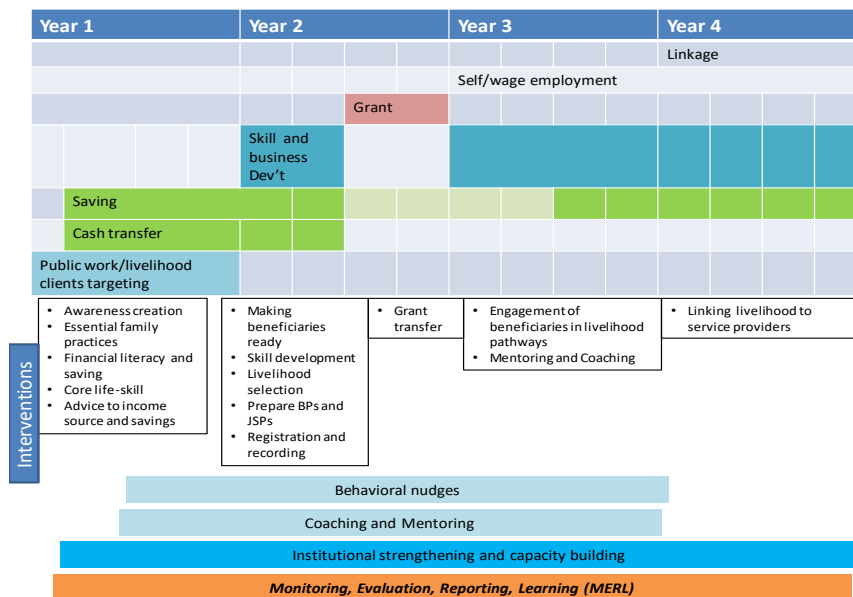
10.3. Overview of LD key interventions

The livelihood support services cover the main events that enable livelihood clients make choices between the two main livelihood pathways – self-employment and wage employment. Inspired by the graduation approach, the livelihood support services are targeted to individuals in poor households with a combination of cash transfer, awareness creation, saving, skill training, livelihoods grant, mentoring and coaching, and linkages, which are implemented in a sequenced manner to help households eventually develop the confidence and the skill that would enable them to engage in new livelihoods activities: start new business, wage employment, or expand and develop existing businesses or skills.

Beneficiaries are supported for four years, with each year focusing on support services and interventions that are planned to accomplish interlinked and complementary support services that lead to subsequent support services. Once the support services (saving, skill development, business plans prepared) are completed and beneficiaries are ready, they will get a once of livelihoods grant, together with their saving, for business startup/wage employment. The mentoring and coaching activities and linkages/complementary support will start immediately, giving beneficiaries enough time for engaging in livelihood pathways and to interact with fellow beneficiaries and with OSSCs staff after the end of the public works period.

In year 1, all beneficiaries are familiarized with PW routine and the livelihood pathways opportunities and types, open bank accounts, initiating savings and get group sessions on essential family practices, saving and financial literacy and core life skill training. In year 2, Beneficiaries receive more structured business and technical skills training, engage in business planning, and receive a grant. In year 3, they engage in the livelihood pathway of their choice, continue to engage in group session. In year 4, they receive support and linkages to other services, such as loan, market information support to enhance the sustainability of their livelihoods. Behavioral nudges and mentoring and coaching are expected to be implemented across the years. The details of training, behavioral nudge and coaching activities for each year will be further developed, added annexed to this manual.

Figure 4 Sequence of key LD interventions



It is generally expected that comprehensive training curriculum would be developed, with the support of service providers', and a training of trainer (ToT) will be delivered to city officials. It is assumed that cities would collaborate with private service providers or NGOs as situations permit to deliver the training. Federal and regional Livelihood Coordination Unit should ensure that training materials and trainers are ready at different levels. OSSCs and Woreda offices should ensure that livelihood clients have gone through life skills, business skills and pathway specific skill training.

Each year cities/trainers at different levels should prepare a comprehensive training plan. Here are some key points that the training plan should cover:

- Training targets and coverage,
- Implementation processes,
- Training delivery modalities/ mechanisms
- Duration of training
- Budgeting
- Follow-up and monitoring mechanisms
- The budget for skill training, mentoring and coaching is 100 USD for a household. The budget will be released 2 times 50% in the first year and the remaining 50% in the second year.

10.4. Year 1: Livelihoods Service Interventions

Public work beneficiary households and/or members of the households are eligible for livelihood support services, with a view that the public work transfers will lay foundation for livelihood support services. Participation in public works, financial literacy and saving, core life skills, behavioral nudges are primary livelihood support elements to kick off the implementation of the livelihood component. Training materials will be developed in the form of modules; and beneficiaries will receive 2-3 hours per month (12 sessions in a year) taking messages from the different module.

Table 1: Livelihoods trainings -year 1

Training Modules	Monthly sessions for 2-3 hours-12 sessions will be designed from a combination of the following				
	Awareness creation and capacity enhancement	Financial literacy + saving	Essential family Practices and behavioural nudges	Core Life skills	
Objective	Sensitization and understanding on UPSNJP and livelihood development; rights and obligation; enhance capacity to see, observe and expand opportunities	Financial Inclusion	Addressing family practices and behavioral issues limitations	To further help address psycho-social barriers faced by beneficiaries, a weeklong half day training)	
Content and delivery	Coaches communicate using client appropriate communication materials. Coaches help beneficiaries to exchange ideas/experiences on how to continue diversifying income source-not depend only on safety net	Coaches support beneficiaries to open Bank Account, start saving, manage income	EFP: citizen rights, hygiene, nutrition, family planning... BN: motivation/aspiration, ownership... Using posters/videos and role models and coaches motivate beneficiaries to improve their livelihoods	Self-confidence, respecting others, personal responsibility, positive attitude, self-motivation, conflict management, cooperation etc	
Sessions					
No hours needed	2-3hrs	4 hrs	2-3hrs	4 hrs	
No of session	1	1X	1X	1X	

/month					
Total Sessions/year		4-5 days		7-10 days	
Mentors and Coaches	Trained OSS/ government staff or other service providers/NGOs, and elected community social workers				
Delivery method	Group session at PWs site for awareness, behavioural nudges and family practice. for financial literacy and core life skill at appropriate training centre				

6.4.1 Module 1-Awareness creation

Beneficiaries will receive short awareness sessions/orientations (2-3 hours on a monthly basis) and through distribution of leaflets to create common understanding on the objective of the UPSNJP, the rights and obligation of beneficiaries, program parameters livelihood interventions and services; financial literacy to help them manage the money they receive from PW and approach PW in a professional manner. Communication material and mentoring manual needs to be developed to support such processes. Beneficiaries will be encouraging to start saving voluntarily preferably a fixed amount (agreed by beneficiaries) each month. Beneficiaries will be asked to give their consent for the saving, by filing a form; and they open bank accounts so that transfers are made directly to their bank accounts, enhancing financial inclusion.

6.4.2 Module 2-Financial Literacy

This session also should include the introduction of public works beneficiaries.

One key characteristic of cash is that it is fungible. That means, it can easily be expended or spent unwisely, depending on the characteristics of the households/individuals, including life skills. Therefore, financial literacy will help clients to improve their know-how on financial management and saving benefits; and raising working culture and motivation for self-development. OSSCs will ensure that the clients have taken financial literacy and life skill training of the right content and duration.

Key messages of the financial literacy are:

- The clients are aware that saving is important, and they are advised to save 20% of the grants on voluntary basis
- Saving should be part of their budget plan (not money left over)
- They should not spend beyond what they budgeted for. They should keep track of spending.
- They should plan for unexpected spending needs
- They should make adjustments during spending.
- Get the family to participate in developing and sticking with the budget.
- When investing money in business, consider what to do if the investment fails.

6.4.3 Module 3: Essential family practices and behavioural nudges

Beneficiaries will receive training in essential family practices (2-3 hours on a monthly basis) and through distribution of leaflets and posters. Essential family practices include topics such as (hygiene, nutrition, family planning, early childhood development, parenting, issues brought up by beneficiaries), etc. There should be monthly training 2-3 hours sessions (12 sessions in year 1), which would be led by the PW supervisor during working hours.

Module 4- Behavioural Nudges/ Lifes skills training

The behavioural nudges and life skill training will address behavioural limitations such as Uncertainty or lack of confidence and self-affirmation using role models others like them who have succeeded in life? They will be coached with self-affirmation and ownership and other appropriate LifeSkill messages. This

10.5. Year 2: livelihoods interventions

The focuses of the year 2 implementation are:

(i) to continue with the monthly Life Skill /behavioural nudges session to be provided at the PWs site for max 2 hours each month. The messages for this session will be developed as a continuation of modules in year 1.

(ii) provide a focused 7-10 days, half day sessions on business and employability skills training including business plan preparation. These sessions are provided in rooms or shelters that will have a better training environment than PWs sites. Business plan templates are filled while beneficiaries are in training.

(iii) identify beneficiaries that might benefit from a harder technical skill such as woodwork, metal work etc and initiate referral and linkages to the TVET training opportunities.

(iv) Disburse livelihoods grant for both self-employment and wage employment.

Table 2: Livelihoods trainings in year 2

	Modules		
	Business and employability skills training	Business plan and job search plan preparation	Technical skill referral and linkages
Objective	<ul style="list-style-type: none"> -To further develop business and income diversification skill (weeklong half day training) -To further develop Employability skill (week long half day training) 	Beneficiaries are assessed in BP preparation and in their job search plan as part of the business skill training (2-3) hours	To enhance opportunities for technical skill-for those grade 8+ education background
Content and delivery	<ul style="list-style-type: none"> -Business and employability skills, including market assessment skill, pathway selection, business, preparation of business plan/job search plan, planning, budgeting, financial management, coping with failure etc -Job search skill, interview skill, image and appearance etc 	Beneficiaries are assisted to - available options, value chains and market opportunities and assisted to develop a short one pager BP.	Technical skill (e.g., maintenance of appliances, woodwork and metal work, sewing, food preparation and packaging etc
Sessions			

Sessions/day	4 hrs	4hrs	4-6hrs
Sessions/ week	2X	2X	5X
Duration of training	5-7 days	2 days	1-3 months

6.5.1 Step 1: Making livelihood beneficiaries ready for business and employability skill training

At this stage, clients have better understanding of financial management and livelihood opportunities; and they have already chosen the pathways that fit their interest and capacity. OSSCs and woreda staff should make sure that households are ready for:

Reconfirmation of livelihoods beneficiary: It is generally assumed that the household head whose name is registered in the UPASS and owns the account for receiving the cash transfer on behalf of the family would be the beneficiaries of the livelihoods grant. In a situation where a household opts to nominate a household member (female or male) who have the *interest* and *ability* to lead the household livelihood activity. The nomination should be based on *consensuses* to avoid conflicts in the future. The OSSs should not influence family choices in the nomination process. Those families whose livelihoods beneficiary member are current UPASS account owner are not required filling a reconfirmation form. Once this confirmation is completed the list/ the name of livelihoods beneficiary is posted in public places. Any grievances and complaints are presented to the kebele grievance redress committee.

This step should not be mistaken for targeting. The household is already targeted and enrolled in the program. Here are some key points that the household should consider when nominating its representative.

- i) *Consultation:* the household should discuss decide who can lead the livelihood pathways from within the household.
- ii) *Equal opportunity for men and women members of the household.* There should be no bias or favouritism. Both men and women members should be given equal chance of leading the pathway.
- iii) *Free of any form of addiction* (drinking, smoking, drug): the household member to be selected should be free of any form of addiction (minor or major)
- iv) *Proven good character:* the household member to be chosen should be of good character respected by the household as well as community.
- v) *Residence:* he or she should be resident in the same house as the other members. If the individual gets wage-employment outside the city or sub-city and forced to move out, he or she should be committed to continue to support the household.
- vi) *Literate (read, write and do basic arithmetic) this is optional.* It is helpful if the nominated household member could read and write at least Amharic language or the local languages where the program is implemented.

6.5.2 Step 2: Monthly Life skill and behavioural nudges training (Module 4)

Continue with monthly 2-3-hour life skill training and behavioural nudges at the PWs site for 12 months incorporating the following key areas. Core life skill trainings that are provided in year one can be repeated as adult training requires a lot of repetition and reminder.

Beneficiaries will be exposed to a sequence of facilitated training. This training will support livelihoods clients with techniques on how to overcome so-called intention behaviour gaps. Several studies show that individual behaviour plays a great role for success in life. People engaging in job search or self-employment activities must overcome a variety of psychological and behavioural challenges. Choosing the right livelihood support services: help beneficiaries re-think and re-evaluate to choose the right livelihood pathways and help them make an informed decision about the type of livelihood support services to receive and to determine what gaps they need to fill to be able to run the livelihood pathways of their choice.

Follow through with livelihood support services: Prompt beneficiaries to benefit from the knowledge and skill focused non-monetary livelihood support services before they receive livelihood grant and after they receive grants (business start-up and institutional support for linkage with service providers: public, private sector and NGOs).

6.5.3 Step 3. Delivery of Business skill and Employability skill development Module 5)

A maximum of 5-7 days for pathway specific basic skill training will be provided. These can be conducted as 4 hours per days for 5-7 days. These training days will be accounted for participation in the public works. The basic skill trainings will be delivered by a trained facilitator and when applicable private training providers will be contracted to deliver with close collaboration with the OSSCs. Pathway specific training depending on whether individuals would want to do small own account business or get wage employment. Pathway specific skill training will be given in parallel with life skill training or after life skill training are delivered. Pathways specific skill trainings are sets of abilities and capacities that help livelihood clients run their livelihoods) for self-employment

Skills for self-employment-potential entrepreneurs	Skills for Job (wage employment) seekers
<ul style="list-style-type: none"> • Business plan development • Personal leadership • Management skills • Risk-taking • Coping with failure • Marketing skills • Financial management • Entrepreneurship skill 	<ul style="list-style-type: none"> • Planning and organizational skills (including time and financial management) • Job-searching skills • CV and cover letter writing • Skills or Interview skills Image/appearance

More detail on the implementation of the basic skill training and delivery method will be developed and incorporated to this manual.

6.5.4 Step 4. Pathway selection

It is expected that livelihood beneficiaries will get sufficient information on livelihood opportunities and pathways options prior to participating in skill training. In each UPSNP operational area, it is expected that there will be some level of assessment of the livelihood opportunities, including mapping and reviewing of existing livelihood practices and complementary initiatives, to understand and identify the livelihood opportunities and options that can absorb the livelihood beneficiaries. Implementation of livelihood support requires compliance with the Urban Job Creation and Food Security strategies and program, environmental, cultural, social issues, and other matters arising from adherence to these shall be resolved before projects activities will be executed.

After a completion of the business skill training a half-day day will be dedicated for sharing of the livelihood opportunities and pathway selection, aiming at helping beneficiaries expose with the livelihood opportunities know their interests and the areas of supports. The OSSCs and woreda staff together with trainers of the life skill training will facilitate the session.

- **Inform** the client on the *opportunities* and *challenges* of engaging in self-employment and wage employment in the specific locality.
- **Support** client households to choose any economic activity they are interest in and have the ability to engage in, regardless of whether or not a package for this activity exists.
- **Use** flow charts to guide client households to select pathways (an example is given in chart 1, below. OSSC can improve/customize on this flow chart)
- **Give** beneficiaries a template (post it note) to gather a list of business areas chosen
- **Record** the selected pathways on a simple form. The form should include the name and unique ID of the household member nominated and the selected pathway (wage- or self-employment).
- **Indicate** if the pathway is new or a continuation/expansion of an existing livelihoods activity. **Share potential value chains** and employment opportunities to assist beneficiaries in the thinking process. **Inform the kind of input** (financial and technical) that is available to them through the program
- **Give a minimum cost estimate** of some business areas to beneficiaries to help them in costing/budgeting.

The beneficiaries will have better understanding of the opportunities and difference between the two pathways and advantages and disadvantages. Then, livelihood clients will choose between *self-employment* or *wage-employment* pathways. Clients will set their mind with the selected livelihood pathways, thereby enhancing the training interactions and preparation of the business plans.

6.5.5 Step 5. Livelihood clients prepare business plans

Right after the completion of selection pathways, 1 day is will be dedicated for preparing the business plan. The OSSCs and woreda staff together with trainers of business skill training will facilitate the business plan preparation. The OSSCs, together with the training providers, develops simple formats for business plan development and assist beneficiaries to fill these formats. Individuals are assisted to understand the needs and the requirements of the chosen field to make an informed decision; including where and how they can get additional technical skills they may need to succeed in their chosen project. Beneficiaries can also include in their plan on how to get additional skill or resource to succeed. Beneficiaries need to be informed that parts or their entire grant can be used to gain critical technical skills and a certificate such as driving license, wood or metal work, hairdressing etc.

Livelihood pathways (e.g. income generating activities)	IGA participants
<ul style="list-style-type: none"> ☛ the sole and unique choice of beneficiaries ☛ economic activities that generate income ☛ projects and activities that can be implemented at individual level, by households with limited educational background and business skill. ☛ very small in scale (even smaller than what is conventionally understood as SMEs) 	<ul style="list-style-type: none"> ☛ are usually seen as less experienced and risk averse to engage in projects that require large investment capital and/or loans. ☛ Should not

<ul style="list-style-type: none"> ☛ implemented by individual households mostly on their own premises. ☛ successful if based on value chains that the individuals are familiar with and comfortable to try on (if these are new areas) ☛ supported with technical input from OSSCs to answer the following questions: <ul style="list-style-type: none"> ○ are the IGAs technically feasible to be produced by the individual, on his/her premises and in the geographic area? ○ is the market for the product/service? ○ can it be implemented with available resources (owned by the client plus that can be provided by the project)? 	<p>be motivated/encouraged by loan offices and others to take up MFI loans in addition to their livelihoods grant (unless beneficiaries demonstrate full understanding on the benefits and risks of taking loans).</p> <p>☛ must not be unduly influenced in the choice of their IGAs.</p>
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The OSSCs, in collaboration with woreda expert should do preliminary/quick screen of project ideas before they proceed to full scale business plan preparation and discard or remove IGA ideas that (i) have little chance of success based on understanding of the economic and social environment; (ii) cannot be resourced with the available (individual +project+ government already identified additional input) financing; (iii) are not suitable for the household, such as those that require high technology and infrastructure and/or space, no market the product/service; and (iv) its implementation results in strong negative impact on the environment and communities living around the project; a cost effective mitigation measures cannot be included.

Job Search Plan for wage employment pathway

Clients who choose the wage-employment pathway do not need to prepare a business plan. However, they are required to come up with a job search plan that explains how they will try to obtain a job. There is not blueprint for a JSP. The content depends on the situation. Broadly, OSSCs and woreda offices ensure that the plan should include:

- a list of employers/firms where the person intends to apply,
- a list of trainings that the client should increase his/her employability (and the cost), and
- the amount of a weekly or monthly stipend the person would need to sustain himself/herself during job search.
- **Clear objectives:** the type of job the beneficiary is interested in.
- **Specific timeframe** (for instance, I want to obtain a job within the next 2 months).
- **Education and skills** profile of the client
- **Immediate and future training needs of the client** to increase his/her chances of getting the job they want job. This can include both technical and “soft” skills. Resume writing and interview skills are particularly valuable here.
- **Job information:** specify how the beneficiary plans to get information on available jobs (e.g. jobs boards, newspapers, one-stop-shops, existing networks of family and friends).
- **Target employers:** list the employers/firms/enterprises that the beneficiary intends to contact to get a job. They are free to target other potential employers than the ones that are on the list.

- **Target salary:** state how much s/he would like to earn per month (In Ethiopian Birr). It is important here to be realistic, reflecting average wage in urban areas.
- **Financing requirements:** specify how much money the beneficiary needs to finance the job search, including the cost of the trainings the beneficiary intends to do, the cost of transport (to go to job interviews) and subsistence while the job search is going on. Transport and subsistence costs should be specified on a weekly basis.

The OSSCs and other implementing partners should ensure that clients are aware that wage employment may be permanent or contract employment with private or public institution; reflects the client's interest and ability to engage; job secured through competitive process such as interview or written examination; and will receive technical support from OSSCs to prepare for interviews and written examinations.

They should help the client looking for a job develops the following attributes:

Attributes	Description
<ul style="list-style-type: none"> • Confident 	Suppose you visit a potential employer and say "I want a job" or "I have a skill to sell". These two statements are both valid but demonstrate a different attitude. If you go to a potential employer and say "I want a job", he or she is likely to say "we advertise on XYZ newspaper and please follow it". If you go and say you have certain skills, the employer is likely to say "Okay! Let's talk". In job search it is important to develop the confidence.
<ul style="list-style-type: none"> • Networker 	Jobs do not come to you. You have to go to them. Attending relevant gatherings and becoming member of relevant associations. This may just open doors. Use appropriate opportunity to introduce yourself and make sure what you say relates to the objective of the event. In gatherings expect people come to you and also you go to them. these conversations
<ul style="list-style-type: none"> • Volunteer 	Engage in voluntary work. You may not get paid but you learn skills and you also meet people
<ul style="list-style-type: none"> • Preparedness 	It is not uncommon for potential employers to say "can you send your CV?" Which is a better answer: "I have one here" or "Okay I will send next week". Both are correct. If you have you it ready, you give it. The employer may still say you bring it to the office. The fact of the matter is you were ready.
<ul style="list-style-type: none"> • Never give up! 	When you are looking for a job systematically as presented in this guide, you are not paid but you are 'working' and learning. If a given JSP fails, do not give up. Learn from that and develop a better JSP.

6.5.6 Step 6: Registration and Recording

Once the BP and JSP are completed, the OSSs will capture the data in excel sheet. A copy of this data should be sent to the sub city (in the case of Addis Ababa) to the City in the case of the other cities within one week of completion.

6.5.7 Grant Transfer to Livelihood Clients (Year 2)

Once beneficiaries have gone through the necessary life skill trainings and have identified the pathways through the business planning process, assisted by the training provider and the OSSs, a grant amount equivalent of \$600 will be released to their individual bank account at the end of the second year/beginning of the third year.

The requirements for grant disbursement are (1) the completion of Life Skill/business skill trainings and (2) preparation of the business plan.

The registration and recording of the business plan and job search plan in excel sheet confirmed by OSSC and submitted to cities will be the basis for grant disbursement; no other approval process is required to disburse the grant.

The grant will be transferred to the Public Works bank account which is held by the head of the household. The maximum amount of the grant is set at USD 600.00 (six hundred US Dollars only) per client. Disbursement for self and wage employment will be done on a lump-sum basis. The money should be transferred in full if the skill training is given in full (e.g., learning to driver)

Grant transfer management

Separate bank account will not be opened for the livelihoods support component. The same bank account as the Public Works will be used. In most cases, the household member nominated to lead the livelihoods activity will not be the head of the household (the bank account holder). In these cases, it is important for the OSSCs to follow up whether the livelihoods beneficiary is able to access the funds transferred to the account. If for some family reasons, the household head refuses to give the required resources to the pathway leader, then this must be reported to the woreda and Sub-city Urban Job Creation and Food Security Office immediately.

The OSSCs must also be aware of and respond to changes in household circumstances once after the household is identified as a beneficiary of the livelihood component. The key message is the OSSCs at grassroots should monitor situations and report the changes immediately to the higher-level office. And use the registration Formats to monitor changes.

The changes to household circumstances will be addressed using the following grievance redressing mechanisms: Households who encounter changes in circumstances submit their cases to the grievance redress committees, which ensure that complaints received promptly reviewed in order to address grant-related concerns.

The main changes in household circumstances and possible solutions include, but not limited to:

Changes in household circumstances	Possible solutions
Divorce and separation	In the situation when one of the spouses is the account holding beneficiary of the livelihood and separation occurs due to divorce, the couple should choose one of the family members whom they trust and delegate to hold the account and serve the separated couples and other family members as it is agreed up on. If the couple do not have beneficiary family member or could not agree up on delegating one

	among the family members for some reasons the case should be decided at city MCC level taking the situation of the family and level of responsibility to the rest of the family members in to consideration.
Death of an able-bodied person in the household (fund holder)	If the beneficiary for some seasons leaves the family or dies, the family members ought to sit together and select one of the family members and submit confirmation letter signed by the whole beneficiary family members to the Woreda OSSC office. Woreda OSSC office verifies and sends the application to sub-city/City Job Creation and Food Security Office for authorization. The Sub-City/City Office sends the letter of authorization of the new select beneficiaries to the commercial bank for the change of account and the account holder. The substitute needs to undergo through trainings and sequential steps required to be eligible for the livelihood grant. Otherwise, no grant transfer if the substitute does not have sufficient time for the different trainings since the objective of the grant is to support the business.
Change in residence of the pathway leader	Provide clearance letter, stating relevant information, to the new relevant institutions so that the livelihood beneficiary get the livelihood support in the new residence.
Conflict over the resource	No grant transfer until the conflicts resolved and they reach agreement.

10.6. Year 3: Business Start-up and Wage Employment

The grants together with saving will form seed money for beneficiaries to start self-employment (small business activities or wage employment (get technical skill training such as driving license, hair dressing, tailoring etc.) Beneficiaries run their livelihood pathways, with a minimum support in the form of mentoring and coaching, and in process they are expected to get linked to and benefit public and private service providers, thereby engaging in sustainable livelihood pathways.

The support service aims to assist to overcome the challenges of new business. Beneficiaries are group based on type of business; coaches help on early implementation challenges, such as sourcing materials, markets, information etc.

The support service also should include a behavioral nudge to ensure beneficiaries stay on business plan.

Beneficiaries are expected to receive training, in combination with mentoring and coaching, by allocating 1-2hrs, on budgeting. This will help beneficiaries plan ahead of time how they will allocate their business grant and savings between household and business expenses. Planning ahead will make them more likely to stick to the desired allocation and prevent them from spending their money on non-business related needs.

10.7. Mentoring and Coaching (Year 1-4)

This is an ongoing activity. Mentoring and coaching should be gender sensitive and consider the experiences/capacities of the livelihoods. Close mentoring and guidance will be provided by OSSCs via:

Individual persons, with experiences: OSSCs and other implementing partners should identify clients that have some experience of running a business or employed before. Some of these may be used as mentors and coaches. The person providing mentoring or coaching is experienced in the business area. It is an advantage if the person is qualified in the field of mentoring/coaching

Group consultation: It is chosen for ease of outreach as there are large numbers of livelihoods beneficiaries, while the number of OSSCs staff is limited. One stop shop will organize beneficiaries into group of 12-20 people based on interest, and the group will meet once in two weeks for 1-2 hours with or without staff of OSSCs staff to discuss on the progresses they have made in the business and wage employment, to get guidance on their challenges and share experiences. The public works requirement will reduce during this period and beneficiaries are encouraged to focus on their new business and in making the new business work. Group consultation dates are counted as public works activities and beneficiaries shall get the full payment of daily wage for that day. This group consultation and mentoring is hoped to help beneficiaries develop trust among each other and eventually transition to self-help group and/or saving group, which might help them to expand their successful businesses into SMEs. It is expected that self-employment pathway beneficiaries will largely be start-ups with household enterprises of a very small scale and will need handholding to ensure they can cope with start-up challenges, such as skill, market and finance.

10.8. Graduation (End of Year 3)

Livelihood development implementing partners should have a clear understanding of the graduation concept and process. The UPSJNP adopted a three-phase integrated support pathway designed to provide income support and increase self- or wage employability.

There are no benchmarks for UPSNP graduation. It is just an exit from the program after the beneficiaries have gone the full course of the program (public work transfers, saving, livelihood training, business plan, and grant). However, conditions and indicators, as part of the regular monitoring could be set to guide OSS and other operators.

10.9. Linkage with Public and Private Service Providers (Year 3 and 4)

Experiences in a number of countries show that livelihood programs improve household livelihoods and resilience to shocks if the beneficiaries get a continued institutional support. It is assumed that beneficiaries will get linked to public and private service providers, especially for accessing affordable financial services, access to work premises, market information, additional loan etc. Linking the beneficiaries with public and private services prepares them for upward success. Those who engaged income generating activities will improve their livelihoods and move to sustainable livelihood pathways. Those who engaged in business enterprises will increase their capacity in terms of use of inputs and technologies.

10.10. Roles and responsibilities in LD implementation

The Livelihood Component PIM defines roles and responsibilities of key stakeholders at federal, regional, zone, woreda, and kebele levels.

One Stop Service Centers (OSSCs)

An office where a client (self-employed or wage employed) gets the various services that he or she needs under one roof. It avoids the need for the client to go from office to office or even from one institution to another.

The responsibilities of OSSC are to:

- *Conduct awareness training and mentoring and coaching* Beneficiaries and stakeholders need to be oriented such as on the objectives of the program; targeting criteria and methods; grant modalities, schedule and size; available skill trainings; savings; program activities and how they are planned; roles and responsibilities of stakeholders including the responsibilities of program beneficiaries; graduation and its procedures; the existence of mechanisms for grievance redress and how to make use of them.
- *Register livelihoods beneficiaries:* It is conducted twice a year¹⁴ and includes unemployed graduates of universities, TVETs, and dropouts.
- *Facilitate skill training:* Skill training will be designed to provide skills to the unskilled urban poor as well as to upgrade their existing skills. The program will provide for skill training of the urban poor to enable them setting up self-employment ventures and build competency for salaried jobs in the private and government sectors..
- *Familiarize* clients with OSSC service standards so that clients can demand their rights. The key messages of the OSSC service standard developed by the Job Creation and Food Security Agency should be posted at the entry of the OSS for clients to view them.
- Enable linkages with other available services

The OSSCs should NOT: Engage in activities that may lead to conflict with its main mission of helping UPSNP clients. Conflict of interest may arise for example, if the OSS is engaged in for example, legalization, grouping, and taxation issues. These are the responsibility of the trade and industry, revenue and cooperative promotion offices.

The Livelihood Technical Committee members:

Since the volumes of activities are times beyond the capacity of any one agency, it requires the involvement/mobilization of different sectors.

Ministry of Labor and Social Affairs at Federal, City and Woreda levels

The Ministry and its organs at all levels are responsible for developing policies and strategies on labor and social issues and follow up implementation of same. More specifically, the labor and social affairs will:

- a. Conduct labor market survey that will inform self-employment and wage employment opportunities
- b. Lead the development of the unified single registry system
- c. Collaborate with JOBFA on matters relating to self-employment and wage employment opportunities.

¹⁴ *Hamle* 01 to *Nehassie* 30 in Ethiopian calendar.

Urban Job Creation and Food Security Agency

JOBFSA offers overall direction, periodic recommendations, hold quarterly meetings on urban safety net program including urban livelihood component, perform annual review of the program achievements and performance, and assess its execution. More specifically, it

- a. Prepares strategic documents, supportive packages, and training manuals and provide training of trainers on UPSNP/livelihood component
- b. Supports and follow up targeting mechanisms to ensure the marginalized are not left behind
- c. Facilitates the coordination of tasks from federal up to kebele level and organize implementers and stakeholders for the livelihood tasks
- d. Produces and disseminate domestic and international best practices on livelihood improvements,
- e. Enhances community participation in the livelihood planning, implementation and evaluation processes,
- f. Creates strong linkages with stakeholders concerned with urban livelihoods,
- g. Oversees the implementation and challenges of programs and projects,
- h. Ensures implementation of the Environment and Social Management Framework,
- i. Supports cities to conduct effective and transparent targeting process for entry and exit from the program
- j. Reports the performance of the program to the Ministry of Urban Development and Housing.

City Level Offices

The UPSNP is primarily implemented by cities and towns. The Livelihood Component PIM gives due attention to the roles and responsibilities of city level implementing agencies including Urban Development Office, City level UJCFS office, and City level Labor and Social Affairs. The PIM also specifies that these offices are supported by the City Steering Committee, the CJCFSSTF and specialized Technical Committees. In the case of Addis Ababa, Sub-City level offices approve plans and the appropriate office at City level approving the release of grants.

Woreda/ketena/Community Level Implementing Agencies:

At Woreda/kebele level the council and technical committee from each responsible office in line with regional structure will be established and chaired by Administrators and Job creation and Food Security offices will serve as Secretary. The Job Creation and Food Security Council at relevant levels are responsible for the allocation of resources to concerned body to execute livelihood program.

NGOS, private sectors, Public and Private TVETs

The Livelihood Component builds the capacity of clients with knowledge, skill and change in attitudes mainly through training. The early stages of this capacity building (Phase I in this manual) are expected to take place in by staff at woreda and sub city level and OSS. The latter stage (Phase II) is primarily implemented by, NGOs, private entities, TVETs (private or public) based on competitive bidding. These institutions are therefore the prime institution for implementing the UPSNP. In addition to training, these institutions may also be called up on to support the BP/JSP preparation process or mentoring and coaching or referral and linkage services.

CHAPTER 11. PERMANENT DIRECT SUPPORT (PDS)

The Permanent Direct Support (PDS) programme intends to meet the need of chronically food insecure, labour constrained, vulnerable and those citizens who do not have reliable access to direct support and basic social services. These include elderly, people with disabilities, child-headed households and people with chronic illness.

The programme aims to ensure the food security of the neediest and vulnerable urban dwellers that cannot work and fulfil their basic needs. PDS clients have access to a comprehensive support that include (i) permanent direct support transfers (ii) psychosocial support service, guidance and counselling , (iii) Linkage to available basic social services and Case Management.

The targeting of PDS households is made through the same targeting process as for the PW households, and is described in the Chapter 7 “Targeting and Enrolment of Beneficiaries (PW and PDS)”. In Chapter 7 are also described the procedures to ensure that a regular update on household composition (deaths, births, etc) is conducted regularly by social workers; as well as procedures for exit and replacement of PDS beneficiary households.

11.1. Level of Benefits and Payment Modality

PDS beneficiary households will receive Birr 315 per person per month and a maximum of four family members are eligible. In other words, a family of 4 people will receive Birr 1260 ($315 \times 4 = 1260$ Birr) per month. In accordance with the UPSNJP Financing Agreement, the level of benefits will be adjusted twice a year (in July and January) to reflect increases in prices.

Transfers are made evenly throughout the year on monthly basis. The transfer is made to the client bank accounts opened in the nearest Commercial Bank of Ethiopia (CBE) within 5 days after the end of each month.

11.2. Linking Clients to Available Basic Services

PDS beneficiary households will be linked to available basic services, including, Education and Health care services with supplementary food and Shelter, disability services, legal and transportation services. Linking and referring PDS clients to available basic social services will be done through case management. Case management rules and procedures are the “Comprehensive National Case Management Guideline for PSMNP Clients and Other Vulnerable Groups” (December 2019).

Social Workers are responsible for coordinating, overseeing and supporting case management and other related activities in their respective Woreda/Kebeles.

11.3. Case Management Service for PDS Clients

This service shall be provided based on the Comprehensive National Case Management Guideline and its formats, processes and procedures.

Step 1: Social workers will collect data on permanent DS households and temporary DS beneficiaries

After the beneficiaries are identified by the KTC and approved by the DSTCC, the WoLSA social workers collect and take over all information on permanent DS households through the help of KTC/CCC/CBSPC.

If it is available additional information shall be gathered on all DS households from the family folders available at the health centres. In case no household folder is available, the social worker is responsible for creating a family folder for the respective permanent DS household or temporary DS client.

WoLSA transfers the data collected from the households and health centres to their own data bank. The city level OLSA data bank has a template for the information of each permanent DS household which named as Household Profile.

Step 2: With the supports and supervision of WoLSAs, social workers shall develop a linkage plan based on the data collected and assessment report they developed. And, they shall also transfer the data to the city level OLSA data bank which has a template for the information of each permanent DS household with the name “Household Profile”.

Step 3: Based on the linkage plan, social workers, in collaboration with OLSA/KTC/CCC/CBSPCs, shall link PDS/TDS clients with appropriate available social services; conduct follow ups to ensure that clients get the services they are referred to. Detailmanuals and toolkits shall be developed by MoLSA and rollout and capacity building activities shall be carried out accordingly.

Step 4: Social worker with CCC/CBSPC will conduct regular monitoring and review(including case closure).

11.4. Role of Social Workers

Targeting and Enrolment

- Establish and Strengthen the Community/Ketena/Keble targeting committees
- Create common understanding of program goals for the targeting committee and the community
- Oversight and support the targeting Committees to ensure the implementation of program principles
- Ensure that candidates for permanent Direct support transfers provide verification of age (above 60 years for elders and below 18 years for children) or of their disability or chronic illness
- Update registered households and members list on regular basis (death, internal migration etc)
- Issue DS client ID cards and ensure appropriateness of ID card (Name sex date of birth, photograph, signature, or fingerprint (if unable to write)
- Link Id card to management Information System (Paper based or Electronic MIS)
- Ensure client charter of rights and responsibilities are well articulated in the card.
- Sensitize PDS and TDS clients with the Charter (PDS clients include the elderly, persons with disability and the urban destitute who may not be able to read and write)

Payment

- Monthly verify PDS clients data for payment process
- Liaison with the appropriate organ (Bureau of finance, Commercial Bank, Cashiers) to ensure it is ready to make PDs Clients payments on time.
- Ensure PDS clients obtain information on the amount and timing of payments well in advance as per the client charter.

- Make sure PDS client payments are not linked to completion of public works; separate payroll should be prepared.
- Facilitate accessible payment mechanisms for PDs clients who can't collect their money due to mobility constrained.

Data Management

- Organize disaggregated data of PDs clients on the basis of age ,sex, disability, Chronic illness etc on a data sheet and TDs clients data (Pregnant and lactating women, malnourished children)
- Organize a data of basic service providers in a certain area
- Prepare a data base/data bank that clearly shows the data of PDs clients, TDs clients and Basic service providers
- Articulate the data on paper based or electronic based MIS and Regularly update the data based on findings from Household visit
- Ensure the confidentiality of Clients data

Linkage to Available Basic Services and Case Management

- Prepare need assessment data sheet and assess the needs of PDs clients in the area
- Mapping the available service provider and their potential
- Bridging the need assessment findings and the available services
- Prioritize clients to link them with the available resource and list out clear intervention based on their need and the service available
- Prepare a separate profile with a unique Id for each client
- Linking clients with available Basic services
- Advocate the Community and CCC for additional resources mobilization for Bridging the gap
- Link the remaining clients with additionally mobilized resources
- Strongly follow and Document the progress, challenges and best practices in each profile of the client

Psycho-Social Support

- Clearly introducing government staff to the client and actively listening the client's case
- Using different communication methods to extract comprehensive information and Demonstrate caring Skill in the face of the client
- Developing step by step counselling plan specific to the case and intervene based on the plan
- Strongly follow and Document the progress, challenges and best practices in each profile of the client.
-

Monitoring and follow-up

- Follow up availability of reliable information on enrolment, timeliness of payments, adequacy and Monitor regular update of clients disaggregated data
- Monitor the standard of the service provided by the service providers
- Follow up the success of Case management and Psycho-Social Support services

- Ensure Timely comprehensive reporting (on monthly, quarterly, bi-annually and annually)

CHAPTER 12. URBAN DESTITUTE SUPPORT (UDS)

Services are provided to a number of urban poor groups with certain characteristics (“Urban Destitute”) under the UDS subprogram.

Detailed guidelines on the implementation of these services are found in a separate manual called “Implementation guidelines for service delivery to the urban destitute (version dated June 2020). It is also accompanied by a document describing “Norms and Standards for Organizations Providing Services to Children in Street Situations” (dated June 2020), also an annex to this manual.

The services are provided through NGOs, contracted by MoLSA/BoLSA/BoF according to a set of criteria. MoLSA will also contract a management firm to assist in the planning, implementation Monitoring and evaluation, contract management and system development of UDS service provision.

12.1. Objective and Target Groups

The objective of the UDS is to improve the socio-economic conditions of the urban destitute and to facilitate their reintegration through the delivery of basic social and livelihood services. The services target four main groups:(i) street children, (ii) homeless women with children, (iii) homeless adults (ages 18-59), and (iv) homeless elderly people (60+). Living in the street and homelessness are the common features of these groups.

As the beneficiaries of these various groups are not homogenous, the service requirements for the service providers would be also different for each group. A range of services standards have been developed by the MoLSA to guide the work of the NGOS and the service they provide, such as on shelter, clothing, food, psychosocial support, reintegration/ family reunification support, livelihoods support etc;

These standards are described in four TORs:

- Terms of Reference For Services Procurement for Elderly People;
- Term of Reference For Services Procurement for Homeless Adults;
- Term of Reference For Services Procurement for Homeless Women With Children;
- Term of Reference For Services Procurement for Street Children.

These TOR are attached in annex.

12.2. Outreach and identification of UDS beneficiaries

Service providers are responsible for the identification and selection of beneficiaries belonging to the four target groups. A technical committee (TC) comprised from BoLSA, BoWCYA, Police, religious authorities and other concerned stakeholders have an oversight and control the identification and selection process. BoLSA is responsible for organizing and facilitating the TC committee. The existing 11 cities will have a 40% quota and the new 11 cities will have a 60 % quota from the overall 22,000 given to UD in the new Project (UPSNJP)

It is generally assumed that destitute (those who live and work on the streets) don’t stay in one location for long and are mobile. However, there are often some locations where large number of destitute prefer to stay. Therefore, the identification would start by locating these hotspot areas.

Street outreach is to be carried out by service providers, with a team comprised of social workers and psychologists. In the outreach process, potential beneficiaries would be familiarized with the types of services provided and possible alternative to life on the street. It is assumed that it takes some effort and time to get the level of trust that is necessary to move to the next step, which is to get the consent of the individuals to move to a temporary shelter. Outreach staff would be made to understand the importance of street life and peer relationships. Outreach activities would be designed to respect the people, spaces, schedule and activities that are part of their daily life on the streets.

Registration and entry protocols will be designed. Registration is voluntary and made with the full consent of the beneficiary. Once, convinced and that they would like to move to shelters, the beneficiaries, will sign a consent form and enrol in the project. BoLSA in collaboration with the TC will play a pivotal oversight role in the enrolment process.

12.3. Type and Duration of Support

Services provided for urban destitute shall include, but are not limited to, the following:

- Outreach services to destitute in the street.
- Temporary shelter, full time, i.e., with sleeping facilities.
- Temporary home services such as lockers, meals, etc.
- Health and hygiene services (showers, toilets, basic health care, etc.)
- Entertainments like Sport, cultural, artistic and play activities.
- Life skills training in areas such as health, hygiene, sexual and reproductive health, communications, budgeting, gender, etc.
- Educational and vocational training services (for children aged 14 and above, youth & adults, Homeless women with children);
- Counselling services /social and psychological support.
- Family reunification, educational and economic integration and support, including through facilitating wage or self- employment, cash or in-kind support, to improve the economic stability of families and children's access to health and education.
- Post integration monitoring and tracer studies
- All clients have the right to be safe and protected from any kind of abuse and risk during their stay in the temporary shelter and Service providers are fully responsible to create safe and client friendly environment to protect them from any harm and abuse.

Duration of stay in temporary shelters ranges from 3 months to 6 months for physical, social and psychological rehabilitation. Rehabilitation will be followed by project supported social, economic or educational reintegration into the society. Follow up needs to be done after Reintegration in every month up to the project period to ensure sustainability of the reintegration.

Service providers will establish a case file for each beneficiary and BoLSAs will check that case files as part of their supervisory responsibilities. This can be done during the periodic visits to service providers, by checking the dates on various documents and, when warranted and tactfully, asking beneficiaries about their activities during the past few days and comparing their responses with records in their case file. When data in the case files is made available for research or statistical purposes, beneficiary names shall be withheld. Case files are closed when the beneficiary leaves the centre; closed case files must be kept by service providers for five years.

12.4. Cost per Client and Payment Modality

Indicative Cost per Client

Payments per child, adult, women with children, elders will be determined by market and indicative assessments will be made every other year before new contracts are signed.

Homeless and people living in the street clients who are “urban destitute” receive transfers that are significantly higher than for other categories of urban poor. The following is the indicative level of benefits for UDS clients for the year 2020/2021 (this will be revised every two years):

- Street child: 2,065 Birr
- Woman with one child: 2,800 Birr
- Woman with two children 3,800 Birr
- Woman with three children: 4,800 Birr
- Young and adult: 2,800 Birr
- Elderly: 2,205 Birr.

The additional support in the temporary centres is used to meet the specific need of street children, homeless adults, and homeless women with children, and homeless Elders. These beneficiaries will be supported through providing health care, housing, rehabilitation, reunification and reintegration through service Provider.

Service Provider Payment Modality

Payments shall be made according to the following Phases:

- **Phase One (First tranche):** service providers will receive the first payment upon submission of a three-month detailed physical and financial plan to City BoLSA. The plan will have to indicate the number of beneficiaries to be served during the first quarter as well as the expenditures required to be able to serve them. City BoLSA will have one week to either approve the plan or request clarifications/changes (for this reason, service providers would do well to seek City BoLSA’s opinion before formally submitting the plan)
- **Phase Two (Subsequent tranches):** Service providers will receive the subsequent quarterly payments upon submission and approval of an implementation progress report (and a financial report (duly documented) of the past quarter as well as an expenditure forecast for the following quarter. City BoLSA must approve the technical report and BoFED must approve the financial report.
- **Phase Three (Rehabilitation grants):** Individual rehabilitation grants shall only be released when case management and reintegration plans have been prepared by service providers and approved by City BoLSA. Depending upon the reintegration plan, A onetime grant for reintegration in kind will be released. In some cases with strong justification and discussion with BoLSA and BoFED service providers will release the grant in cash. Duration of stay in temporary shelters is ranges from 3 to 6 months for physical, social and psychological rehabilitation as well as life skills and technical training. Clients reintegrated after 3 months will receive a one-time in-kind grant calculated on the basis of transfer per client times 15 months. Clients reintegrated after 4 months will receive a one-time in-kind grant calculated on the basis of transfer per client times 14 months. Clients reintegrated after 5 months will receive a one-time in-kind grant calculated on the basis of transfer per client times 13

months. On other hand, Clients reintegrated after 6 months will receive a one time in kind grant calculated on the basis of transfer per client time's 12 months. Service providers shall submit their reintegration plan to BoLSA before a month to facilitate the grant process.

In some cases, as an exit strategy, clients may be transferred from service providers, which have a temporary shelter to another service provider that owns permanent centre. In such cases, the grant is transferred to the new service provider through the service provider that has signed an agreement with MoLSA. In the meantime, the two service providers should come up with a clear agreement in close consultation with BoLSA and BoF. The service provider that has signed an agreement with MoLSA is responsible for physical and financial reporting for the entire project period (18 months). The agreement that will be signed between the two service providers should clearly show how the rehabilitation grant and the administrative cost would be managed in an effective and efficient way.

MOU has to be signed between implementing regional BOFED and MOF to provide the quarterly advance without any guarantee. This MOU mainly shall reflect, if any mismanagement of funds by the Service Provider discovered by regulatory government agencies or Auditors will be deemed ineligible and will be deducted from regions' block grant. At the same time, MoLSA will also sign MOU with regional BoLSAs regarding control mechanisms that shall be enforced by BoLSAs and facilitate monitoring and evaluation.

Short listing of service providers will be done by a joint committee comprised from Regional BoLSA, City BoLSA ,BoFED and MoLSA. The short-listing Process will be done through document review and field visit observation. In the meantime, a capacity assessment will be conducted to transfer a fully-fledged responsibility for Regional BoLSA on short listing, contract signing and administration. If the findings of the assessment result ensure the capacity of regional BoLSA the process of service provider selection, contract signing and management will be conduct at Regional level and a tripartite contract will be signed between Regional BoFED, BoLSA and the service providers. If the assessment results reveal weak capacity, the procurement process will be continued as a responsibility of MoLSA. MoLSA will also contract a management firm to assist in the planning, implementation Monitoring and evaluation, contract management and system development of UD service provision.

The administrative cost margin of the Service providers is to be a maximum of 20% as per CSO proclamation No 1113/2019. Eligible expenditures in the admin Budget are according to the list of items and services listed in the Proclamation No1113/2019.

12.5. Exit Strategies

Temporary shelters focus on rehabilitation, counseling and skills development for destitute. Reintegration to the family, reintegration to society or institution depends on various factors. According to a recent survey, about 60 percent of respondents said that their parents/family does not know where they are living and (67.8 percent) stated that they have not visit their parents since they left home. This means that for more than half of the target population, going back to home/ reintegration with family will take a lot of time and effort. Therefore, majority of the target beneficiaries expected to stay in the temporary shelters form 5-6 months before efforts are made to reintegrate them into society or family. Reintegration with family should be based on the interest of the beneficiary and family. Therefore, making ready the family through pre-visit either in physical or phone contact need to be done before reunification is taken place.

Evidence also shows that about 65 percent of destitute are school dropout, i.e. dropped out of their education either from primary, secondary or preparatory schools, while about 26.1 percent of them have never been to school. In most cases kids are pushed to street life after completing general

secondary education, technical and vocational training and in a few cases college diploma. This calls that with appropriate intervention, there is a high potential to engage them in a further skill development activities and training activities that might help them to live a better life.

The exit strategies that would work for individual varies depending on various factors, age, education level, gender, family situation etc. so the social workers will closely discuss and assess individual situation and suggest an option among the available exit strategy and help them prepare exit plan.

Exit strategies include:

- **Reunification into family:** Since family is an ideal institution for safest growth and development of children in particular, this service intends to reunify children 18 year or younger who are separated from their parents and living in streets with difficult circumstances. Reunification will be based on (i) the best interests of children; and (ii) willingness as well as readiness of host families. The reunification service demands strong collaboration among partners in governmental, non-governmental, Community Care Coalitions (CCCs) and other community-based structures and stakeholders; and, hence, the service provider and key government implementers will strongly work with these partners. The project will encourage the institutionalizing of a strong follow up system on beneficiaries reunified or reintegrated with the community.
- **Reintegration into the community:** Services rendered to clients must be transparent and sustainable to facilitate the harmonious co-existence of clients within their host community. This will benefit clients and also enhances their contribution for the development of the host community. The service provider will work with MoLSA, Ministry of Women, Children and Youth Affairs (MoWCYA) and other concerned bodies to reintegrate clients into communities.
- **Foster care services:** foster care services will be facilitated for abandoned children until they get guardians/caregivers who will support them permanently. The age and sex of the child are important considerations in finding foster case. Priority shall be given for kinship care.
- **Institutional care:** Institutional care will be the last resort if the above listed alternatives do not work. The service provider, MoLSA, BoLSA, City OLSA and MoWCYA will take a leading role in coordinating this modality of services for uncared and or abandoned citizens.

Combinations of services: It can be provided based on the needs of the children and on the capacity of the service provider. This may include direct service provision as well as referral to other institution's services. However, preference will be given to service providers able to offer a combination of services that address a comprehensive set of child welfare and development needs

CHAPTER 13. APPRENTICESHIP PROGRAM (AP)

The youth employment component consists of two sub-components. The first sub-component aims to provide urban youth with a first work experience through the Apprenticeship Program. The second sub-component improves the enabling environment of employment and intermediation services.

A pilot project designed to place 400 youth in apprenticeships will be implemented in two woredas in Kirkos sub-city in Addis Ababa. The learnings from the pilot project will help with learning more about the most effective approaches before scaling up the Apprenticeship Program to eleven cities across Ethiopia. To maximize the pilot project's effectiveness, careful attention will be paid to the selection of participating youth and firms, and participants will be provided with necessary support including relevant training and stipends.

The selection of apprenticeship candidates for the pilot will be based on multiple rounds of screening and interviews. The candidates will be provided with stipends to cover the cost of transportation and lunch. The participating firms are selected based on suitability for delivering apprenticeships. The program is monitored to ensure adherence to the program's objectives by utilizing work plans, assessment and evaluation tools, and relevant safeguards.

Detailed implementation guidelines for the Apprenticeship Program can be found in a separate manual, which provides a step-by-step procedural and process description involved in the recruitment, registration, selection, and monitoring aspects of the apprenticeship candidates and firms that provide the training program.

13.1. Objective and target group

Subcomponent 2.1

The AP addresses key constraints to wage employment by providing a first work experience for those with a secondary education degree or less, aged 18 to 25 who are unemployed or have experienced extended periods of unemployment. Since they face additional constraints accessing the labour market, young women will make up at least 60 percent of the beneficiaries for the program. In addition to the mentioned profile dimensions, apprenticeship candidates are screened through psychometric testing to identify the best candidates that best fit the firm's apprenticeship position.

The JOBFSa is the primary implementer of the Apprenticeship Program in collaboration with MoLSA and the support of the JCC. The Agency will partner with the private and public sectors and other local and international organizations to offer six-month apprenticeships. Other contracted service providers will provide skills training services, design the communication campaign, and assist in monitoring and evaluating of program activities.

Subcomponent 2.2

Public Employment Services (PES) centres provide effective labour market intermediation and employment services. The PES centres improve access to information, reduce job-search costs, and provide broader options and opportunities for job seekers. Similarly, these centres provide employers a more expansive pool of workers and information about their qualifications, improving labour allocation, and the economic outcomes for both workers and firms.

This sub-component will support the pilot of 15 Job Centres that will be implemented through the overall coordination of the Job Creation Commission (JCC). Effective Job Centres aim to link the demand

and the supply side of the labour market and to reduce the information asymmetry in the market. The project will work on building effective employment services that are: (i) Client-oriented and service-driven, (ii) Well-managed and coordinated, and (iii) Effectively address the needs of job-seekers. In addition to supporting PES, the sub-component will also provide support to private employment intermediation services to strengthen the overall enabling environment of Ethiopia's employment service system.

The JCC is the primary implementing agency and will work with JOBFSa and other federal entities to build modern and effective employment services in Ethiopia. The revamped Job Centres will provide the following primary services: (i) Job matching and placement, which would include effective profiling of job-seekers and require building strong linkages with the private sector, to collect new job vacancies and effectively place job-seekers; (ii) Counseling services, (iii) Training, (iv) Supporting entrepreneur; (v) Delivering services to a vulnerable population, and (vi) Collecting labour market information, which can feed into the national labour market information system.

13.2. Outreach and Identification of beneficiaries

The Apprenticeship Program

The apprenticeship program will attract candidates that meet the following three eligibility criteria:

- **Age:** 18 to 25 years old at the time of registration
- **Education:** Secondary school (grade 12) or less education level (including dropouts)
- **Employment:** Unemployed or having experienced extended periods of unemployment, and an individual working in vulnerable jobs (vulnerable jobs are defined as temporary jobs and work occasionally)

Since young women face additional constraints accessing the labour market, 50 percent of the apprentices are young women that also meet the profile dimensions described above.

The selection process is fortified with another multi-phased approaches to match the best candidates with the right firms for a successful and impactful apprenticeship training program: The additional screening steps involve:

- **Screening** of potential candidates based on the above-described apprentice selection criteria.
- **Psychometric testing** to identify the skills profile of the candidates that best fit the firm's apprenticeship position.
- **Interview fair** to screen out candidates for the life skills training, of which half will eventually be selected for the apprenticeship program. This interview fair will be tested during the pilot phase of the project and evaluated afterwards. Depending on the effectiveness and implementation of the interview fair during the pilot, it will be decided whether or not to include an interview fair in the screening process for the larger project.
- **Final selection** of apprentices that best match the firm's apprenticeship position.

The selected apprenticeship candidates will receive a stipend for each workday for the apprenticeship program's entirety, which includes soft skill training before starting a six-month apprenticeship training. The apprentices will also receive a stipend for three months following the apprenticeship to support the job search. The apprentices are expected to work five days a week for 8 hours per day during the six months of apprenticeship program. The stipend covers daily transportation costs and a meal to help

candidates complete the apprenticeship program. Women apprentices with children receive an additional monthly grant to enable them to pay for childcare support.

There will be three different trainings provided to beneficiaries:

- **Life skills training** focused on providing apprenticeship candidates with basic work readiness skills to make them succeed during the apprenticeship (10 days, to be given prior to the apprenticeship)
- **Digital skills training** focused on providing apprentices with basic digital literacy skills (5 days, to be given halfway the apprenticeship)
- **Job search skills training** focused on providing apprentices with basic job search skills (incl. information provision and cv/interview preparatory session) to improve their ability to find a job (3 days, to be given after successful completion of the apprenticeship)

Eleven cities are selected based on the population size, youth unemployment rates, and presence of a sufficiently large private sector and private-sector umbrella organizations that can support the placement and monitoring of apprenticeships. The program will be implemented in the first year in Addis Ababa only and gradually rolled out to other cities. Over the 5-year implementation period, 70,000 job seekers are expected to be placed into apprenticeships.

The Public Employment Service Centres

The new system of PES aims to offer a comprehensive range of services, including job matching and placement, career counselling services, skills training and entrepreneurship support. The different services provided under the Job Centres will target all job seekers in urban areas and aims to provide relevant services to different segments of job seekers. For the project, the 15 Job Centres are expected to provide services to 18,000 different job seekers over the project period.

13.3. Program phases and processes

Apprenticeship Programs Phases and Processes

The Apprenticeship Program has the following phases:

- 1A. Beneficiary registration and selection
- 1B. Firm registration and selection
2. Preparation of trainees
3. Matching, placement and contract signing
4. Apprenticeship, coaching, mentoring and monitoring
5. Certification of apprentices

The essential processes involve:

1. Ensuring all necessary preparations are made, including the OSSC staff's training to provide an overview of the project and guidelines, which includes conducting the outreach campaign to mobilize the youth and firms to participate in the apprenticeship project. Verification and selection of registration processes of apprenticeship seekers and the registration, site visit, selection, and contract signing processes of the firms;
2. Executing the orientation session of firms to develop and design the work plan, schedule interviews between the firms and apprenticeship candidates, communicating the final selection of firms and apprenticeship candidates;

3. Facilitating the outreach campaign to communicate and recruit apprenticeship candidates and firms to participate in the program;
4. Tracking attendance, performance, the payment processes, and performing monitoring visits of firms based on the guidelines developed;
5. Verifying the certification process for the apprenticeship candidates after the completion of the apprenticeship training, and
6. Gathering relevant data for monitoring, evaluating, and reporting to ensure the program's effectiveness and efficiency.

The JOBFA and OSSCs play essential roles in reaching out to candidates and firms, registering, selecting, and matching the apprenticeship candidates and firms, and monitoring apprenticeship activities and reporting progress.

Public Employment Services

The new vision of public employment services requires streamlining and complementing the efforts within the government, which includes (i) policy development with a new structure of the PES, (ii) establishment of the PES by leveraging the current infrastructure and human capital, (iii) development of Labour Market Information Systems (LMIS) to support the delivery of services, (iv) support the development of complementary private employment services. The transition towards the new PES will be composed of two phases: the inception phase (year 1-2) and the scale-up phase (year 3-5). All activities planned under sub-component 2.2 are planned in the inception phase (year 1-2).

The first year of the inception phase will be dedicated to policy development, which includes

- Assessment of the existing infrastructure,
- Legal framework development,
- Consultations with stakeholders.

In the second year of the inception phase 15 Job Centres and 3 clusters/regional offices will be established as a pilot.

The effective delivery of employment services will depend heavily on developing a well-designed LMIS. The Labour Market Services module includes:

- An information system for Job Centres and employment services,
- A virtual job centre for self-service delivery online, and
- A National Jobs Portal.

The last part of this sub-component will focus on supporting private employment intermediation services. The mapping of private sector providers together with the analysis of their capacity, areas of expertise and target groups will be carried out in the inception phase. This analysis will inform the decision to outsource selected services (in particular trainings offered to vulnerable populations) to private sector providers.

CHAPTER 14. REFUGEE-HOST INTEGRATION THROUGH SAFETY NET (RHISN)

14.1. Purpose of the Refugee-host integration subcomponent

Introduction

The refugee host integration subcomponent 1.3 – called Refugee and Host Integration through the Safety Net (RHISN) - is an integral part of component 1 of the UPSNJP.

The RHISN subcomponent's internal structure mirrors that of components 1.1 and 1.2 considered together. The main difference with the rest of component 1 lie in its target population: RHISN targets refugees living in camps and the Ethiopian urban communities, which will host RHISN's public works program, and who are able to participate in public works and livelihood activities. Several project features and processes are adjusted to reflect the different needs and conditions of this target population compared to the broader urban Ethiopian poor population targeted by UPSNJP's components 1.1 and 1.2. These features are covered in the sections of this chapter, which include targeting, public works, social-cohesion building activities, livelihoods programming, refugee protection and social safeguards, communications and citizens engagement, institutional arrangements and capacity development.

Where this chapter's indications differ from those in the chapters on public works and livelihoods, this chapter's indications will prevail for the purposes of implementing the RHISN subcomponent. Where this chapter is silent, chapters on public works and livelihoods describing the broader program provide guidance.

Subcomponent's contribution to the PDO

RHISN contributes to the achievement of the PDO in the same way as does component 1 more broadly, by improving the income of the urban poor through cash-for-work and livelihood development.

Due to its specific target population, it also has an additional objective unique to the RHISN subcomponent, namely, to promote integration of participating refugee households with their host community within their shared socio-economic context. It will do so in two ways:

- by building social cohesion between the two communities and
- by demonstrating the viability and societal benefits of refugees pursuing and sustaining livelihoods outside of refugee camps.

Definitions

There are currently 26 refugee camps located across five regions in Ethiopia: Gambella, Somali, Tigray, Benishangul-Gumuz and Afar regions. RHISN will target refugees in a limited selection of these camps and their respective Ethiopian host communities as defined in this paragraph. For the purposes of this PIM these definitions will hold:

- **Participating (refugee) camp:** A refugee camp that has been selected to participate in the RHISN.
- **Participating (refugee) community/block:** A block in a participating refugee camp that has been selected to participate in the RHISN.
- **Refugee beneficiary:** Any refugee from a participating camp, who belongs to a household that has been selected to participate in RHISN through household targeting.

- **Host community:** Any community (*ketena*) of Ethiopian nationals that has been selected for participation in RHISN.
- **Host *kebele*:** Any *kebele*, including at least one host community.
- **Matched refugee-host community:** A participating refugee block and the *ketena* it has been matched¹⁵ with for the purposes of RHISN.
- **Participating city:** Any UPSNJP city, which will be managing implementation of RHISN in at least one host *kebele*. The host *kebele* need not fall within the city administration's territory.
- **Participating region:** Any region, including at least one participating camp.
- **Host beneficiary:** Any Ethiopian national from a host community, who belongs to a household that has been selected to participate in RHISN through household targeting.
- **Twinned city/Refugee camp.** A city and a refugee camp are said to be twinned with one another, if the refugees in the camp's beneficiaries' involvement in the program will be managed by that city's JOBFA.
- **Joint implementation team (JIT).** A team comprising at least two designated ARRA officials per camp and the JOBFA team coordinating implementation of the RHISN at the city level.

14.2. Targeting

Rationale for adapting targeting

Social relations, legal status, livelihoods, poverty and aspirations differ between refugees, their immediate host communities and Ethiopian urban dwellers. This fact, together with the fact that RHISN only encompasses the public works and livelihoods programs, means that it is necessary to adapt the targeting mechanisms for both refugees and their host communities. Age, gender and diversity play out differently in refugee camps than in the rest of urban Ethiopia, requiring some adjustments to ensure inclusivity.

Geographic targeting

Participating camps, regions will be selected through an evidence-based consultative process led by the RHISN managing committee (MC) and supported by the RHISN technical committee (TC). Definitions of committees are included in this chapter's section on institutional arrangements and capacity building.

The selection process will unfold as follows:

-
- 1) **The RHISN MC will approve selection criteria for refugee camps at the proposal of the RHISN TC.**
The criteria will be specific and – as far as possible – objectively-measurable characteristics of refugee camps.
 - The criteria will measure the feasibility of and conduciveness of conditions for implementing RHISN in any given camp and the overall appropriateness of the selection. The criteria will

¹⁵ The matching process is described in the *Geographic targeting* and *Community matching* sub-sections of section 1.2 below.

also establish a formula to determine the number of refugee households to be allocated to each selected camp.

- UNHCR and other informed and relevant development partners will be consulted in the process.

2) The RHISN MC will suggest a selection of refugee camps and seeks the UPSNJP Federal Steering committee's endorsement.

- The RHISN TC will apply the selection criteria to arrive at a selection of participating camps and an allocation of the total number of refugee households to each of the camps, which it will submit to the RHISN MC for approval.
- The RHISN MC may approve or reject said selection and allocation. In the latter case, the RHISN MC will provide grounds for rejection and the RHISN TC will re-evaluate and propose new selections, until a selection is approved by the RHISN MC.
- Once the RHISN MC approves a proposed selection of refugee camps, it will inform the UPSNJP steering committee of its selection. The UPSNJP steering committee may, within 14 days, inform the RHISN MC that it wishes to review and revise the selection; or it may approve it. If the UPSNJP Steering Committee does not inform the RHISN MC of any decision, it will be deemed to have approved the selection.
- Once the UPSNJP Steering Committee has approved the selection, it will be immediately effective and may not be appealed.
- The RHISN MC may reopen the selection of refugee camps either at the request of the UPSNJP Steering Committee, or at its own discretion.

3) The selection of camps will determine the participating regions and cities.

- Participating regions will be all regions hosting a participating refugee camp.
- Participating cities will be each city that participates in UPSNJP and is geographically closest to a participating camp and will be twinned with that camp. As one city may be the closest city to more than one camp, each city may manage a program that includes refugee beneficiaries from more than one camp and may thus be twinned with more than one camps.
- Participating regions will assign representatives to join the RHISN MC and TC.
- Participating cities will assign representatives to join the RHISN TC.

4) The RHISN MC will approve a selection of hosting *kebeles* and seek the UPSNJP Federal Steering committee's no-objection.

- Each regional member of the RHISN TC will consult with city and local stakeholders, including city members of the TC, and propose for each refugee camp in their region a set of hosting *kebeles* to the RHISN TC. The hosting *kebeles* should be either in twinned cities or in a *woreda* that is close to both a participating camp and its twinned city.
- In any case, the hosting *kebele* should be accessible from the relevant refugee camp using public transport
- The RHISN TC will discuss, compile, and propose a selection of hosting *kebeles* for the RHISN MC, ensuring that the selection is in keeping with the selection criteria.

- The number of host households to be targeted across all the hosting kebeles will follow mathematically from the number of refugee households allocated to the relevant refugee household and the ratio described in this chapter's section on *Household targeting*.
- The number of host households to be targeted within each kebele will be determined by the RHISN TC at the proposal of regional and city members of the TC and communicated to the RHISN MC for approval and to the regional steering committee of UPSNJP for knowledge.
- The RHISN MC may approve or reject said selection. In the latter case, the RHISN MC will provide grounds for rejection and the RHISN TC will re-evaluate and propose new selections, until one is approved by the RHISN MC. Once the RHISN MC approves a selection of hosting *kebeles*, it will inform the UPSNJP Steering Committee of its selection.
- The UPSNJP federal Steering Committee secretariat may inform the RHISN MC that the UPSNJP federal Steering Committee intends to review and revise the selection, or it may approve it. If the UPSNJP Steering Committee does not inform the RHISN MC of any decision within 14 days, the selection is automatically approved.
- The RHISN MC may reopen the selection of hosting *kebeles* at the request of the UPSNJP Steering Committee or at its own discretion.

5) Community/Ketena targeting within the kebele will follow existing protocols, modified to account for the need of rigorous evaluation, and in consultation with ARRA and JOBFSa.

- The host kebele authorities decide on a longlist of *ketenas* that will be potential host communities, and therefore will host the public works and target households locally. To allow for a rigorous evaluation of the program's effectiveness, the longlist should be 50% longer than the final list of *ketenas* to be included.
- Host kebele authorities will have to consult relevant local ARRA and JOBFSa representatives on their longlist of *ketenas* before implementation.
- Within the longlist of *ketenas*, a public lottery will decide which *ketenas* are included in as host communities in the RHISN and which are not. The latter will be a part of the host control group.
- Host kebele authorities will also decide the allocation of households to different *ketenas*. The World Bank will be promptly informed on the selection and location of the *ketenas* and the allocation of household to *ketenas* for evaluation purposes.
- If ARRA or JOBFSa have significant concerns regarding refugee protection, program evaluation or implementation concerns with the chosen *ketena*, they may escalate the issue to the regional Steering Committee first, and appeal to the RHISN MC, if the regional Steering Committee's ruling is not accepted. The RHISN MC's ruling cannot be appealed.

6) The RHISN TC will oversee the allocation of households to individual zones and participating blocks of the refugee camps, based on objective criteria and evaluation needs.

- All zones of participating camps will take part in UPSNJP. Participating blocks within zones will be selected by a public lottery.
- Allocation of household quotas to zones and then to blocks will be formula-based. The formula will be decided by the RHISN TC. It will consider zone/block population and other relevant socio-economic data shared by ARRA, the World Bank or UNHCR to the RHISN TC.

Community matching

Refugee and host communities will be matched for the purposes of the public works and livelihood program and the accompanying social cohesion building activities. Households from a participating block subsequently selected to be included the RHISN will participate in public works taking place in the matched host community.

The RHISN TC will approve a matching of participating refugee-camp blocks to participating ketenas and inform the RHISN MC. This matching will be proposed by joint implementation teams at the local level to regional and city members of the RHISN TC and ARRA and approved by the RHISN TC. The RHISN TC will inform RHISN MC of the approved matching. The RHISN MC may inform the RHISN TC that the RHISN MC intends to review and revise the matching or it may approve it. If the RHISN MC does not inform the RHISN TC of any decision within 14 days, the matching is automatically approved. The approved matching will be communicated to the World Bank for evaluation purposes.

All blocks and *ketenas* will be matched. Each block will be matched to one and only one *ketena* in a host *kebele*. The host *kebele* should be in a twinned city or in an urban *kebele* that is close to both the city and the refugee camp. All efforts should be made by the JIT to propose a matching that minimizes travel time, travel cost and protection risk to refugees.

To allow for rigorous evaluation of the usefulness of joint public works, only a certain share of matched host-refugee communities will engage in joint public works. The share of matched host-refugee communities that will engage in joint public works will be agreed at the program level by the RHISN TC, based on a proposal by the World Bank and endorsement from the RHISN MC.

Household targeting

Household targeting will follow different processes and different criteria in RHISN compared to the rest of the UPSNJP's public works and livelihoods program. Host and refugee households will be targeted separately and will follow a different targeting process as described below.

Permanent direct support beneficiaries

Among refugee communities, only households with at least one able-bodied member may participate in the RHISN subcomponent. This also applies to host communities that are not within the bounds of a twinned city. No Permanent Direct Support (PDS) is implemented under the RHISN, but it may be implemented by city LSA office alongside the RHISN within a UPSNJP city administration and by the choice of the relevant city administration. Such a PDS program would be funded through the city's PDS budget allocation, not through the RHISN. Among refugees, targeting will be rely on a combination of a communications campaign and community-based targeting. These differences are explained further in this section.

A quota system determines, how many host-community households and how many refugee households are included in each area. 58% of the households of any given refugee-host community will be Ethiopian host community households. 42% of the households of any given refugee-host community will be refugee households.

Host household targeting

The host community household targeting process will resemble closely the targeting process for the rest of the UPSNJP's public works and livelihoods program. In each *kebele*, a Host Community Targeting Committee will be formed and trained. This committee will be identical to the broader UPSNJP's

Community Targeting Committee in compositions and operations, as described in the Targeting chapter of this PIM.

Household targeting differs according to the location of the host community. If the host community is in the twinned city, household targeting is identical to the broader program as described in the *Refugee protection and social safeguards* section of this chapter.

If, however, the host community is outside the bounds of the city administration, the targeting proceeds as follows. The Host Community Targeting Committee will only include households in the longlist of potential beneficiaries, who are not labour-constrained, in the following sense. For a household to be eligible for inclusion in the longlist of potential beneficiary households, there must be at least one member of the household, who is able to work in public works. This eligibility criterion is the only difference in host-community household targeting with the broader UPSNJP targeting process. The rest of the targeting process for host-community households will unfold, per this PIM's chapter on *Targeting*.

Refugee household targeting

The refugee household targeting process will be aided by the communications campaign that will clearly state the purpose and the conditions of refugees' participation in the UPSNJP. The communications campaign will be jointly designed by JOBFSa and ARRA with the World Bank and UNHCR's technical support and deployed in all participating camps in the relevant languages and through the appropriate engagement channels, including each camp's Refugee Central Committee.

The refugee household targeting process will be community-based. In each selected block of the refugee camp, JOBFSa and ARRA will oversee the formation and train a Refugee Community Targeting Committee (RCTC). The RCTC will be responsible for conducting the entire targeting process and submitting the provisional and final selection to the ARRA refugee camp administration.

The RCTC will be nominated by the block's Refugee Central Committee and will:

- Comprise between 12 and 16 members
- Ensure a balanced gender representation.
- Comprise in its membership a 50% quota of:
 - i. Representatives of NGOs who work with groups with special needs,
 - ii. Refugee health center staff and
 - iii. Teachers of refugee camp schools;
- Include, at least one representative for each minority clan or ethnicity, minority religions, persons with disabilities, the elderly, and the youth.

The targeting process will have 3 phases:

- **Long-listing**
- **Criteria-based selection**
- **Short-list submission, appeals and confirmation**
-

In the long-listing phase, the RCTC will canvass their block for households that are interested in participating in the RHISN. The longlist of potential beneficiary households shall include all households in that block that intend to be considered for inclusion with one exclusion criterion: for a household to

be eligible for inclusion in the longlist of potential beneficiary households, there must be at least one member of the household, who is able to work in public works. Any household with a member, who is part of the Refugee Community Targeting Committee, is automatically ineligible to participate in the RHISN.

When compiling the longlist, the RCTC will collect key data necessary for all subsequent project operations. The RCTC will note down refugee ID number of the household and gather all household information from the household head necessary to apply the selection criteria and for inclusion into UPASS and the MIS. There will be a key communications element to household registration for targeting (see Citizens Engagement section).

If the longlist is shorter than the allocated quota of households for the block, the criteria-based selection phase is skipped. All households are provisionally included, subject to ARRA's confirmation. The outcome is communicated back to ARRA and ARRA may reallocate any remaining household slots to different blocks in the zone in keeping with the formula, promptly informing the RHISN TC of the reallocation.

If the longlist is longer than the allocated quota of households for the block, the criteria-based selection phase begins. The RCTC will convene and apply the set of criteria laid out below to rank the households according to how many criteria they satisfy, with the households satisfying the most criteria ranked highest. The RCTC will approve the ranking by qualified majority (minimum two thirds of members approving). The top-ranking households up to the quota for that block will constitute the provisional shortlist of households selected for inclusion in the RHISN. All ties among households will be broken to arrive at the overall ranking of the longlist. If ties must be broken to determine the provisional shortlist, such ties will be broken by the RCTC through internal discussion, or consultation with the community, as deemed appropriate by the RCTC and the rationale for tie breaks recorded.

The Refugee Community Targeting Committee shall use the following targeting criteria:

- Does the household currently not have a substantial source of income (e.g. remittances, a shop, or other income-yielding assets), besides camp rations?
- Does a person in the household speak a language spoken in the host community?
- Is the household head female?
- Does the household have any household members with disabilities that prevent them from working?
- Has no household member, including the household head, completed primary education?
- Is the number of dependents larger than the number of non-dependents? Dependents are those younger than 15 years and older than 60 years of age.
- Is the household head widowed or divorced (male or female)?

The list of criteria is provisional and may be revised by the RHISN MC based on updated evidence, prior to implementation as follows. Up to three additional criteria may be added at the camp level by the Refugee Co-ordination Committee through consultation with the refugee community and UNHCR and in any case with the approval of ARRA and JOBSFA. Any addition to the criteria must be communicated to ARRA camp management, and on to the RHISN TC.

Once the provisional shortlist is complete, the RCTC will publish the ranked longlist and provisional shortlist in a publicly accessible and visible part of the block. The published list should show the ranking of all households on the longlist and mark the shortlisted households clearly. Refugee households may

then appeal their exclusion from the provisional shortlist according to the process described in the *Appeals* sub-section of this section.

After any appeals are resolved, RCTC will submit the ranked longlist and the provisional shortlist to ARRA camp management for confirmation. All households will be identified by the household head's name and the refugee identification number, reported on their refugee ID. The general approach the RCTC took to breaking ties in the longlist shall be reported in the shortlist submission form. The rationale for any tie-break that is decisive inclusion in the shortlist will be documented individually in the submission form.

ARRA camp management shall approve the ranked longlist with any amendments ARRA wishes to make within two weeks of the RCTC submitting it to them. In approving the list, ARRA camp management may make amendments only by excluding households from the ranking. ARRA may not change the ranking of households in the ranking. ARRA camp management will then submit the ranked longlist, updated to reflect these exclusions to the RCTCs. The motivation for each exclusion must be clearly communicated to the RCTC and documented in the final shortlist.

The RCTC will consider the outcomes of appeals received in the allocated time and accept all motivated exclusions mandated by ARRA to arrive at a final shortlist. The RCTC will send the final shortlist to ARRA and ARRA will publish it in a visible area in the block. Households excluded from the shortlist as a result of ARRA's exclusion may appeal through the UPSNPJ's GRM, per the *Appeals* sub-section of this section.

ARRA camp management will then submit the original longlist and the final shortlist, including motivations for exclusions, to the twinned city's JOBFSA office. Once enrolment is complete and each community is assigned to joint or separate work teams (see respective sections below), the twinned city JOBFSA office will include final shortlist of households the UPASS and the MIS. The nominal list will be kept confidential by the city JOBFSA office. The city JOBFSA office will submit an anonymized version to the RHISN TC, including assignment to joint or separate work teams, for record-keeping and evaluation purposes. The city JOBFSA office will confidentially submit the de-anonymization key to the Federal JOBFSA Safety Net Directorate and the World Bank for monitoring and evaluation purposes.

Enrollment

Enrollment is the first opportunity for social-cohesion building for matched host-refugee communities. Blocks and *ketenas* that have been matched per the community matching process described above, constitute matched host-refugee communities. Matched host-refugee communities will undergo joint enrolment – this applies both to communities with mixed public-work teams and those with non-mixed teams.

Prior to enrolment, ARRA will send an official letter to all relevant CBE branches in host kebeles and in the vicinity of participating camps, requesting the CBE branch to accept refugee IDs as valid ID to open savings accounts for refugee beneficiaries of the RHISN.

Refugees will be given a short pre-enrolment orientation in each zone of participating camps. ARRA camp management will host the sessions with the support of JOBFSA. Each refugee household will be given verbal and written instructions on how to be enrolled, including:

- Whether they have been assigned to mixed work teams or separate work teams.
- When and where the enrollment session will take place, how and where to open a bank account at CBE,

- The need to obtain a bank statement from the CBE and bring it to enrollment,
- The need to provide 2 photos in order to obtain a Client ID card.

Each host *kebele* will organize an enrolment session of half a day. All beneficiaries from the *kebele* and all matched refugee beneficiaries will join the enrolment session.

Enrollment sessions will proceed as follows:

- All household beneficiaries will be informed of day, time and place of the enrollment session. Only the head of the household will be invited.
- Households will also be informed about the objective of the enrollment session, and about the document that they need to bring. Households must be told that all PW clients must open a bank account in their name to be able to receive the monthly transfer.
- The head of household will need to bring along an ID, the bank account number and the necessary number of photos. The bank account number must be an official statement by the bank.
- Host and refugee beneficiaries should provide information consistent with what was provided during socio-economic registration, and registration with the RCTC, respectively. Discrepancies should be flagged for consideration and, eventually, correction to JOBFS and ARRA.
- The session should have a festive atmosphere. A small ceremony will be held at the session, with refreshments and opportunities for beneficiaries to socialize. Socialization between host and refugee community will be deliberately encouraged in culturally appropriate ways.
- Besides the formalities of enrolment, another event will be the random assignment of communities to joint work teams or separate work teams. The RHISN communications strategy will determine how best to organize this event to maximize engagement and minimize the chance of frictions.

Households are issued with a Client ID Card of the project within 10 working days of being targeted.

The ID has a barcode to identify beneficiaries. The ID also shows how many days each household is entitled to work and the amount of payment they shall receive. The ID is unique to each beneficiary and contains the following details:

- Name as it appears on the *Kebele* ID, refugee ID or any other official document carried by the beneficiary;
- Home address;
- Sex;
- Date of birth;
- Photograph;
- The card holder's signature, or fingerprint.

ARRA will issue a residence permit to refugee beneficiaries of the RHISN, against the Client ID card. Refer to the section on *Refugee protection and social safeguards* in this chapter for details.

Appeals

The appeals process for the host community targeting will be identical to the broader public works and livelihood program. Refer to the relevant chapter in the PIM for details.

The appeals process for the refugee community targeting will go through the RHISN's refugee Grievance Redress Mechanism (GRM). The JIT will establish in each zone of each participating refugee camp a Zone Appeals Committee (ZAC), similar in composition and function as the Woreda/Kebele Appeals Committee in the broader UPSNJP program.

The ZAC committee comprises the following members:

- ARRA official
- Camp health post official
- Elder representative
- Women representative
- Youth representative
- Religious/ethnic minority representatives (up to 3)
- Representative from disability association

Each Refugee Zonal Committee nominates the community representatives in the zone's ZAC. The JIT will train the ZAC on the process for considering and addressing complaints, following the UPSNJP's GRM. The ZAC should have a dedicated complaints box either in the ARRA camp office and in a central part of the zone where grievances may be filed. Grievances may be filed verbally also with any one member of the ZAC, who must then notify the rest of the ZAC.

Households may appeal targeting outcomes at two moments: when the RCTC's provisional shortlist is published, and when RCTC publishes the final shortlist as modified by ARRA. Refugee beneficiaries intending to appeal the selection of the RCTC, or ARRA's modifications will be encouraged to argue their case with the RCTC. This is meant to resolve grievances peacefully, and informally. If dissatisfied with the outcome or progress is too slow, households may appeal through the project's GRM. Appealing households have 14 days to put forward their appeal to the ZAC since the publication of the final shortlist. The ZAC will hear the case and communicate its outcome within 5 days, to beneficiaries, ARRA camp management and the JIT. The ZAC's decision are final and cannot be appealed. The ZAC must not include any members of any RCTC. The ZAC reports on the outcomes of grievances to the JIT.

14.3. Public works

Planning of public works

Public works planning will largely follow the broader UPSNJP planning process. The public works' planning process will proceed through the local JOBFA office as applicable and local community consultation as per the broader UPSNJP public works program described in the relevant chapter and annexes to this PIM. Host kebeles will consult refugees from matched communities on the public works planned, particularly to ensure that the public works sites can be reached by refugees. If required, these consultations will be held before the public works campaign starts for the year.

ARRA's protection opinion on the local public works plan will be sought, recorded prior to approval of the public works plan, including any annotations by UNHCR. The local JOBFA office will submit the public works plans together with ARRA's opinion and UNHCR's notes to the RHISN TC within 14 days of approval.

Refer to the chapter on public works for further information on the feasible menu of public works, environmental and social screening, labour-intensity, budgeting, operations and maintenance plans and other aspects of public works planning.

The geographic scope of public works will be generally limited to the hosting communities with possible exceptions. Matched host and refugee communities will engage in public works in their own or, respectively, matched *ketena* according to the public works plan of the hosting *kebele*. Refugee communities that have been assigned to separate work teams may do some public works on an exceptional basis in or around the refugee camps. The modalities for the exception are described below. The planning, screening, budgeting, operations and maintenance planning of such works will be managed by the twinned city's JOBFA and supervised by ARRA camp management.

Mixing of public work teams

Each community, whether refugee or host, will be assigned to carry out public works either in mixed refugee-host work teams or in separate refugee and separate host work teams. This assignment will take place publicly. Refugee communities, whether in mixed or in separate work teams, will engage in public works in their matched *ketena* according to the public works plan for the hosting *kebele*. The execution of public works will be managed by the *kebeles* as per the broader UPSNJP.

Refugee communities that have been assigned to separate work teams may spend up to 25% of their public-work days in select types of public works within the refugee camp or in its immediate vicinity. The focus of these types of works should be on remedying environmental degradation, including through reforestation and preventing dry waste runoff, especially if caused by the presence of the refugee camp. This request can be made at the beginning of every year by a block representative to the local joint implementation team (JIT) or its designated local delegate and should describe the types of works envisioned and the number of days they will require. The JIT should respond within a month of the request being made. Any allocation of workdays to refugee-camp works will be communicated promptly to the RHISN TC, specifying the refugee blocks involved and the number of days. The menu of public works in scope for activities inside refugee camps proper will be limited to urban dry waste collection.

Mixed work teams will be assembled according to either a 50:50 or a 60:40 ratio of hosts:refugees. The assignment to work teams should be done by the JIT. To encourage contact and socialization across communities, the host community members will be chosen from a mix of *ketenas*. Similarly, the refugees will be chosen from a mix of blocks. The rules and mechanisms for team formation and management will follow the approach laid out in the PIM chapter on *Public works implementation*.

Logistics

Refugee beneficiaries are expected to travel independently to the public work site. Host *kebeles* will have been chosen so that refugees can access them from the camp on foot, with public transport or have affordable rental options in the vicinity. Depending on the distance of public work sites and the cost of travel, the JIT may recommend a long-distance allowance be given to participating refugees. The allowance may be funded both from the city's allocation of public works transfers and safeguards budget under the RHISN.

Mitigating actions can be taken if the schedule of public transport connecting the refugee community to their matched host is not adequate. In the first instance, mixed work teams should collegially try to adjust the work schedule to fit the transport schedule available to refugees. If the schedule is wholly inadequate, the work team may escalate the issue to the JIT. The JIT may then intercede on behalf of the

beneficiaries with local transport operators or authorities to recommend the adjustment of schedules or the setting up of a dedicated service.

Occupational health and safety

Occupational health and safety procedures will apply equally to host and refugee beneficiaries and will follow the broader UPSNJP's approach. Determination of permanent and temporary debilitation, certification of medical leave etc. will follow the broader program's approach. For details, refer to the relevant Guideline for Public Work Occupational Health and Safety, annexed to this PIM. In case of simultaneous, temporary inability of all eligible household members to carry out public works, due to pregnancy, a temporarily debilitating accident and other similar cases, the refugee household will be moved to temporary direct support.

Permanent debilitation of all eligible members will result in the refugee household's camp-based benefits being reinstated in full and the household dropping out of the RHISN permanently. In case of a permanent inability of all eligible household members, e.g. due to a permanently debilitating accident or illness, the refugee beneficiary household will drop out of the RHISN permanently and will be reinstated as a full beneficiary of camp-based support. If the accident meets the criteria for compensation laid out in the Guideline for Public Work Occupational Health and Safety, then the refugee beneficiary household will receive the same compensation as in the broader public works program.

14.4. Social-cohesion building activities

Purpose and typology of activities

Social-cohesion-building activities are a special feature of the RHISN's design and are meant to enhance relations between host communities and refugee communities. As such, they are guided by the principles of joint participation and benefit, cultural appropriateness and meeting evaluation needs.

Social-cohesion-building activities are either mandated by the program's design or proposed by the community. Mandated activities include enrolment, mixed work teams, livelihood training, mentoring and coaching sessions and graduation. On all these occasions, contact and socialization between the communities will be encouraged actively while paying attention to cultural appropriateness and conflict-sensitivity.

RHISN groups and community-proposed activities

Neighboring, matched host and refugee communities may form informal RHISN groups bringing two to six communities together. The formation and membership of this group should be notified to the JIT upon formation. The group will be tasked with coordinating social-cohesion-building activities from the beneficiary side and fostering good relations between the two communities. This group will be composed by up to 6 members, with equal representation of refugee community and host community. Each community will nominate its own members, who must be RHISN beneficiaries.

Each RHISN group will have a yearly budget for community-proposed social-cohesion-building activities. These may include sports, get-togethers, cultural exchanges or shared cultural celebrations and the like. The budget must fund events that are for the RHISN beneficiary community alone and as a whole. It may not fund private events to which only a selection of the RHISN beneficiary community can

partake. Ethnographic and sociological studies coupled with consultations will help inform the menu of culturally appropriate activities to be offered to communities. The RHISN group will approve a decision on these activities by unanimity at the start of each year and submit their proposal to the JIT for approval. The JIT, or a facilitating NGO contracted by the program, will follow up on the implementation of these activities and will monitor the use of the funds.

The outcomes of RHISN activities and their impact on social cohesion will be tracked and investigated through monitoring and evaluation. The RHISN TC may recommend a randomized design, to rigorously evaluate the effect of these activities on social cohesion. This would be subject to feasibility and conflict-sensitivity concerns.

14.5. Livelihoods program

Overall modalities

Refugee and host households participate in the livelihood program with the same objectives and in much the same modalities as do beneficiaries in the broader UPSNJP livelihood program. Households, both refugee and host, nominate one member to be the direct beneficiary of the livelihoods program per the broader UPSNJP process (see section 10.1). However, refugee households are explicitly encouraged through program communications to choose among household members, who are most fluent in the locally spoken language, and who most have intention desire and capacity to integrate locally. The structure of the program will be the same as with the UPSNJP, including training on financial literacy, life skills, business-plan or wage-employment plan and skills development, livelihood grant disbursement, mentoring and coaching (see section 10.3).

The average household size for refugees and host community will be 3.6 unlike that of the main public work component (i.e household size is 3)

Joint trainings

Livelihood trainings for all beneficiaries will be joint across matched communities. Whether or not the communities are assigned to mixed public works, matched refugee and host communities will take part in the livelihood development program jointly, throughout.

The JIT is responsible for ensuring that venues where trainings take place are either at public work sites or within reasonable commutable distance for refugees, as well as for host beneficiaries. It should not take more than 1 hour for the furthest refugee and host beneficiary to arrive to the training venue from their home.

Refugees' rights to pursue a livelihood

The RHISN MC must ensure that prior to implementation, beneficiary refugees' right to pursue a livelihood per the UPSNJP's design are appropriately clarified. Refugees have a different legal status to nationals under Ethiopian commercial and labour law. RHISN beneficiary refugees' right to start a business and to participate in trainings to enhance their employability as a part of the livelihood program is enshrined in ARRA Directive 002/2019, the MoU signed by ARRA and JOBFA and residence permits issued to RHISN beneficiaries. However, the residence permit expires 5 years after issuance, exceptions apply to certain sectors and the status of refugees' businesses after graduation is not clear. These longer-term aspects of the program must be clarified through a written clarification submitted to the UPSNJP's Steering Committee or an equivalent formal notification.

14.6. Refugee protection and social safeguards

Refugee beneficiaries' legal status under the project

According to its procedures, ARRA will issue residence permits to refugee beneficiaries of RHISN, against the RHISN Client ID card. Per Directive 002/2019 and the MoU signed between ARRA and JOBFA, refugees participating in the RHISN are part of a joint project, and as such entitled to residence permits. Residence permits shall be issued by ARRA to all members of refugee beneficiary households within a month of the refugee beneficiaries presenting their Client ID at ARRA camp management and making the appropriate request.

Refugee residence permits will allow them to be active as UPSNJP beneficiaries and economic agents on Ethiopian soil. Refugees with residence permits will not require pass permits from ARRA to exercise their freedom of movement. This should ensure that refugees have unfettered access to the *kebele* under which their matched *ketena* falls, their camp's twinned city in its entirety, the planned location for livelihood trainings, other camps twinned to the same city, as well as all the *kebeles* situated in-between the above areas.

Refugees will be active as economic agents in the sense that residence permits will allow them to:

- Travel without the need for a pass permit
- Apply for a business license in the permit area under the same conditions as nationals.
- Apply for trainings in the permit area, whether or not related to the livelihoods program.
- Carry out other activities necessary for the successful pursuit of their business plans, within the bounds of the law.

Refugee beneficiaries' access to protection services

The GoE's responsibility to protect refugees is not affected by a refugee's participation in the RHISN. The GoE is a signatory to the 1951 Convention relating to the Status of Refugees and to its 1967 Protocol Relating to the Status of Refugees. Refugee participation in the RHISN does not affect the GoE's responsibilities under those or other applicable treaties. Entitlements to care and maintenance benefits may be reduced, since beneficiaries will be receiving cash transfers. However, refugees' other entitlements to protection, including in the sphere of health, education, access to justice, the specific needs of children, women, and other segments of the refugee population with specific needs are not affected.

Beneficiary refugees' entitlement to health and education services in-camp will not be affected by participation in the RHISN. Refugee beneficiaries of RHISN will continue to access the same services on the same basis as non-beneficiary refugees of their same camp.

Refugee beneficiaries may decide to reside out of camp under current and future out-of-camp policies enacted by ARRA. Refugee beneficiaries' entitlement to access these policies will not be affected by their participation in the RHISN. Their receipt of the livelihood grant and their capacity to sustain their families out of camp, as demonstrated through the RHISN's monitoring and evaluation arrangements, will count toward their eligibility for consideration under these out-of-camp programs.

With the support of the RHISN, ARRA jointly with UNHCR will provide special orientation and information to refugee beneficiaries, who work outside camps under the RHISN. ARRA, with the support of the JIT, will ensure that information on the availability of basic services such as health, police

protection, GBV referral and other relevant services, is given to refugee beneficiaries. This shall be provided in verbal briefings and written form, in languages they can understand. Drafting and provision of the written materials will be funded under the safeguards budget line.

Monitoring of safeguards for refugees and their protection will be supplemented by development partners. The World Bank and other development partners will contribute technical assistance and, to the extent available, supplement the necessary capacity building to help the GoE monitor and understand the protection situation on the ground jointly with UNHCR.

The main GRM for the program is UPSNJP's. ARRA is also developing its GRM mechanisms and its role will be agreed in the MoU. Where warranted by cultural and ethnological conditions, traditional dispute resolution mechanisms play a role in resolving certain disputes. If the parties involved in the dispute prefer to resort to these mechanisms in the first instance, this may be allowed, and the outcome of the resolution should be recorded with the GRM's of both parties.

14.7. Communications and citizens engagement

The RHISN will require a dedicated communications strategy, for effective targeting, protection and social-cohesion building. The communication will be aimed at transparently communicating the features of the RHISN, while developing a conflict-sensitive narrative around the project that is about equitable treatment of host and refugee communities, support for productive inclusion and peacebuilding.

The main objective of the strategy will be to ensure that the purpose, the structure and the timeline of the program are fully understood by all beneficiaries and potential beneficiaries in the targeted communities alike. A focus will be placed on ensuring that refugees and host alike understand any terms and conditions of their participation. A communications campaign will be fielded in targeted refugee hosting areas to this end. The involvement of Refugee Central Committees will be leveraged, especially in the outreach phase.

The communications campaign in refugee camps at the outset of implementation will be designed prior to implementation and is expected to insist on at least 4 key points.

- **Participation in the RHISN is fully voluntary, at all times.** No refugee household is obliged or should be pressured to put itself forward for targeting under the RHISN. A household can withdraw from the program at any point in time.
- **Participation is best suited for households, who intend to build a future in Ethiopia.** Participation will involve working outside refugee camps, and, eventually, establishing an independent livelihood for the family, possibly outside of the refugee camp.
- **Participation does not in any way affect refugee status.** Refugee beneficiaries remain refugees during and after the end of their participation in UPSNJP's RHISN.
- **Participation may imply a reduction in camp-based support received by the household.** The exact timing and size of the reduction will be agreed at least one month, before targeting begins and communicated clearly at least two weeks prior to starting targeting.

The communications campaign in host communities at the outset of implementation will be designed prior to implementation and is expected to insist on at least 3 key points.

- **Host and refugee beneficiaries alike receive the same benefits from participating in the UPSNJP.** Public work daily wage rates, days of work, livelihood grants and trainings and assigned to each community are the same. Any compensation for added travel costs for refugees is designed to level the playing field.
- **The funding for this program comes from grant funding for Ethiopia, in support of its hospitality to refugees.** The program is not funded through debt financing, or taxpayer money but is rather entirely sponsored by the grant-based IDA-19 Window for Hosts and Refugees.
- **The program is designed to help members of refugee communities become productive members of the Ethiopian economy, contributing to shared prosperity.** Refugees have to date been limited in their ability to contribute to the Ethiopian economy, many for decades. This program is designed to help them get back to a productive life and dedicate their skills and work towards contributing to the Ethiopian society and economy they are a part of.

A more detailed communications strategy and associated campaigns and project tweaks will be developed under the project and approved by the RHISN MC at least one month, before targeting begins.

Institutional arrangements and capacity building

The main implementing bodies in the RHISN are JOBFSa and ARRA, while the World Bank provides technical support. The respective roles and responsibilities of the RHISN and JOBFSa will be laid out in an MoU signed by both sides no later than one month from effectiveness, as per the Financial agreement of the UPSNJP. UNHCR also provides technical support and capacity building.

JOBFSa is the implementing agency of the project. JOBFSa will manage almost all aspects of implementation of the public works and livelihoods program, as per the broader UPSNJP, including procurement and financial management and safeguards.

ARRA is an implementing partner in the RHISN, whose role is to co-ordinate the RHISN with the rest of refugee policy and provide protection to refugees, per its institutional mandate. ARRA will therefore be involved in targeting of refugees and in providing refugee protection in the modalities described in the foregoing sections.

Regions, city and kebele authorities will play a role in local implementation: zones and woredas may also be involved. In line with the program's requirements and the modalities laid out in the foregoing sections, regions, city and *kebele* authorities will have key roles respectively in geographic targeting, overall management of the public works and livelihoods program for both host and refugees and planning of public works, respectively. *Woreda* and zone authorities will be involved as per the broader UPSNJP institutional arrangements.

The RHISN Managing Committee will have the responsibility for the strategic leadership of the RHISN. The RHISN Managing Committee will have a dynamic composition, initially including only the Director General of JOBFSa, the Deputy Director General for Food Security in JOBFSa's, the Director General of ARRA and/or the Deputy Director General (Refugees), or any of their mandated delegates. As geographic targeting progresses, nominated officials of participating regions' Governments will be included. The Director General of JOBFSa will chair the committee, with the Director General of ARRA co-chairing. The UPSNJP's Federal Steering committee, which will oversee the RHISN Managing Committee's operations and ensure strategic alignment with program and policy priorities.

The RHISN Technical Committee, nominated by the RHISN Managing Committee, will lead the technical development of the program. The RHISN Technical Committee will have a dynamic composition, initially including nominated officials of JOBFSA and ARRA at the technical level. As geographic targeting progresses, nominated officials of participating regions and city Governments will be included. The RHISN Managing Committee's will oversee the RHISN Technical Committee's operations.

Refugee Central Committees will play a key role in citizens' engagement. Refugee Central Committees will be thoroughly trained on the program's purposes, terms and conditions and will be used intensively in the outreach phase and throughout project implementation as representing the interests of their camp's population.

UNHCR will provide technical assistance and advice and capacity building support to implementation, where feasible. UNHCR will work with JOBFSA, ARRA and the World Bank in implementation, providing technical assistance and advice especially on international protection, co-ordination with other donor-funded activities concerning refugees and supporting ARRA and JOBFSA's capacity to implement the project.

Capacity building

Both JOBFSA and ARRA will require significant capacity development for the successful implementation of the RHISN. A joint capacity building assessment conducted by an expert third party in consultation with both agencies will recommend a capacity development program covering the federal, regional and local level. The RHISN TC will review the program, modify it as necessary, budget it and submit it to the RHISN MC for approval.

The joint capacity development plan between JOBFSA and ARRA will touch on, at a minimum:

- Joint implementation mechanisms, including data sharing, structuring, training and identifying the JITS
- Conflict-sensitive implementation of safety net mechanisms
- Refugee protection out of camp supported by UNHCR as required
- Clear and consistent communications..

PART III. FIDUCIARY MANAGEMENT

CHAPTER 15. FINANCIAL MANAGEMENT

In view of the critical importance of financial management stated in the introduction, the Government and the Bank have developed a separate and detailed financial manual. All finance managers/officers working on the program directly or indirectly should refer to the manual on a regular basis. This chapter is an overview for the general user.

15.1. Introduction

A strong financial management system is critical for effective program implementation and for ensuring program accountability to clients, the Government and the donor. Generally, program implementation is dependent on the need for the timely provision of funds. This is particularly critical for a social safety net, livelihood and public works programs where delays in cash transfers to beneficiaries can undermine the predictability and therefore effectiveness of the intervention. Strong and transparent record keeping, the implementation of effective internal controls and a timely and accurate reporting system all contribute to an accountable and transparent system in which there is little or no elite capture, key stakeholders, including development partners, the Government, and citizens can trust.

The UPSNJP will be implemented alongside the UPSNP for a significant duration. Hence, there will be an overlap between the two projects at the 11 UPSNP cities. This results in a risk of double-dipping. To mitigate this, the two projects will have distinguished charts of accounts and IBEX structure especially the admin cost codes should be distinguished, salary of staff which are hired by UPSNP but also work on UPSNJP should be paid from UPSNP only, payment vouchers and supporting documents will clearly indicate and differentiate admin costs of the two projects being processed, distinguished “PAID” stamp for the two projects, separate IFRs for the two projects, and regular review of transactions by MoF and JOBFSAs, provision of awareness creation sessions for accountants in these cities and preparation of a guidance note in this regard. Regarding beneficiary payments, only new beneficiaries that are not in the UPSNP will be targeted by the UPSNJP in the existing UPSNP cities and there will be a separate UPASS for payroll preparation. Hence, beneficiaries receiving support from the UPSNP will not be part of the UPSNJP during the overlap period. A guideline will be prepared by MoF and disseminated to all implementing entities that covers all the risks during the overlap period.

The main objective of this chapter is to explain the key elements of the program’s financial management and accounting systems at relevant levels of program implementation.

The key elements of this Financial Management and Accounting Systems include:

- Planning and budgeting
- Flow of Funds
- Accounting and staffing
- Internal Controls and Internal Audit
- Reporting and
- External Audit

15.2. Key Roles and Responsibilities in Financial Management

Ministry of Finance (MoF)	<p>At Federal Level:</p> <p>➤ MoF is responsible for the overall financial management of the UPSNJP. Activities include, but are not limited to:</p> <ul style="list-style-type: none"> • Manage the designated and pooled birr and dollar accounts • Transfer funds to BoF, the JOBFSAs, MoLSA and JCC • Manage financial reporting (quarterly and annual) • Facilitate the annual financial audit of the project account • Ensure that all financial audit findings are acted upon in a timely manner • Ensure that acceptable financial management systems are in place and well documented in financial management manuals • At Regional Level: Regional Finance Bureaus Ensure that a suitable accounting system covering both regional and city levels is established • Transfer funds to city finance office, regional JOBFSAs/B and BoLSA as needed • Collect and aggregate all financial data and information from the BoLSA, JOBFSAs and cities. • Review the effective use of accounting procedures by city and provide technical support and assistance to them • Prepare quarterly and annual financial reports and submit to the MOF on the required timeline. • Be accountable for and managing the funds transferred to them for implementation • Follow-up on audit findings as required. <p>At City Level: City Finance Offices</p> <ul style="list-style-type: none"> • Ensure that budgets for UPSNJP are received in a timely manner • Avail funds as required according to the annual plan • Undertake timely cash transfers to client households • Exercise the necessary fiduciary controls and prepare monthly and quarterly Interim Financial Reports on fund utilization to regional BoF. • Reconcile UPASS Beneficiary payroll with Commercial Bank of Ethiopia (CBE) detailed beneficiary payment report (generated by CBE) • Give timely response on the audit findings and audit action plan as required.
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Urban Job Creation and Food Security Agency (JOBFSa)	<p>At Federal Level: The Project coordination Office under F JOBFSa</p> <ul style="list-style-type: none"> • Support the oversight and coordination of the project • Prepare annual plan and budget for approval and proclamation for the Project • Allocate resources to the implementing entities based on the approved annual budget • Prepare quarterly expenditure and cash requirement forecasts • Provide resource transfer instructions to the regions • Follow up and provide technical support to regions and cities together with MOF • Management of the funds transferred to it by MOF <p>At Regional Level:</p> <ul style="list-style-type: none"> • Provide necessary technical assistance and coordination support to the city level implementers. • Monitor effective implementation of the project at the city level <p>At City Level:</p> <ul style="list-style-type: none"> • Consolidate annual implementation plans and budgets for the city • Organize an administration and capital budget allocation meeting with all city level implementers and decide on the allocation • Facilitate the timely preparation of attendance and payroll and timely transfer of resources to beneficiaries
Ministry of Labour and Social Affairs (MoLSA)	<p>At Federal Level:</p> <ul style="list-style-type: none"> • Provide input into the overall plan and budget for the project • Manage the funds transferred to it by MoF and report on these funds • Follow-up and act on audit findings as required <p>At Regional Level:</p> <ul style="list-style-type: none"> • Provide necessary technical assistance and coordination support to the city level implementers. • Monitor effective implementation of the project at the city level <p>At City Level:</p> <ul style="list-style-type: none"> • Account for funds received • Prepare an annual budget • Facilitate the timely preparation of the payroll and timely transfer of resources to unconditional transfer beneficiaries. • Follow-up on audit findings as required
Commercial Bank of	<ul style="list-style-type: none"> • Report on the status of savings and credit of program clients.

Ethiopia (This is NOT an Implementing entity)	<ul style="list-style-type: none"> • Provide reports on transfers to clients.
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15.3. Budget Lines and Allowable Expenditures

The main budget lines for the overall project are as follows:

- Public works and temporary direct support transfers
Capital budget for public works
- Livelihoods capacity building
- Livelihoods transfer
- Public works
- Capital expenditure
- Livelihoods training
- Livelihood Grant
- First work-experience for less educated youth
- Strengthen Employment and Intermediation Services
- Expanding Social Assistance for elderly and disabled (PDS)
- Services for the homeless and Urban Destitute
- MIS development
- Evaluation and Audit
- Federal Capacity building
- Regional Capacity building
- Safeguard implementation Targeting and citizen engagement
- Cities administration budget
- Regional management budget
- Federal management budget
- Project management and institutional strengthening Budget for integration of refugees and host communities
- Contingency Emergency Response Component (CERC)

For Refugee and host community component

These budget lines are consolidated into reports according the following reporting lines:

Table 17. UPSNJP Reporting Lines

Components	Budget Lines
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Component 1: Expand the Urban Productive Safety Net to Improve the Urban Environment	1.1 Public Works	
	1.1.1: Public works Transfer	
	1.1.2: Capital expenditure	
	1.2 Livelihoods	
	1.2.1: Livelihoods capacity building	
	1.2.2: Livelihood Grant	
	1.3: Integration of refugees and host communities in selected localities	
	1.3.1: Public works transfer	
	1.3.2: Capital expenditure	
	1.3.3: Livelihoods capacity building	
	1.3.4: Livelihood Grant	
Component 2: Foster Urban Youth Employment	2.1 First work-experience for less educated youth	
	2.2 Strengthen Employment and Intermediation Services	
Component 3: Strengthen Social Assistance and Services for the Urban Poor and Destitute	3.1 Expanding Social Assistance for elderly and disabled (PDS)	
	3.2 Services for the homeless and Urban Destitute	
Component 4: Institutional Strengthening, Project Management and Monitoring and Evaluation	4.1: MIS development	
	4.2: Evaluation and Audit	
	4.3: Federal Capacity building	
	4.4: Regional Capacity building	
	4.5: Safeguard implementation	
	4.6: Targeting and citizen engagement	
	4.7: Cities Administration budget	
	4.8: Regional Management budget	
	4.9: Federal Management budget	
	4.10: Project management and institutional strengthening Budget for integration of refugees and host communities	
Component 5:Contingency Emergency Response Component (CERC)	Contingency Emergency Response Component (CERC)	

The full chart of accounts can be found in the UPSNJP Financial Management Manual that will be prepared by MoF. The sections below indicate the key budget lines available for implementers at different levels and how the budget ceilings for these headings are calculated.

City/Town level financial management

i) Budget Lines and Ceilings

There are nine key budget lines available at City level. These are as follows:

- Public works and temporary direct support transfers
- Capital budget for public works
- Livelihoods capacity building
- Livelihoods transfer
- First work-experience for less educated youth
- Expanding Social Assistance for elderly and disabled (PDS)
- Services for the homeless and Urban Destitute
- Cities administration budget
- Cities administration budget for the refugee window

ii) Eligible Expenditure Items

The permanent direct support transfer budget, public works, temporary direct support, stipend fee and child care payment for the youth transfer budget are only being used to finance direct payments to Project clients.

Public works capital budget: The table below presents the eligible expenditures for the public works capital budget.

Table 18. Capital budget eligible expenditures

Expenditure category	Allowable expenditure
Skilled and Semi-Skilled Workers	Temporary contract personnel with knowledge and experience needed for planning, implementation and supervision of public works Individuals within the communities who can provide semi-skilled labour; these are masons, carpenters, foremen/ forewomen, etc. They are NOT paid through the UPSNJP transfer budget.
Hand Tools	Spades, shovels, hoes, crow bars, sledge hammer, rakes, pick axes, and mattocks. In addition other hand tools described in the specific operational manuals.
Equipment and Materials	Altimeters, compasses, clinometers, pedometers, theodolites and other equipment can usually serve more than one site, poles, cement, stones or sheeting which may be required at individual work sites and should be provided by the city. Duplication of Behavioral Change Communication (BCC) materials to support BCC at public works sites Rental of excavators and other machinery. Rental of machinery and the

	contracting out of other services by the city.
Amenities at Work Sites	First aid services Tool repair and maintenance facilities Childcare amenities (e.g. tents or other shelters). Laborers will undertake the management of these amenities with the assistance and close supervision of the implementing agency Facilities for the regular sharpening and minor repairs of hand tools
Transport Facilities	Transportation of tools and materials

Livelihoods Transfer: The livelihoods transfer budget line is limited to transfers to approved livelihood transfer clients in accordance with their business plan, with a ceiling of USD 600 per client.

Livelihoods Capacity Building: Livelihoods capacity building refers to the training and support of program clients, and conditional capacity building to key institutions involved in capacity building. These include:

All costs associated with the provision of training and support to clients of the livelihoods component, such as financial literacy training, technical training, business/marketing skills training, and business plan development. Costs can include curriculum development or adaptation (including by TVETs), preparation of training materials, renting of facilities, trainer fees, per diems, and transport costs, incurred by the UJCFC Agency, Labour and Social Affairs, or TVETs. For trainings provided at TVET institutes, participant room and board will also be covered.

Transport costs associated with intensive coaching and mentoring for livelihoods transfer clients.

Conditional capacity building of institutions such as TVETs, MIS, MFIs and Saving as outlined in the table below.

Budgeting for the Livelihoods Component

At City level, livelihoods activities (e.g. client trainings and conditional capacity building of grassroots institutions) and all associated costs (including Per diem, transport, stationeries, etc.) are covered by the Livelihoods Capacity Building line item.

At regional and federal levels, support to livelihoods implementation will be covered by the Regional Management Budget and the Federal Management Budget.

Hence the Livelihoods Capacity Building line item will be spent at the City level.

Urban Destitute Budget; it will be transferred to the third party (Service provider) to meet the needs of the street dwellers based on the contract agreement to pick up children, women with children, adults and elders who live on the street. It will cover the rehabilitation center cost and reintegration and reunification cost as well as the rehabilitation grant for those citizens.

The eligible admin cost that will be used by the service provider is up to 20% as per CSO proclamation No 1113/2019 and the admin expenditure list of those SP is determined by the proclamation.

The city administrative cost which is related to the urban destitute sub-component will be used by the city labour and Social affair office and its eligible activity of this component is similar to the main city admin budget activity as mentioned below.

Table 19. Eligible expenditure for the First work-experience for less educated youth at city level

Expenditure category	Allowable expenditure
Stipend	Stipend for apprenticeship and Job search
Child Care	Monthly payment for young women who are selected to participate in the apprentice and who have kids.
Life skills training	Training material development, preparation and provision, Consultancy service
Digital skills training	Training material development, preparation and provision, Consultancy service
Job search training	Training material development, preparation and provision, Consultancy service
Training	trainings organized by the cities to train staffs and the youth Training material development, preparation and provision, Refreshment
Capacity Building Budget	Vehicle, Office Equipment, Office Furniture, Tablets for registration, Procurement of firms and consultants and etc. ...
Administration cost	Salary, Per diem, transport, refreshment, stationery, office equipment's, Impact evaluation and auditing and etc. ...

City Administrative Budget: The table below presents the eligible expenditures for the City administrative budget. This table applies to all UPSNJP costs with the exception of livelihoods-related costs (as these will come from a separate budget line item):

Table 20. City Administrative Budget Eligible Expenditures

Expenditure category	Allowable expenditure
Human Resources	Contractual or temporary staff such as Senior Accountant or Senior Procurement expert at city level.
Hand tools, equipment and materials	Hand tools, office equipment and supplies required for running UPSNJP activities Replacement of components and parts Maintenance of vehicles and other equipment (Large-scale infrastructure development such as IT network installation is not allowable)
Travel and Transport	Fuel, maintenance, spare parts, per diem expenses, public transport and vehicle hire for any supervision or support visit including for targeting, transfers, public works, grievance redress mechanisms or awareness raising.
Training	UPSNJP trainings organized by the cities to train staffs and (e.g. ketena/kebele technical assistance.) On-the-job training for clients Orientation and critical on-the-job training for foremen/women and team leaders
Materials and equipment Management	Loading and off-loading from trucks Proper handling, transportation and storage of materials and equipment
Monitoring and Evaluation	City level monitoring and evaluation, including sharing lessons and cross visits, per diems and transport for monitoring visits and social accountability activities
Communication	Telephone and fax bills, email internet service provider (ISP) costs, etc.
Outsourcing services	Any needed outsourced services, such as computer support services

Regional

i. Budget Line

There are four key budget heading available at regional level. These are as follows:

- Regional Capacity building
- Regional Management budget
- Regional Management budget for Urban destitute
- Admin budget to run the refugee component

Regional Capacity Building budget can be used to finance any activities identified in the capacity development strategy, including national training and workshops, equipment, furniture. Capacity development support is expected to be provided for all implementing cities of the UPSNJP.

Table 21. Regional Administrative Budget Eligible Expenditures

Expenditure category	Allowable expenditure
Human Resources	Salary for Contractual staff who will be recruited at regional level.
Hand tools, equipment and materials	Hand tools, office equipment and supplies required for running UPSNJP activities Replacement of components and parts Maintenance of vehicles and other equipment (Large-scale infrastructure development such as IT network installation is not allowable)
Travel and Transport	Fuel, maintenance, spare parts, per diem expenses, public transport and vehicle hire for any supervision or support visit including for targeting, transfers, public works, grievance redress mechanisms or awareness raising.
Training	UPSNJP trainings organized by the regions to train staffs and cities under the region
Materials and equipment Management	Loading and off-loading from trucks Proper handling, transportation and storage of materials and equipment
Monitoring and Evaluation	Regional level monitoring and evaluation, including sharing lessons and cross visits, per diems and transport for monitoring visits and social accountability activities
Communication	Telephone and fax bills, email internet service provider (ISP) costs, etc.
Outsourcing services	Any needed outsourced services, such as computer support services

Federal

i) Budget Lines

There are seven key budget headings available at federal level. These are as follows:

- MIS development
- Evaluation and Audit
- Federal Capacity building
- Safeguard implementation
- Targeting and citizen engagement
- Federal Management budget
- Project management and institutional strengthening Budget for integration of refugees and host communities

ii) Eligible Expenditure Items

Federal Level Management Budget: The following eligible expenditure items should support all components of the UPSNJP. Eligible expenditures also include:

Human Resources: The federal-level management budget is used to hire contract staff, Technical Assistances (TAs) or consultants, as needed, to meet any short-term gaps in human resources or to respond to specific needs of the UPSNJP. This includes the Information Centre staff, among others.

Bank Service Charge: This covers costs charged by banks for transactions including exchange and transfer of project funds.

Coordination: Costs for extraordinary UPSNJP meetings with regional implementing agencies will be part of this budget.

Equipment and Materials: Small office equipment and supplies should be covered under this budget line. The maintenance of existing vehicles and other equipment can be financed through this budget line and is actively encouraged. Equipment such as vehicles and motorbikes can also be rented on a short-term basis (up to 3 months per financial year) or longer-term basis. This is an efficient use of UPSNJP resources when it allows the timely, predictable delivery of transfers to UPSNJP clients and creation of quality public works. While large-scale infrastructure development such as IT network installation would not be covered, replacement of component parts and minor computer purchases could be covered.

Travel and Transport: Frequent staff travel to regions and Cities is expected and the management budget will cover a pro-rata based proportion of the total transport needs of federal level implementing agencies. Expenses should include fuel, maintenance, spare parts etc. on a pro-rata basis. In addition, this budget is available for subsistence and per diem expenses, public transport and vehicle hire. Staff travel to the city will include travel for awareness raising, training, supervision and lesson learning.

Livelihoods related analyses: Any livelihoods related analyses conducted or commissioned. Livelihoods Related Analyses will be financed through this budget line. This may include the recruitment of local consultants.

Training: Any training including psychosocial and vocational training will be undertaken at federal level along with some overall development of overall training programs and training materials will be financed through this budget line.

Monitoring and Evaluation: Unless included under specified line items, monitoring and evaluation by the federal implementing agencies will be covered by this line item. This may include the recruitment of local consultants. Lesson learning events fall under this item (covering costs such as venue hire, documentation reproduction, etc.).

Rapid Response Mechanism: Costs related to the operation of the federal RRM will be covered under this line item.

Communication: A pro-rata based proportion of communication expenses (telephone and fax bills, email, ISP costs etc.) will be covered.

MIS budget can be used to finance consulting services and technical assistance to development of key instruments such as the program MIS, the poverty map/ indices, the mapped public works data base and single registry. It can also be used to finance the systems' operating costs, the key equipment to operationalize them (computer, server, network infrastructure etc.), and other costs associated with their establishment.

Capacity Building budget can be used to finance any activities identified in the capacity development strategy, including national training and workshops, international training and workshops, equipment,

furniture, the procurement and installation of rub-halls, vehicles and maintenance. Capacity development support is expected to be provided for all implementing agencies of the UPSNJP.

Evaluation and Audits budget should be used to finance costs associated with the household survey and impact assessment, public works reviews and impact assessment, the Gender and Social Development (GSD) implementation review, the annual audits and other key studies and reviews agreed between the Government and the Bank.

The safeguard budget can be used for monitoring and implementations of the safeguard.

Targeting and Citizens Engagement & Social Accountability budget can be used to finance consulting services and technical assistance to support the targeting process and used for activities that create environment that will facilitate effective delivery of program benefits through promotion of transparency and accountability, citizens' participation, and a system of registration and resolution of complaints and appeals (grievances).

All expenditures must comply with the budget headings and eligible expenditures. Any expenditure contrary to these budget headings is considered ineligible and cannot be charged to the project. If any such expenditure is identified, they will be reimbursed to the IDA.

15.4. Budget and Planning

Budget Preparation: The project will follow the government's budget system, recorded in the government's budget manual. The budget for the UPSNJP will be determined each year based on a formula mainly derived from the number of clients in each project city. The planning process also includes the budget (specific purpose grant) estimation for implementing the planned physical activities. At city level, the project budget for the city will form part of the City Investment Plan (CIP) which will be approved by the city council. For these purposes, the city, regional and federal level the Urban Job Creation and Food Security Agencies (JOBFSAs) will consolidate the annual work plan and budget at their respective levels. The federal level PCU under JOBFSAs will consolidate the federal level as well as the regional level work plans and budgets and submits it to the steering committee for approval. It will also seek the no objections of the World Bank. The F JOBFA will submit to MOF for final endorsement and proclamation. The budget preparation should be prudent, realistic and made with professional estimates to avoid unrealistic budgets which could lead to wrong conclusions about the program performance. Therefore, all levels of approval must take into account the situation on the ground and their professional abilities before approving budgets for the project.

Budget preparation and submission timeline should be communicated to all implementing entities. Planning should start in March of each year; regions/cities should finalize and submit their budget to the Federal level by April 30 of each year; the Federal level should hold discussions with cities to refine the budget and then submit the consolidated budget to the World Bank by June 1st of each year, the World Bank will provide no objection/comments by June 15 of each year. If revision based on WB comments is required, revised version will be submitted to the WB by June 25 of each year.

Budget Proclamation: The budget for the UPSNJP will be proclaimed at the federal level under the F JOBFA but with detailed regional breakdown for UPSNJP activities. The MOF will sign a Memorandum

of Understanding (MoU) with all regional governments implementing UPSNJP highlighting the fiduciary and other responsibilities that should be complied. The MoU will be signed with the office of the regional presidents hence automatically creating the accountability structure within the region. The compliance to the MoU will be monitored regularly by MOF. It will be open for further refinement and adjustment as needed. Although the budget is proclaimed at federal level, regional as well as city cabinets and councils will oversee the planning as well as the execution of the project throughout the year.

No	Sub-components	Budget calculation or transfer amount of UPSNJP
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Budget Control: Budgets will be regularly monitored at all levels and for this the coordination of the MOF with the Federal JOBFA, PCU MoLSA and JCC as well as with regional and city level implementers is critical. The budget will be monitored against actual expenditure at least quarterly. The budget variances will be adequately explained and justified through the quarterly IFRs.

Budgeting is structured around a two ways process:

1. A downstream process from the federal level down to the regions and then to the City which provides guidance to city on how to budget and any budget ceilings, and
2. An upstream process starting at the cities level then to the regions and the federal level.

Annual planning and budgeting starts at city level, beginning with participatory community planning exercises. An overall city UPSNJP plan and budget is prepared and submitted to the Regional Urban Job Creation and Food Security Agency.



Provision of budget ceilings

Prior to the launch of the planning process, which takes place in March of each year, it is critical that city/woreda/kebele be informed of key budget ceilings to enable them to plan accurately and within the resource envelope available.

Each region should then prepare a consolidated UPSNJP work plan and budget for all components for each budget year based on inputs from lower levels, and submit these to the Federal JOBFSAs for further review, updating and consolidation.

Finally, a consolidated budget will be submitted to MoF. Budgets should not be prepared and reported on a lump sum basis. There must be a breakdown, with proper identification of each key budget lines. The completed annual budget should include a quarterly breakdown of the budget to assist with cash flow forecasting

The final approved annual budget will be proclaimed at federal level under the Federal urban job creation and food security agency, but with detailed regional and sub-component breakdown of activities. The overall budgeting and budget approval process will follow the overall Government planning process and calendar.

Budget Formulas

The budget formulas to be used for the budget lines is presented below. As discussions are ongoing on the client with special needs sub-component, changes might be made to the formula in this regard. Any changes to this and other budget formulas will be communicated to stakeholders timely and a memo will be annexed to the PIM and FM manual.

1	Public work (conditional)	<ul style="list-style-type: none"> • 2.57 USD (90 ETB) per day per client • Household size =4 • Working days; 48 for year1 and 2, and 24 for year 3 per year per client.
2	Direct support (Unconditional)	<ul style="list-style-type: none"> • 9 USD (315 ETB) per month per client • Household size =4
3	Capital expenditure	29 % of the public work transfer
4	Services for the homeless and Urban Destitute budget	<ul style="list-style-type: none"> • For Children = 59 USD (2,065 ETB) per child per month • For homeless women with children (Up 3 children) = on average 108 USD (3,780 ETB) per women per month. • For Adults = 80 USD (2,800 ETB) per person per month • For Elderly = 63 USD (2,205 ETB) per person per month • MOLSA admin = 2% from the total transfer budget of the SN for two years • For city Admin = 4% of the city transfer budget for two years. • For regional admin = 1% of the city transfer budget • For the firm = 500,000 USD for two years
5	Livelihood Capacity building	<ul style="list-style-type: none"> • 100 USD per PW household • Estimated number of households is total number PW clients divided by 3. <ul style="list-style-type: none"> • For refugee component , estimated number of house hold is total number of PW clients divided by 3.6
6	Livelihood grant	<ul style="list-style-type: none"> • 600 USD per PW household • Estimated number of households is total number PW clients divided by 3. • For refugee window, estimated number of house hold is total number of PW clients divided by 3.6
7	Youth employment	<ul style="list-style-type: none"> • Stipend payment=2USD (70 ETB) per day per youth • The youth will participate for 22 days per month • The stipend will be paid for 9 months (6 months for apparent ship and 3 months for Job search.) • For child care = 17.14 USD (600 USD) per month for six months only.

8	MIS	Lump sum based on need
9	Evaluation and Audit	Lump sum based on need
10	Targeting and Citizens Engagement and social Accountability	1.5 USD per (PW+DS) beneficiary at federal level
11	Federal Capacity Building	<ul style="list-style-type: none"> Capacity building =3% of the base program cost (at the federal level)
12	Regional Capacity Building	Regional Capacity building = 1 % of the Base program cost
13	Safe Guard implementation	<ul style="list-style-type: none"> Lump sum for safeguard
14	City Administration Budget	<p>City administration budget = (493,200 USD for Year 1&2 and 776,220 USD for Year 3 to Year 5) + 2 % of the base program cost</p> <ul style="list-style-type: none"> Except salary , The food Security office and the office of labour and social afire (OoLSA) will share the budget with 84 % and 16 % ratio respectively.
15	Regional Management Budget	<ul style="list-style-type: none"> Regional management budget = (209,314 USD +1% of the Base program Cost for year 1 and 2) and (\$267,922 +1 % of the base program cost from year 3 to 5) Except salary , The food Security Bureau and the Bureau of labour and social afire (BoLSA) will share the budget with 84 % and 16 % ratio respectively.
16	Federal Management Budget	<ul style="list-style-type: none"> 3% of the base program cost
17	Project management and institutional strengthening Budget for integration of refugees and host communities	<ul style="list-style-type: none"> 6% Of (the refugee PW transfer +Capital Ex.) Additional 1 million USD and 457,805 USD is allocated for the 1st year and 2nd year respectively.
	Base program costs = transfer budget + PW capital costs + 3% admin costs at city level	

15.5. Cash Flow Forecasting

Accurate cash flow forecasting is critical to

achieving timely transfers and to ensuring quality project implementation, by ensuring that resources are in place when they are needed. As indicated above, the annual project budget should be broken into quarters to indicate the requirements for the project in each quarter.

Key considerations in cash flow forecasting include:

- The need to frontload capital and city administrative budgets

- The most appropriate timing of public work and livelihood activities
- The transfers for unconditional cash transfer clients will take place monthly.
- The transfer for special need beneficiaries will be based on the plan.
- The transfers for public works beneficiaries may vary from city to city depending on the approved transfer cycle.
- The timing of any major procurement items.

The table below provides some guidance on how to implement this forecasting:

Table 22. Cash Flow Forecasting Guidance

Budget Heading	July – Sept	Oct-Dec	Jan – March	April – June	Remark
Public works	Based on the varying transfer schedules				
Permanent direct support	25%	25%	25%	25%	But the starting date of the transfer matters
Capital expenditure budget	50%	50%			
Services for the homeless and Urban Destitute budget	25%	25%	25%	25%	
Livelihoods transfer	100 % when cities are ready to transfer the grant				
First work-experience for less educated youth	Based on the activity plan				
Strengthen Employment and Intermediation Services	Based on the activity plan				
Livelihoods capacity building	50%		50%		
MIS	As needed				
Evaluation and Audit	As needed				
Targeting and Citizen engagement and Social Accountability	50%		50%		
Federal Capacity building	As needed				

Regional building	Capacity	As needed			
Safeguard monitoring and evaluation		As needed			
City administrative budget		50%		50%	
Regional level management budget		40%	40%	20%	
Federal level management budget		40%	40%	20%	

When preparing the above cash flow, implementers should take into consideration the dates that resources will be disbursed by MoF and its relevant offices at cities/town. These dates are as follows:

- Quarter 1: July 8
- Quarter 2: October 5
- Quarter 3: January 5
- Quarter 4: April 5

As soon as BoF receive resources from MoF, they should transfer the appropriate funds to city and regional implementing agencies within 3 working days. However, cash transfers in subsequent periods may vary from the above transfer table depending on the utilization performance of city and regions whereby instructions to use carryover balances for forthcoming resource requirements.

In preparing cash requirement forecasts, JOBFSA should take in to account the carryover cash balances of each specific city and major budget categories in order to ensure that the project will not be exposed to different risks caused such as excess or shortage of cash holdings.

15.6. Fund Flow

The project follows the government's Channel 1 fund flow mechanism. Hence, MoF will receive funds from IDA and transfers to BoF and federal level implementing entities. The key steps in the funds flow are as follows:

Step 1: The Bank deposits contributions to the program into segregated designated foreign currency bank accounts at the National Bank of Ethiopia.

Step 2: MOF transfers money from the segregated designated bank accounts and deposits the equivalent amount in Birr into the pooled Birr bank account for the UPSNJP in the National Bank of Ethiopia (NBE) as required. This ensures a continuous cash flow to the project.

Step 3: Once the UPSNJP Annual Federal Safety Net Plan has been approved in June, JOBFSA/PCU submits to MOF an annual budget by region and Cities, within 5 days of the approval of the Annual Plan. At the same time, federal JOBFSA sends this information to Regional JOBFSA. Within two days of receiving the annual budget, MOF communicates this to BoF and MoLSA. This is completed by July 15 of each year.

If MoF, MoLSA, Regional Food Security Agencies or BoF note any discrepancies between the annual budget and the approved Annual Plan, these should be corrected immediately by federal JOBFSAs/PCU and MOF. Any corrections should be completed within 5 days.

The annual budget for each city/region prepared by federal JOBFSAs/PCU will be communicated to regions/cities. On a quarterly basis, federal PCU under JOBFSAs prepare and submit a six months' expenditure and cash requirement forecast to MOF in line with the annual plan. This forecast will be part of the quarterly IFR, which will be submitted to the IDA within 60 days from end of each quarter for clearance and request for cash advances.

Step 4: Federal JOBFSAs request MoF to transfer resources to implementing entities as per the resource allocation plan for a given period. Federal JOBFSAs also inform MOF if there are any changes in the resource allocation plan for any given period. This information is sent to Regional Food Security Agencies at the same time via E-mail.

Within 2 days of receiving the cash transfer request, MOF instructs the National Bank of Ethiopia to transfer the cash resources to BoF, JOBFSAs, MoLSA, and JCC to be deposited into UPSNJP specific bank accounts. This instruction is copied to BoF, JOBFSAs, MoLSA and JCC. The National Bank is expected to comply with this request within 2 days.

Step 5: Upon receipt of the copy of the resource transfer letter sent from federal JOBFSAs to MOF, the Regional Food Security Agencies write a letter to BoF requesting the onward disbursement of resources to Cities bank accounts, and regional department accounts, as per the region's resource allocation for that given period. A copy of this letter is sent by e-mail or fax to the cities and respective regional Bureaus. This letter is prepared within 2 days of receipt of the communication from federal JOBFSAs.

Upon receipt of the notification that MOF has instructed the National Bank of Ethiopia to transfer resources and the instruction from Regional Food Security Agencies, BoF prepare a letter to the Commercial Bank instructing the onward disbursement of resources to City accounts, and to regional department accounts. This letter is sent by e-mail or fax to City finance and economic development.

BoF follow up with the Commercial Bank by telephone and in person to make sure that the money was received and sent to the city in a timely fashion. If there are delays, BoF should communicate these to MOF, which will follow up with the National Bank.

Step 6: City finance and economic development office follows up with the Commercial Bank to confirm receipt of the funds in their UPSNJP account. City finance and economic cooperation office checks that the amount received in the UPSNJP account matches the amount expected as per the resource allocation plan for that given period. If there are any discrepancies, the City finance and economic development office communicates this discrepancy immediately to BoF by telephone.

Step 7: The City finance and economic development office verifies payment request of all components of UPSNJP and transfers to CBE, based on requests from the city Urban Job Creation and Food Security office and as per the Urban payroll and attendance sheet system (UPASS). CBE effect payments to the clients' CBE bank accounts. Payrolls should be submitted to CBE in line with the MoU between MOF and CBE.

Step 8: City finance and economic development office maintains a record of the use of UPSNJP resources based on the agreed accounting procedures. BoF provide assistance to the City finance and economic development office on a regular basis to ensure that these procedures are carried out correctly.

Step 9: Any UPSNJP cash resources that are not used during the fiscal year are NOT returned to the federal account, and are instead rolled over for use during the next fiscal year.

The above steps summarize the fund flow mechanism once advances are received by MoF from IDA through a cash forecast request submitted along with an IFR. There are also other means using which the project can obtain financing from IDA. These are Direct payment, Special commitment and Reimbursement. In general, four disbursement methods will be used.

1. Advance to Designated Account

The report-based disbursement would be followed for the project, i.e., based on quarterly Interim Financial Reports (IFRs). Disbursement will be made quarterly and would cover cash requirements based on the six months' cash forecasts contained in the IFRs. The Bank may advance loan proceeds into a Special/Designated Account of the project to finance eligible expenditures incurred and for which supporting documents will be provided at a later date.

2. Direct payment

These refer to payments to a third party (e.g., contractor, supplier, and consultant) for the cost of project expenditures. Documentation is provided showing that such expenditures have been incurred at the time a request for payment to the third party is made.

3. Reimbursement:

These are payments to the borrower for the cost of project expenditures. The borrower provides documentation showing that such expenditures have been incurred and paid from its own resources at the time a request for payment is made.

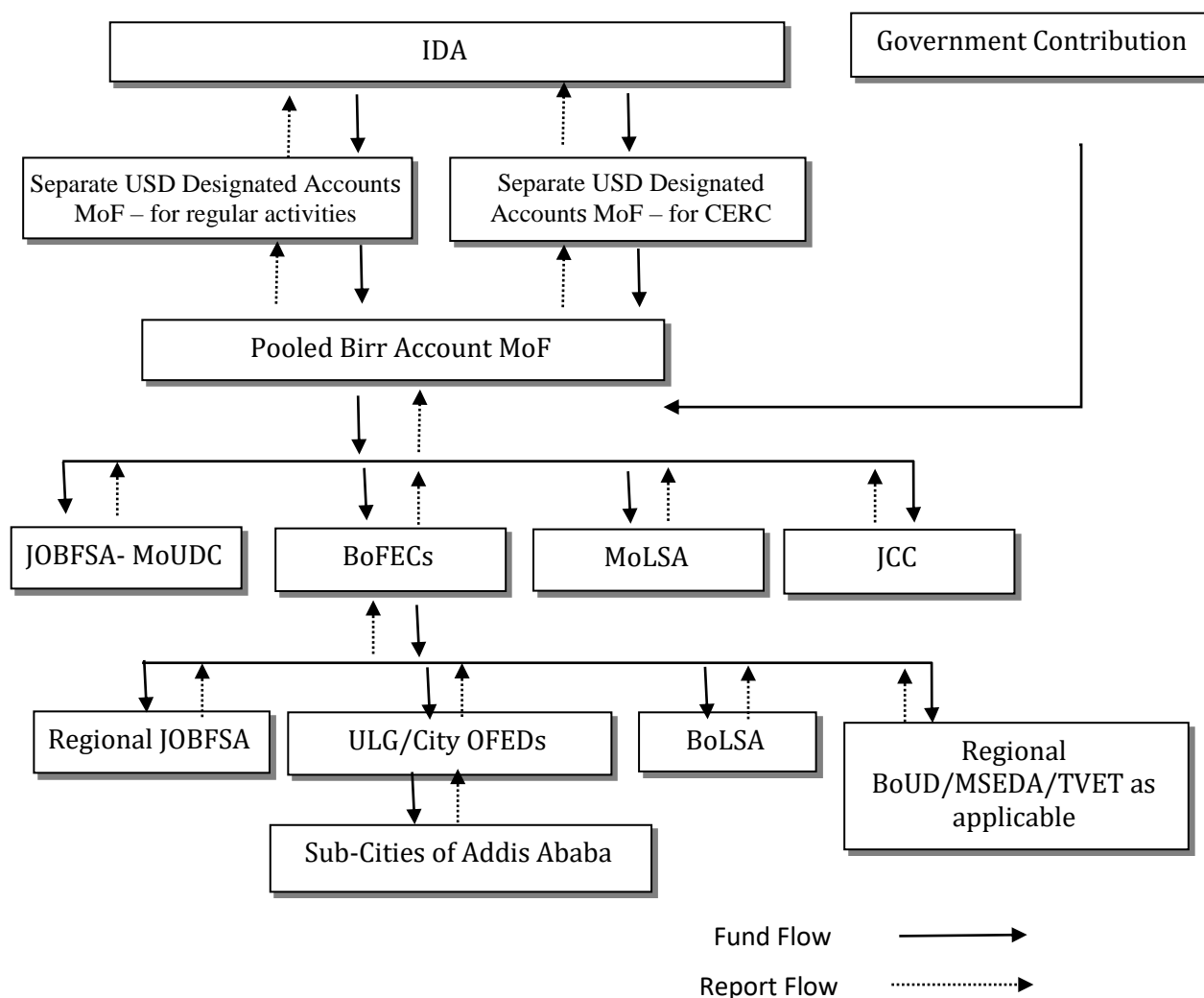
4. Special Commitment

These denote payments to a financial institution for the cost of project expenditures covered by a special commitment. A special commitment is an irrevocable commitment, such as letter of credit, entered into in writing to pay such amounts notwithstanding any subsequent suspension or cancellation.

The project has a Contingent Emergency Response Component (CERC). MoF will open a CERC separate designated account to receive funds from the World Bank. The project will develop a manual for the CERC execution, and this will include FM-related procedures/arrangements

The Advance to the designated account mechanism is summarized in the diagram below:

Figure 5. Flow of Funds



For fund transfer to Service Providers under the clients with special needs budget line, detailed procedures will be laid out in a guideline to be prepared for this purpose also considering any proposed changes. Currently, initial advance up to 10% is provided (with appropriate guarantee for the advance provided by the SP as per the FM regulations of government) and subsequent transfers are based on submission of supporting documents for settling previous advances. This is administered through a contractual agreement signed between the SP and MoLSA.

15.7. Internal Control and Internal Audit

The government's internal control systems are to be used for this project. Detailed internal control procedures are laid out in the project's FM Manual. These include controls on processing transactions, bank reconciliations, payrolls, fixed asset management, etc. In addition, beneficiary payments should be monthly reconciled by obtaining report from the CBE. Internal Auditors at all implementing entities

should include the project in their annual work plan and conduct internal audit on projects accounts regularly.

15.8. Accounting and Staffing

The project will follow the government's accounting policies. Accordingly, Modified cash basis of accounting will be applied and the project will use the government's accounting manual. For some project specific procedures, the project's FM manual will be used. IBEX software will be used for accounting purposes. In some instances, where IBEX is not functional anymore, the new government accounting software IFMIS must be deployed. The Charts of accounts to be used are detailed in the project FM manual. The project will hire finance experts at all levels to support the financial management activities of the project. The project should at all times maintain qualified and required number of finance staff. Adequate training (at least annually) and supervision (at least semi-annually) should be conducted by MoF and F JOBFSAs.

15.9. Financial Reporting

Reporting Requirements: The MoF will prepare quarterly consolidated Interim Financial Reports (IFR) and submit to the World Bank within 60 days of the end of the quarter. The format and the content, consistent with the World Bank's standards, are agreed with MoF. A common single IFR is used for all the finances by the Bank and the Government. MoF, in the quarterly IFR, ensures that advances received as well as documentation of expenditure for each financier are separately identified and reflected. At a minimum, the report will include: A statement of sources and uses of funds and opening and closing balances for the quarter and cumulative, a statement of uses of fund that shows actual expenditures, appropriately classified by main program activities (categories, components, and sub-components), actual versus budget comparisons for the quarter and cumulative will also be included, a statement on movements (inflows and outflows) of the Program Designated Account, including opening and closing balances, expenditure forecast for the next two quarters together with the cash requirement and Notes and explanations, other supporting schedules and documents.

Reporting Time tables and Quality: The MoF submits timely and good quality IFRs on a quarterly basis. In compliance with the government's financial rules and regulations as well as IDA's requirements, MoF will produce annual financial statements similar to the contents of the quarterly IFRs. The annual financial statement will be similar to the IFRs with some modifications as to be indicated in the audit TOR. These financial statements will be submitted for audit at the end of each year.

The timely submission of quality financial reports is critical to ensuring that cash resources flow to the UPSNJP as required by the Annual Plan. Financial reports trigger the replenishment of the UPSNJP designated account by IDA and also determine whether or not deductions will be made to transfers from federal to regional level to account for carry-over balances. Because of this, it is vital that City finance and economic development offices, BoF, and MoF work diligently to submit quality reports on time. If IFRs are not received on the due date and are of insufficient quality, disbursements from the IDAs may be delayed until reports of adequate quality are received. This in turn could result in late transfers, undermining project impact. Moreover, timely and quality performance and submission of the financial report will be subjected to positive reward as stated in the incentive guidelines.

The process for financial reporting is described below:

Step 1: Each City finance and economic office prepares a monthly financial statement and submits a quarterly financial report, as specified in the Financial Management Manual, to the BoF within 20 days after the quarter has ended. The financial reporting format will be as agreed between the Government and IDA and detailed in the Financial Management Manual.

City finance and economic development office submits a copy of the final report to the City Urban Job Creation and Food Security office, which reconciles the financial report with the physical progress reports. In regions where the zonal system is active, City finance and economic development office could send their quarterly financial reports to the Zonal Finance and Economic development office (the UPSNJP accountants) who will in turn submit them to BoF.



City review of financial reports

Financial reports are a key input to city reviews of progress to date. In order to fully assess performance and understand whether implementing agencies need further support, all agencies represented at city level involved in UPSNJP implementation need to receive a copy of the report to review their own narrative reporting.

Step 2: BoF review the financial reports received from cities and consolidate with their own financial reports to produce a regional IFR. This should be submitted to MoF within 20 days from receipt of the city report.

Step 3: MoF reviews the reports it receives from the BoF, JOBFSAs MoLSA and JCC to verify the quality and completeness of the information. MoF then analyses the information it receives from regions and the accounts held at federal level.

MoF will discuss the report with federal JOBFSAs. The final consolidated Interim Financial Report (IFRs) is then submitted to IDA within 60 days after the end of the quarter. A copy of the report is also submitted to federal JOBFSAs. Delays in submission or issues related to quality may mean that future disbursements are compromised for the entire project.

Step 4: As part of the quarterly IFRs, City finance and economic development office analyses its cash resources to determine if there are any delays in the system and, if so, how these can be fixed. This information is submitted to MoF, which analyses the reports from all cities and takes steps to address any delays.

Step 5: On an annual basis, MoF prepares annual financial statements, which will be submitted to external auditors.

The project envisages using the Government of Ethiopia's financial recording and reporting system, IBEX, for accounting and reporting on UPSNJP expenditure on a standalone basis. However, at city and federal level, all city BoF and MoF will use IBEX to consolidate and produce the financial reports and all UPSNJP expenditures should be entered into the system and reports are automatically generated. The existing chart of accounts of the IBEX for the UPSNJP has been customized to fit into specific features of the project.

15.10. External Audit

This section provides the external audit requirements of the project. MoF and IDA have agreed on the audit ToR to be used for this project.

Annual Financial Audit: The annual financial statements are audited by the Office of the Federal Auditor General (OFAG) or an auditor assigned by OFAG. The objectives of the audit of the project financial statements is to enable the auditor to express a professional opinion on the financial position of the program at the end of the fiscal year, and on funds received and expenditures incurred for the relevant accounting period. MoF submits the annual audited project accounts to the IDA six months after the end of each fiscal year, which ends on July 7.

The Annual Financial Audits makes sure that all UPSNJP cities and implementing agencies are covered over the life of the program and subsequent period audits include selected 11 Cities which have been audited previously for follow-up. MoF should prepare an Audit Action Plan covering all audit findings identified by the Auditors within one month of receipt of the audit report and submit to the Bank. This should also be communicated to all implementing entities. MoF should prepare a status report for action taken on the audit findings as per the Audit Action Plan. This should be submitted to the Bank within one month of the submission of the Audit Action Plan. Follow-up status reports should be submitted as required.

CHAPTER 16. PROCUREMENT

16.1. Introduction

16.1.1 Background

The project implements different components comprising varieties of procurement activities and even some are unique by nature such as procurement of service providers for the urban destitute adding the need of comprehensive approaches in following agreed procurement procedures. This section tries to consolidate the essentials of procurement under the project. The project is implemented by a number of implementing agencies that are at different level of knowledge and experience on the governing procurement rules and procedures. Hence it necessitates for a clear guidance on how procurement can be conducted under the project.

16.1.2 Purpose of the Procurement Section

The procurement section is intended to guide the procurement staff and other officials responsible for and involve in the execution of the project to understand the governing procurement rules and institutional arrangement in their day to day work of procurement in line with the Financing Agreement and governing procurement Regulation. This section also provide guidance on the use of the funds allocated for the project in an efficient, transparent and fair manner consistent with the core procurement principles for the achievement of the development objectives of the project.

This section describes the procurement implementation arrangement, duties and responsibilities of each implementing agency, agreed and governing procurement rules and procedures for the effective and efficient implementation of the project procurement. It provides guidance to the procuring entities about the procurement of goods, works, non- consulting services, and procedures for selecting consultants required for the project. The section captures the latest development and changes in the procurement environment and addresses practical procurement issues at all levels. This section is a live document and can be revised and updated as required.

16.1.3 Main Objective

This section helps how the implementing agencies can manage procurement activities identified, planned and approved for each fiscal year. The main objectives are:

- a) To ensure the implementing agencies have the full insight on the agreed and governing procurement rules and procedures
- b) To provide procurement implementation arrangement and the governing guidelines that will be applicable for UPSNJP
- c) To monitor and report the procurement status on a regular basis using Systematic Tracking of Exchanges in Procurement (STEP)
- d) using of STEP to carry out all UPSNJP procurement
- e) Ensure all the implementing agencies maintain a proper procurement records

16.1.4 Architecture of the Procurement Section

The section comprises mainly (i) introduction (ii) procurable items (iii) Applicable Policies, Regulation and Rules (iv) List of SBD, SRFP and different templates (v) Procurement Plan and STEP (vi) Procurement Implementation Arrangement (vii) Procurement Oversight, Monitoring and Supervision and (viii) Record Keeping

16.2. Procurable Items

The implementation of UPSNJP involves numerous procurement activities. Procurable items under the project include small works, Goods Consulting services and non-consulting services. The details are shown below:

- **Goods:** vehicles, office furniture, public work tools and equipment, generators, IT equipment, construction materials for public works, goods for urban green infrastructures, open gym, urban agricultural inputs, pushcart, tricycle, first aid kit, safety tools and kits.
- **Small Works:** semi-skilled labour for the urban watershed facilities, production and sales premises, urban greenery development and management, small crossings, different sizes of public and communal toilets and latrines, drainage ditches, small flood control structures, etc.
- **Non-consulting Services:** selection of service providers for the urban destitute, selection of service providers youth job creation, transport, janitor and cleaning, security services, printing, etc.
- **Consulting Services:** technical assistance, studies, reviews, project audits, impact evaluations, project component work reviews, financial and procurement audits etc.
- **Training and Workshops including Counseling Service:** training and workshops to improve project management and address capacity limitations in various areas based on an annual training plan and budget that will be submitted to the World Bank for its prior review and approval. Various trainings and workshops at different levels, Carrier counseling, psychosocial counseling for special target groups such as street children, destitute and the homeless. The Government sees this service as crucial to transition the “special target” group from destitution to employability.

16.3. Applicable Procurement Regulation and Policies

Procurements of Goods, Works, Non-Consulting Services and Consulting services under the project shall be carried out in accordance to “World Bank’s Procurement Regulations for IPF Borrowers” July 2016, revised November 2017 and August 2018 (here after referred as “the Procurement Regulation”); Procurement will also comply with “Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants” revised as of July 1, 2016; and the provisions stipulated in the General Conditions of the Legal Agreement.

When approaching the national market, as agreed in the Procurement Plan, the procedures of GOE’s Federal Government Procurement and Property Administration Proclamation No. 649/2009 and the Federal Government Public Procurement Directive issued by the Minister of Finance June 2010 may be used. These procurement procedures shall be consistent with the Bank’s Core Procurement Principles and ensure that the Bank’s Anti-Corruption Guidelines and Sanctions Framework and contractual remedies set out in the Legal Agreement apply. For national open competitive procurement, the requirement provided under section 5.4 of the World Bank’s Procurement Regulation for IPF Borrowers shall apply.

16.4. List of SPD, SRFs and Different Templates

The following lists of World Bank’s and the Federal Governments Standard Procurement Documents (SPDs) are applicable to the project.

Goods, Works and non-consulting services

- RFB for Procurement of Goods (one envelope process): recent revision
 - Request for Bids - Small Works (1 envelope process) recent revision
 - Bid Evaluation Form: Procurement of Goods or Works-April 1996.
 - Pre-qualification Documents: Works: recent revision
 - Procurement of Small Works – recent revision
 - UNOPS Standard Form of Agreement vehicles, - recent revision
 - Standard Request for Quotation (RFQ) Format issued by FPPPA (2006) or recent revision
 - Standard Bidding Document for the Procurement of Goods and related services (NCB) issued by the FPPPA (Version 1, January 2006 revised April 2011 or recent revision)
 - Standard RFQ issued by FPPPA – for very small value contracts – recent edition
 - SPD for the Supply and Installation of Information System (October 2017 or recent revisions)
 - Standard SPN template - recent revision
- Consultancy Services
- Standard Request for Proposals: Selection of Consultants – recent revision.
 - Sample Form of Evaluation Report: Selection of Consultants – October 1999.
 - Standard REOI Template
 - Standard GPN Template

For Open International Competitive Procurement, the project implementing agencies shall use the Bank's Standard Procurement Documents (SPDs), available on its external website at www.worldbank.org/procurement/standarddocuments. For Procurement involving national competitive Procurement, the project implementing agencies may use FPPPA SBD provided that the bidding documents are prepared to the satisfaction of the World Bank.

The required list of SPD, guidance notes and different templates can be found from the World Bank's website (www.worldbank.org/procurement).

16.5. The Procurement Plan and Use of STEP

The first and most important step in the procurement cycle is the identification of the required items and services to be procured and determine when those works/ goods/services are required for the project activity. This requirement shall be reflected in the procurement plan and the project implementing agencies shall perform proper planning for all procurement activities in order to ensure that they meet their needs in the most effective, economical and timely manner. The duration and time required to properly carry out each stage of procurement activity should be estimated carefully to develop a realistic procurement plan. The implementing agencies should provide proper procurement category, the recent market price as an estimated amount, select proper market approach and procurement method and contract type in the procurement plan. The procurement plans will be regularly updated to reflect changes in the course of project implementation.

A procurement plan is a legal requirement in the procurement process. Annual procurement plan shall coincide with annual budgets and targets to be achieved. Plans shall address the technical, operational, management, financial and other significant considerations. This should be carried out by the user section/entity and should result in clear identification of the items and corresponding specific functional and service requirements. The relevant staff at all levels that are engaged in planning and managing procurement and contract must be aware of all governing legislation and the agreed procurement rules and procedures in order to inform decision-making processes.

As the project is governed by the World Bank's New Procurement Framework, it is mandatory to use STEP which is an online procurement planning, implementation, monitoring and reporting system. The Implementing Agencies (IAs) at Federal, Regional office and City levels shall use STEP for all procurements they carry out under the project. The procurement specialist at the Federal PCU,

MoLSA, JCC, Regional office and at the City level are responsible for uploading all procurement plans in STEP and regularly updating and uploading the documentation and all information for all initiated and completed contracts on time. The procurement plan (STEP) for new cities in the respective regions will be managed by the Regional office. These procurement officers in each regional office shall be provided with the necessary facilities including reliable internet connection and training on how to operate and use the system. The procurement plan by the 10 sub-cities in Addis Ababa will be managed by the Addis Ababa UPSNJP PCU. The Procurement specialist at the Addis Ababa UPSNJP PCU shall prepare an annual procurement plan based on the approved work plan and upload the procurement plan and the required documentation and information in STEP for the Addis Ababa city and the Sub Cities. All procurement plans for Regional office, Cities and Sub Cities shall be submitted to the Federal PCU for review, and endorsement and submission to the World Bank for its review and no objection. All communications from the project implementing agencies with the World Bank shall be carried out through the federal PCU of the JOBFSAs.

The three Federal implementing agencies and 11 Cities who are involved in the implementation of UPSNP are responsible for managing their own procurement plan and documentation in STEP. The PCU in JOBFSAs will be responsible to manage STEP for MoLSA and JCC until they gain experience, receive training and recruit qualified procurement specialists dedicated to the project. While for other Cities the regional offices are responsible for reviewing and uploading the procurement plans and all documentation in STEP for the Cities in each Region.

The STEP operation and management of the project will be made by the 11 UPSNP Cities, Federal level implementing agencies and regional offices. The regional offices are responsible to manage and operate STEP for all procurement activities of the new Cities including timely uploading of documents and information. The PCU in JOBFSAs is responsible for STEP management and operation at the Federal level including for MoLSA and JCC until these two Federal level implementing agencies establish the required capacity to manage and operate STEP in all aspects. The 11 UPSNP Cities will be fully responsible to manage and operate STEP using their past experience in procurement of various types of activities.

Procurement plan should be prepared and approved by the authorized institutions or body in each implementing agency before the plan is finalized and uploaded in STEP. The Federal, Regional offices, Cities and Sub-Cities level procurement plans and any revisions shall be thoroughly reviewed, compiled and approved by head of the respective implementing agencies. All procurement plans and their respective updates shall be reviewed and cleared by the World Bank through STEP prior to commencement of the procurement process.

Once procurement needs have been identified and specified and approved in STEP, the concerned program implementing institutions will ensure that procurement is initiated and carried out in time and in accordance to the procurement method, market approach and other provisions provided in STEP. The procurement plan should give sufficient lead time to initiate and implement each stage of the procurement process. The implementing agencies will ensure that appropriate review and approvals of the procurement process at each level are in place.

Procurement should be carried out in accordance with the provisions in the approved procurement plan. The Procurement activities carried out without an approved procurement plan in STEP are considered as ineligible expenditures and are not financed through program fund.

Planning and timely disbursement of funds are critical to successful procurement processes. Procurement plans should be submitted annually and updated as need arises. Funds for approved procurement plans should be released once at the first quarter of the fiscal year.

16.6. Procurement Implementation Arrangement

16.6.1 Implementation Arrangement and Organization for the Procurement Function

The procurement for the proposed project is implemented at four levels:

- **At Federal:** JOBFSa, MoLSA and JCC
- **At Regional:** by the regional offices to be established at Regional Urban Job Creation and Food Security Agency or Enterprises and Industry Development Bureau or Technical, Vocational and Enterprises Development Bureau in some Regions
- **At City level:** City Finance and Economic development Office except Addis Ababa city which is managed by the City PCU Office
- **Sub City level in Addis Ababa City Administration-** The finance and Economic development of each sub city.

The Project Coordination Unit (PCU) established in the JOBFSa is playing a coordination, monitoring and facilitation role and responsible to carry out the activities planned by the agency. These three Federal implementers carryout their own procurement activities. 81 cities from all Regional states including two Federal City Administration (Addis Ababa and Dire Dawa) also implement their own procurement activities. The Finance and Economic Development (FEDO) of each city is responsible for the procurement planning, processing and implementation of planned procurement activities. The Regional Liaison Office that will be established in each Region is responsible to procure office furniture and equipment on behalf of the cities, provide close support, monitor and oversee the implementation of the project including procurement at the cities of their jurisdiction.

The procurement function should be organized to ensure that there is proper procurement implementation, monitoring and oversight in each implementing agencies. The implementing agencies will have this core organization to properly carryout the project procurement:

Table 1: Organization of the procurement function

JOBFSa	MoLSA	JCC	Region(Urban Job Creation Bureau and Food Security Agency/Bureau/Enterprise)	City (City Finance and Economic Development Office)
<ul style="list-style-type: none"> • FPCU • Procurement Directorate • Tender Evaluation Committee Adhoc) • Procurement Endorsing Committee • Internal Audit • Complaint management system • Contract management system 	<ul style="list-style-type: none"> • Finance and Procurement Directorate • Procurement unit • Tender Evaluation Committee • Procurement Endorsing Committee • Internal Audit • Complaint management system • Contract Management 	<ul style="list-style-type: none"> • Finance and procurement Directorate • Procurement unit • Tender Evaluation Committee (Ad hoc) • Procurement Endorsing Committee • Internal Audit • Complaint management system 	<ul style="list-style-type: none"> • Procurement and Finance Directorate • Regional office (procurement specialist) • Tender Evaluation Committee (Ad hoc) • Procurement Endorsing Committee • Internal Audit unit • Complaint management system • Contract management system 	<ul style="list-style-type: none"> • Procurement core process • Procurement officer/Team • Tender evaluation committee (Ad hoc) • Procurement endorsing committee • Internal audit unit • Complaint management system • Contract management

	system	<ul style="list-style-type: none"> Contract management system 		system
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16.6.2 Duties and Responsibilities

The Procurement Directorate in the JOBFSa is the primary responsible unit for implementation of procurement activities at the Federal level, the directorate is the responsible legal organ established to lead and own the procurement activities of the agency including establishing comprehensive monitoring and oversight mechanism and hence is accountable to lead the procurement process of UPSNJP in close collaboration with the PCU. The PCU, housed in the JOBFSa, will facilitate and provide support for smooth implementation of the procurement activities in the project. The JOBFSa through its PCU will be responsible for the following:

- a) Monitoring, supervising, coordinating, and oversight of all project procurement activities
- b) Coordinating procurement reviews and audits
- c) Organizing procurement capacity-building programs
- d) Procuring major common use items and strategic goods and equipment (vehicles, bulk office equipment including computers and software, and so on)
- e) Selecting and employing large-value consultancy services and other consultancy services, which have the nature of covering two or more implementing agencies
- f) Advertising open International Competitive Bidding contracts on the United Nations Development Business online on behalf of all implementing agencies
- g) Selecting and employing independent procurement audits and ensuring that the procurement audit is carried out on annual basis and that immediate and appropriate action are taken on the audit findings.
- h) Consolidation of procurement plans for all contracts
- i) Supervision of other implementing agencies
- j) Ensure all procurement plans and the required documentation and information are uploaded in STEP
- k) Provide close support and guidance to all implementing agencies at all stages of the procurement process and contract management

Regional office and City level implementers will be responsible for the procurement of goods ,works and non-consulting services which are procured through open national and Request for quotation (RFQ) for small value contracts procurement method. The Sub Cities in Addis Ababa will be responsible for the procurement of locally available capital goods for public work activities using request for Quotation procurement method. The Cities are responsible for the procurement of 1) readily available off-the-shelf goods, 2) standard specification items of small value, or 3) simple civil works of small value, when more competitive methods are not justified on the basis of cost and efficiency in accordance with the Procurement Regulation. All procurement activities to be conducted through open international market approach shall be conducted by the PCU in JOBFSa. However, the Cities can be delegated case by case, to manage international bids depending on their capacity on staffing and experience. **The detailed duties and responsibility matrix for each implementing agencies is shown in the annex.**

Procurement at Federal Level

Procurement at JOBFSa: The Federal PCU at the JOBFSa of the MoUDC, which is the focal organization for the implementation of the UPSNJP, shall coordinate all procurement activities of the

project at the central level and shall be responsible for communicating with the Bank on review and approval of procurement plans and requests for prior reviews.

Procurement at the Federal level is based on the Federal UPSNJP Annual Plan. Strategic good shall be consolidated and procured centrally by PCU at JOBFSa.

Federal PCU should develop a consolidated procurement plan based on an assessment of capacity building requirements at the Federal level carried out by each implementing agency. The procurement plan, if only necessary, may also include items where the Regions request the Federal to procure on their behalf. The FPCU then forwards this plan to the World Bank together with the AWP&B for approval in July of the fiscal year. The Procurement team in FPCU should closely work and provide support and guidance to the Cities and other Federal level project implementing agencies to finalize the preparation of comprehensive and complete procurement plan as part of the AWP&B. Then each procurement staff at each level is required to upload each activity in STEP after the procurement plan is approved as part of the AWP&B.

Each implementing agency then initiate and procures the goods and services once it is reviewed and approved through STEP.

The implementing agency should follow the below step with the responsible body for the initiation and processing of the approved procurement plan through STEP.

Table 2: Federal JOBSA Procurement Processes and Responsibilities

Step	Activity	Responsibility
1	Preparation of complete and comprehensive technical requirements	The technical team with the support from the procurement team
2	Preparation of Procurement Plan	UPSNJP Procurement Specialist(PCU) after the PP is approved as part of the AWP&B
3	Approval of Procurement Plan	By the endorsing committee and then by Director General, JOBFSa
4	Preparation of bidding documents/RFPs/RFOs	UPSNJP Procurement Specialist(PCU)
5	Approval of bidding documents/RFPs /RFOs	Procurement Endorsing committee, JOBFSa
6	Bid/proposal/Offer opening	Bid Opening Committee (JOBFSa/PCU)
7	Bid/proposal/Offer evaluation	Bid Evaluation Committee (JOBFSa/PCU)
8	Approval of evaluation reports	Procurement endorsing committee - JOBFSa
9	Contract award	Director General/ JOBFSa
10	Complaint handling	Director General/ JOBFSa
11	Preparation/formulation of contract document	UPSNJP Procurement Specialist(PCU)
12	Contract signature	Director General/ JOBFSa
13	Contract management	The technical team with the procurement team

Procurement at MoLSA: The procurement unit in the Finance and Procurement Directorate of MoLSA is responsible for the procurement activities managed by **MoLSA**. The unit should be staffed with the required qualified procurement staff and contract management specialist dedicated to the

project. MoLSA is responsible for the Procurement of all activities related to the urban destitute with special emphasis on the procurement of service providers for the homeless/urban destitute that should be jointly carried out with close support from the FPCU.

Procurement of the service provider for the urban destitute: This category mainly includes the procurement of service providers to the urban destitute. The main purpose is providing basic social and livelihood services to four categories: (i) young people, (ii) street children, (iii) mother with children, and (iv) elderly which is mainly to improve economic, educational and social reintegration of homeless people in the project implementing cities. The impacts of the service are measured by the number of homeless people integrated with their family, received training and got job opportunity, who received a full package of basic services (defined as 3 meals a day, shelter with sleeping facilities, appropriate playing and sleeping accommodation, access to formal or informal education, access to medical services), received psycho-social support, the street children linked with other service providing institutions, which enhances employability and the number of children reunited with their family or placed in a foster family.

The private sectors are not appropriate to deliver these services as the indicated service has a humanitarian nature and needs to look for fit-for-purpose procurement approach. The intended service is provided only by local NGOs, charity, religious and humanitarian organizations as they have a suitable setup, experience and relevant expertise related to the needs of urban destitute and the services to be delivered. There are no enough service providers (NGOs, Relief and Charity Organization) who have the adequate capability and set up in each project implementing city. Based on earlier experience, hardly one NGO could be identified for a set of categories who can meet the required capacity. Thus, following a competitive process is practically not possible and direct contracting with identified NGO is the only 'fit-for-purpose' solution. Hence, the appropriate procurement method for this service is to identify NGO on ground with similar experience and select them following Direct Contracting (DC). If the NGO is not already identified, the identification of capable and experienced service providers may be conducted by preparing a necessary requirement, advertising for Expression of Interest (EOI) through desired media/widely circulated media on national level, and identify qualified service providers for each set of the four categories. The implementing agencies then, negotiate and conclude the contract if the negotiation is successful with the identified NGO.

Table 3: MoLSA Procurement Processes and Responsibilities

Step	Activity	Responsibility
1	Preparation of complete and comprehensive technical requirements	The technical team with the support from the procurement team
2	Preparation of Procurement Plan	Procurement Specialist after the PP is approved as part of the AWP&B
3	Approval of Procurement Plan	Minister/State Minister
4	Preparation of bidding documents/RFPs/Invitation for Prequalification(ITP) for service providers	Procurement Specialist in the procurement unit of the Ministry.
5	Approval of bidding documents/RFPs / Invitation for Prequalification(IFP) for service providers	Procurement Endorsing committee
6	Bid/proposal opening	Bid Opening Committee
7	Bid/proposal evaluation	Bid Evaluation Committee

8	Approval of evaluation reports/prequalification reports	Procurement endorsing committee
9	Contract award	Minister/State Minister
10	Complaint handling	Minister/State Minister
11	Preparation/formulation of contract document	Contract management specialist in the procurement unit.
12	Contract /signature	Minister/State Minister
13	Contract management	Contract management specialist with the technical team

Procurement at JCC: The procurement unit in the Finance and Procurement Directorate is responsible for JCC'S procurement. The unit should have adequate number of qualified and experienced procurement staff and a dedicated procurement specialist for the project.

Table 4: JCC Procurement Processes and Responsibilities

Step	Activity	Responsibility
1	Preparation of complete and comprehensive technical requirements	The technical team with the support from the procurement team
2	Preparation of Procurement Plan	Procurement Specialist after the PP is approved as part of the AWP&B
3	Approval of Procurement Plan	Commissioner
4	Preparation of bidding documents/RFPs/ RFQs	Procurement Specialist sitting in the procurement unit of the commission
5	Approval of bidding documents/RFPs/RFQs	Procurement Endorsing committee
6	Bid/proposal/Offer opening	Bid Opening Committee
7	Bid/proposal /Offer evaluation	Bid Evaluation Committee
8	Approval of evaluation reports	Procurement endorsing committee
9	Contract award	Commissioner
10	Complaint handling	Commissioner
11	Preparation/formulation of contract document	Procurement specialist
12	Contract signature	Commissioner
13	Contract Management	The technical team with the procurement team

Procurement at Regional Office level

Due to the large number of UPSNJP implementing Cities in each region, the regional office will be established to streamline the coordination and support the cities including support on procurement. The regional office provide coordination, close support and guidance on overall procurement planning, processing, reporting, monitoring with special emphasis to the new project implementing Cities in each Region. The regional offices are responsible for uploading of the procurement plan,

documentation and information of each city in STEP. Moreover, the regional office shall play a significant role in monitoring & evaluation, supporting the cities by facilitating linkage between Federal and cities. Besides, the regional office will be involved in the procurement operation (small value procurement like office furniture and equipment) on behalf of cities as well as the items required by the office to facilitate the implementation of the project.

Table 5: Regional Office Procurement Processes and Responsibilities

Step	Activity	Responsibility
1	Preparation of complete and comprehensive technical requirements	The technical team with the support from the procurement team
2	Preparation of Procurement Plan	Procurement Specialist(Regional Office)
3	Approval of Procurement Plan	Agency/Bureau Head
4	Preparation of bidding documents/RFPs/RFOs	Procurement Specialist(Regional Office)
5	Approval of bidding documents/RFPs/RFOs	Procurement Endorsing committee
6	Bid/proposal/Offer opening	Bid Opening Committee
7	Bid/proposal /Offer evaluation	Bid Evaluation Committee
8	Approval of evaluation reports	Procurement endorsing committee
9	Contract award	Agency/Bureau Head
10	Complaint handling	Head of Agency/Bureau
11	Preparation/formulation of contract document	Procurement Specialist(Regional Office)
12	Contract /signature	Head of Agency/Bureau
13	Contract management	The technical team with the support from the procurement team

Procurement at City and Sub City level of Addis Ababa

The procurement shall be implemented by the City Finance and Economics Development Office (FEDO) of each city except the Addis Ababa city. Each city shall have a dedicated full time procurement staff member, for UPSNJP within City UJCFS office, who is closely working with FEDO and responsible for UPSNJP procurement, including planning, initiation and preparation of procurement documents, follow-up of procurement requests, and keeping records. The procurement officers in each city are responsible for timely sending of the procurement plan and the required documentation to the Regional Office for uploading of the plans and information in STEP.

Preparation of the Procurement Plan at City level, which is primarily the responsibility of City OFED, is the crucial first step of the procurement process. All goods and services required for implementation of public works, livelihoods and others that are relevant are identified by the support facilitators and technical specialists as part of the technical appraisal of public works sub-projects, livelihoods and other relevant activities during the formulation of the City Safety Net Plan in April of each year. These procurement requirements are consolidated, along with any City level procurement requirements for the overall implementation of the UPSNJP, based on an analysis of capacity gaps, into the City Safety Net procurement plan. These procurement plans shall be submitted annually and updated as need arises.

Some products will be available at the City level, for instance small office equipment and supplies, and sundry items for public works and livelihoods. In many cases the quantities of goods and services required to implement public works across the City will not be available locally at a competitive price

or in an adequate quality or quantity to meet City procurement requirements. In these cases, open national market approach will be used.

The table below outlines procurement processes and responsibilities for each step at the City /Sub-city level.

Table 6: City Procurement Processes and Responsibilities

Step	Activity	Responsibility
1	Identification of items to be procured	Livelihood, Public and social work facilitators/other staffs
2	Preparation of Procurement Plan	UPSNJP Procurement Officer/Other Procurement Officer in OFED
3	Approval of Procurement Plan	City Office of Finance and Economic Development
4	Preparation of bidding documents/RFQ	UPSNJP Procurement Officer/Other Procurement Officer in OFED
5	Approval of bidding documents/RFQ	Procurement Endorsing Committee
6	Bid/proposal opening & Evaluation	Bid Evaluation Committee
7	Approval of evaluation reports/price comparison report	Procurement endorsing committee
8	Contract award	City Office of Finance and Economic Development
9	Compliant Handling	City Office of Finance and Economic Development
8	Preparation/formulation of contract document	UPSNJP Procurement Officer/ Other Procurement Officer in OFED
9	Contract /signature	City Office of Finance and Economic Development
10	Contract Management	The technical team with the procurement officer

16.6.3 Staffing

Procurement staffing is one of the key areas that need attention as it has impact on the timely procurement of planned contracts, implementing agencies in agreement with the World Bank and depending on the value and risk of procurement will recruit a dedicated qualified and experienced procurement expert and establish a capable procurement unit possessing the discipline and attitude to perform the procurement activities within the timeline shown in the approved procurement plan.

The list of procurement staff for the implementing agencies is shown in the table: This is an indicative list of staffing and the decision to hire additional procurement staff is possible with prior agreement with the World Bank as well as based on the level of implementation capacity of Federal, Regions and Cities

Table 7: Indicative project procurement staff list

JOBSA	MoLSA	JCC	Region	City
Procurement specialist(#3) Contract	<ul style="list-style-type: none"> Procurement specialist(#1) Contract 	Procurement specialist(#1)	Procurement specialist (#1in each Regional	<ul style="list-style-type: none"> Procurement specialist(Addis Ababa)

management specialist(#1)	management specialist(#1)		Office)	<ul style="list-style-type: none"> • Procurement Officer(10 UPSNP Cities) • Procurement Officer(Bigger New UPSNP Cities-as needed)
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All the procurement officers hired for UPSNJP should work closely with the procurement section of their respective organization and timely lead the project procurement creating an enabling environment for proper procurement and contract management.

Every procurement staff hired for the project should work in accordance with the approved TOR, the performance of the individual procurement staff will be evaluated before decision on the extension of the contract.

The qualification and experience of the procurement staff should be well verified with actual testimonies to ensure the right applicant is selected for the position; in addition the minimum qualification is first degree from reputable University and adequate experience in procurement of goods, works, consulting and non-consulting services funded by international financial institutions including World Bank experience.

The TOR for the City procurement officer is attached in the annex

16.7. Procurement Oversight, Monitoring and Supervision

The implementation of the project is highly influenced by the procurement management of the project. As a result, all the implementing agencies are required to involve proactively in a planned and organized manner and maintain due diligence during planning and implementation of various procurement activities to ensure the procurement is implemented in an expedited manner as per the governing procurement rules and procedures. It is required that all the implementing agencies set up the procurement system to the requirement of the project fulfilling, among others the following:

- Proper internal control system such as functional procurement endorsing committee and internal audit
- Regular monitoring and reporting system of planned procurement activities
- Capable technical evaluation committee
- Robust complaint management system
- Capable Procurement and contract managements unit
- Assign experienced and qualified procurement staff

There should be quarterly meeting among the implementing agencies to discuss on the progress, identify challenges and decide on the way forward to resolve challenges timely.

16.7.1 Procurement Reporting

The IAs at all levels are required to produces quarterly, biannual and annual procurement and contract management activities report. The report should cover, at least the progress against plan, challenges encountered, actions taken to resolve the challenges and any recommendations to improve the challenges. Each IA will be responsible for initiating, monitoring and recording its procurement activities. The head of IA must satisfy itself that procurement activities are executed in accordance with the governing procurement rules, approved procurement plan and budget. Each IA will then compile its progress reports on procurements made and submit to the higher level for

subsequent consolidation by Federal PCU. The PCU will submit the consolidated biannual procurement and contract management progress report to the World Bank.

The procurement specialists operating at PCU and other IAs, shall prepare quarterly Procurement & Contract Management Report (PCMR) that provides information on the following areas:

- Progress of planned works, goods, non-consulting and consulting services compared with agreed schedules;
- Physical delivery of goods, structures (works) and services and their respective costs;
- Implementation of the action plan to rectify the procurement audit findings if any during the reporting period;
- Provide general information on the status of contract commitments and expenditures.
- Any challenges encountered, action taken and recommended remedial action that need higher levels attentions.

Deviations from procurement plan and governing procurement rules and procedures shall be reported in the PCMR and a diagnostic study shall be carried out by the IAs themselves to reveal causes and suggested remedial actions. The PCMR shall include a procurement and contract management progress summary sheet.

The PCMR prepared by the Procurement Unit of each implementing agencies and the reports of the FPCU shall be made available to Bank's Implementation Support missions and the Federal and Regional Public Procurement and Property Administration Agencies.

16.7.2 Procurement Monitoring and Supervision Procedure

The implementing agencies at all levels are required to establish proper monitoring of the procurement performance and at least should use the following monitoring system:

- Timely upload document in STEP for all initiated and completed contracts and extract report
- Track and report the process status of planned procurement activities from STEP and take action on delayed activities
- Prepare and regularly update contract register
- Hold a quarterly meeting with the leading role of the FPCU
- Follow and take action on the findings of the independent procurement audit
- Timely implement actions agreed during the joint implementation and support mission

The supervision procedure is critical to achieve the procurement follows the approved timelines in the procurement plan. Hence, the supervision needs to be holistic and timely with comprehensive checklist. The supervision is usually made by the PCU on the performance of MoLSA, JCC, Regional Office, Cities and Sub Cities.

A very important part of good procurement and contract management is the continuous monitoring of procurement and contract implementation against the agreed schedule and milestones and the use of procured goods, works and services by the project beneficiaries. Therefore, at all IAs structure, the functions of continuous monitoring and supervision of procurement activities shall be performed by the Federal PCU reporting to the Director General with critical issues to the Federal steering committee and copy to the World Bank. The objectives of the Procurement monitoring and supervision shall be:

- To provide continuous feedback and on procurement implementation at all levels (federal, regional, City, Sub Cities in Addis Ababa) levels;
- To timely take corrective/remedial measures including adjustment to the procurement process, where necessary.

The Bank exercises its procurement oversight through a risk-based approach comprising prior and post reviews and independent procurement reviews, as appropriate. The Bank sets mandatory thresholds for prior review based on project procurement risk levels. The Bank carries out post reviews of Procurement Processes undertaken by each IA to determine whether they comply with the requirements of the procurement plan and Legal Agreement. The Bank may use a third party such as a supreme audit institution, acceptable to the Bank, to carry out post reviews. Any such third party shall carry out the reviews in accordance with the TOR provided to it by the Bank.

World Bank staff or consultants selected by the Bank carry out semi-annual supervision missions to conduct field visits, of which at least one mission will involve post review of procurement actions. During such missions, UPSNJP Procurement Experts are responsible for availing the procurement plan, contract register, all procurement documents, and the procurement implementation status report to the mission.

Annual Independent Procurement Audit: the PCU of the JOBSA shall select the independent procurement audit consultant to carry out independent annual procurement audits of the project procurement activities, each year until completion of the project, all in accordance with the terms of reference agreed with the World Bank. The procurements audit is conducted annually, covering all implementing agencies and at least 30% of the contracts subjected to post review. The Federal JOBSA shall select and appoint a procurement auditor, acceptable to IDA, to carry out annual independent procurement audits and shall submit the report annually to IDA for its consideration, four months after the end of each fiscal year. The Cities will be selected to ensure the coverage of the project beneficiary Cities over the life of this phase of the UPSNJP as possible.

16.7.3 Review and Thresholds

The Bank carries out prior reviews of procurement activities that are of high value and/or high risk to determine whether the procurement is carried out in accordance with the requirements of the Legal Agreement as indicate Annex II of *“Procurement Regulations for IPF Borrowers” July 2016, revised November 2017 and August 2018.*

Table 8: Thresholds for the Prior review and market approach

Category	Prior Review (US\$ millions)	Open International	Open National	RFQ	Shortlist of National Consultants	
					Consulting Services	Engineering and Construction Supervision
Works	≥5.0	≥7.0	<7.0	≤0.2	n.a.	n.a.
Goods, IT, and Non-Consulting services	≥1.5	≥1.0	<1.0	≤0.1	n.a.	n.a.
Consultants (Firms)	≥0.5	n.a.	n.a.	n.a.	0.2	0.3
Individual Consultants	≥0.2	n.a.	n.a.	n.a.	n.a.	n.a.

The selection and employment of procurement staff at regional and federal level and selection of consulting firm to carry out procurement audit are prior review cases regardless of their contract amount.

16.7.4 Contract Management

Contracts need a proper follow up depending on the type (works, goods, consulting and non-consulting services), risk level and category of the procurement activities. The implementing agencies should develop a clear contract management plan on how to clearly administer the contract and enforce the conditions in the contract to accomplish the activities in time, quality and cost as per the signed contract.

The contract strategy should be well designed to suit to the complexity and nature of the procurement of activities with proper contract packaging, types of contract, payment schedule etc. and achieve proper contract management.

The contract management for typical consulting services at least should consider:

- Prepare and sign complete contact document
- Assign a contact management specialist and technical experts to review and verify the deliverables (reports, data etc.) are prepared with the required quality
- Check, review and approve the inception report with proper activity schedule/timeline
- Follow the submission of the deliverables as per the agreed timeline
- Provide timely comments for reports/data of poor quality and lacks to professionally develop the required outputs/results
- Check and verify if all the comments provided from the Client are all addressed in the revised submission by the Consultant
- Review if the reports are as per the requirements of the contract and approve reports/data with due consideration on the quality, completeness and full acceptance
- Check and verify if the consultant has provided all the required deliverables(hard and soft copy) as per the signed contract and all are approved
- Review and timely respond to the complaints and other contractual issues
- Ensure all the deliverables(reports, data etc.) are properly reviewed, checked, approved and accepted before closing/ending the contract

The contract management for goods at least should consider:

- Prepare and sign complete contract document
- Assign a contract management expert and technical expert
- Follow on the delivery schedule and ensure that the delivered goods are in compliance to the timetable and requirements (quantity and quality) provided in the contract
- Write letter for any delay and defect
- Inspect and check the delivered good is as per the signed contract(conform with the specification)
- Review and timely respond to the complaints and other contractual issues
- Close the contract

The contract management for works at least should consider:

- Prepare and sign complete contract document
- Assign a contract management expert and project supervisor
- Hold a kick off meeting with the contractor
- Officially Hand over the site to the Contractor
- Check, review and approve Master work schedule(and also labour, material and equipment schedule)
- Instruct the Contractor to start work
- Write letter for any delay, defect and poor performance

- Timely respond to request for time extension, variation orders etc
- Resolve any right of way issues
- Supervise the quality of materials on the site
- supervise the availability and number of required labour on the site
- Check the workmanship and finished parts is with acceptable quality
- Prepare biweekly progress report focusing on the physical and financial progress and challenges
- Timely take measurement for executed items
- Check and confirm using punch list all the items are executed as per the design and specification before provisional acceptance
- Provisional acceptance
- Final acceptance

The contract management for non-consulting service at least should consider:

- Prepare and sign complete contract document
- Assign a contract management expert and technical expert
- Check and approve the timeline for provision of the required service
- Follow there is required set up and manpower to perform the required service
- Check the service rendered is as per the signed contract
- Write a notice letter for substandard service
- Get a regular feedback from the users on the service
- Review and timely respond to the complaints and other contractual issues
- Check all the agreed services are adequately rendered within the agreed timeline
- Close contract

16.7.5 Accountability Framework

All the procurement entities follows the approved procurement plan and should work with high ethics avoiding conflict of interest, avoid any delays and any attempt that open for fraud and corruption. Each implementing agency will be accountable for the outcomes and results of the procurement process and contract management.

During the evaluation of Bids/Proposals, project IAs shall check the eligibility of Bidders/Proposers/Consultants from the lists of firms and individuals debarred and suspended by the Bank that are posted on the Bank's external website in those cases of debarred firms and individuals, and Bank's Client Connection website and/or other sources of information that the Bank may make available for listing of suspended firms or individuals.

16.8. Record Keeping

All UPSNJP implementing institutions shall keep records of all proceedings of the Procurement Process in accordance with the requirements of the Legal Agreement. Procurement filing has specific characteristics. Files must be based on the procurement categories (works, goods, non-consulting services and consulting services) and span the entire procurement process per contract in each category in an efficient and easily accessible/retrieval manner (in chronological order from advertising to contract signature and till contract closing). This system should best be maintained professionally in order to remain useful for at least 10 years period beyond the closing date of the program.

The procurement staffs at all levels are responsible for proper record keeping and filing of procurement records for ease of retrieval of procurement information. All implementing agencies at Federal level, Regional and at City levels are responsible for keeping procurement records in an organized manner and in a secure place. The procurement focal units at all levels should be provided with required number of facilities for proper record-keeping. The Federal implementing agencies, Regional Office and Cities are required to upload the required information and documentation at each procurement stage in STEP.

Each contract shall have its own file and should contain all documents on the entire procurement process. The mandatory lists of records to be kept are provided in the below table 18 & 19.

Table 9: Important records to be kept for procurement of goods, works and non-consulting services:

Description		Open International	Open National	Shopping
1	Copy of the GPN with publication date	√	√	
2	Copy of the SPN with publication date	√	√	
3	No objection from World Bank to draft BD	√		
4	Modifications/addenda to BDs (if any)	√	√	√
5	Final BDs/RFQ issued to bidder	√	√	√
6	Bid opening report	√	√	
7	Head of implementing agencies notice on composition and start of BEC	√	√	
8	Clarifications required from bidders and written replies	√	√	√
9	BER/quotation comparison report	√	√	√
10	Analysis of BER and recommendation	√	√	
11	Comments by the World Bank and/or no objection to the BER	√		
12	Contract award/Letter of Acceptance	√	√	√
13	Copy of signed contract	√	√	√
14	Copy of letter to the World Bank transmitting signed contract for disbursement	√		
15	Publication of Award in UNDB online and <i>dgMarket</i> or national press	√	√	
16	Contract amendments	√	√	√
17	Inspection report	√	√	√
18	Payment authorization	√	√	√
19	Completion certificates	√	√	√
20	Copies of guarantees	√	√	
21	Claims and disputes	√	√	√

Table 10: Important records to be kept for selection of consultants (firms and IC)

Description		Selection of consulting firm	Selection of IC
1	Terms of Reference	√	
2	Advert for request for EOI and publication date	√	
3	List of Consulting firms having expressed their interest	√	
4	Documentation provided by consultants (EOI)	√	
5	report on the evaluation of EOIs (short listing report)	√	
6	Comments/no-objection from the World Bank to proposed short list	√	
7	Approved RFP as sent to the consultants	√	
8	No-objection/Comments by the World Bank to draft RFP	√	
9	copy of the proposals received and minutes for opening of technical proposals	√	
10	letter for the appointment of BEC	√	
11	Technical Evaluation Report	√	
12	No objection/comments by the World Bank on the TER	√	
13	Minutes of Opening of Financial Proposals.	√	
14	Combined Technical and Financial Evaluation Report	√	
15	No-objection by the World Bank to negotiated initialed draft contract and minutes of negotiation	√	
16	Copy of signed contract	√	
17	Publication of Award	√	
18	Contract Amendments	√	
19	Consultant/technical assistance Reports	√	
20	Claims and Disputes	√	
21	Folders for Contracts with ICs for technical assistance and training: Name on a folder for each ICs, TOR, request for EOI, short list, CVs and evaluation report		√

CHAPTER 17. PHYSICAL RESOURCE MANAGEMENT

17.1. Introduction

This chapter introduces the two major types of physical resource management under the UPSNJP. These are: (i) overall management of assets (procedures, rules and requirements); and (ii) management of vehicles and motorcycles, including pooling strategies and maintenance plans. The purpose of this section is to inform all the implementing agencies to establish adequate property management system and record for all the assets owned by the project resource for effective utilization to achieve the project development objectives.

17.2. Oversight of Physical Resource Management

Responsible Institutions

UPSNJP is implemented at Federal, Region, City and Sub Cities (only Addis Ababa). Each implementing agencies should establish adequate store room and assign a store keeper to properly manage the incoming and outgoing properties/assets. The location of the store should be in such a way that can be easily accessible by the user and auditors as well.

At Federal level the JOBFSAs have a project coordination office and is responsible to work with the general service department of the agency to properly manage all the assets owned through the project resource. MoLSA and JCC should also train and alert their property department to assign store keeper, avail spacious store and provide them with the necessary formats to register, count and conduct timely inventory.

The Regional hub sitting in the Region Job Creation and Food Security Agency should work with the Agency property department to manage all the assets owned by the project resource. The Agency should have spacious store, store keeper and necessary formats for managing incoming and outgoing assets. At the city level, the institutions responsible for physical resource management coordination and system development are the City administration, the Urban Job Creation and Food Security office, and OFED. Each UPSNJP implementing agency is responsible for managing its own physical resources.

Policies and Guidelines

The GoE policies, directives and guidelines that govern physical resource management are the Government-Owned Fixed Asset Management Manual (GOFAMM), the MoF Vehicle Utilization and Management Directive, MoF stock management manual and this UPSNJP PIM. All implementing agencies should use the manuals to properly manage the assets.

Use of Asset

It is essential and mandatory that the implementing agencies should use the assets owned by the project resource only for the project purpose to facilitate implementation of the project at all levels of the implementing agency. The JOBFSAs are responsible as overall, to oversight the use of physical resource/asset/property is only for the purpose of the project in all implementing agencies. If there are misuse of assets other than for the purpose of the project, an immediate corrective measure should be taken to ensure at all times the resources are used only for the intended purpose. The JOBFSAs should include a report in the quarterly M&E report such misuse of resources and the corrective actions taken by the agency, it is also important for the internal auditors to audit the use of asset along with the quarterly financial audit. At the end of each fiscal year the external financial audit should cover/include the use of asset in the financial audit report.

Asset Register

All assets should be properly registered and marked with a tag/pin to easily identify the asset. Registration of asset at a minimum should consider:

- Asset name
- Type of the asset
- Cost of the asset
- Date of purchase
- Location of the asset
- User or custodianship
- Identification number and condition

All implementing agencies should use the standard formats provided in the GOFAMM to register all the assets. Such register should be available in a database of acceptable format for easy access and track of available assets, if the implementing agencies have the capacity it is recommended to upgrade the database into software system.

Stock Management

The proper storage, issuance, recording , accounting and reporting , stock taking and stock control are part of the stock management activities which supplement the management of fixed asset.

There should be a bin card and stock record card to properly manage the items in the store. Hence the store keeper and store clerk should use the forms of the bin card and stock record card shown in the MoF stock management manual for a comprehensive stock management in the store. The store clerk should prepare a stock report

Annual Fixed Asset and Stock Inventory

All implementing agencies should conduct an annual inventory to get a clear data on fixed asset and stock. An annual fixed asset and stock inventory with proper reporting to the head of finance is required, with information such as: (a) cover letter by the inventory/count team; (b) detail listing of assets/stocks with quantities counted and quantities in records (stock card/fixed asset register) and differences there of; (c) final summary report with recommendation for action on discrepancies, obsolete stocks, damaged items, and so on.

17.3. Components of Physical Resource Management

Overall Management of Assets

Proper asset management is critical in order to avoid damage to property. The main tasks related to fixed asset management are as follows:

- Planning for vehicle/equipment/tool needs
- Procurement and acquisition of vehicles and equipment
- Effective operations and maintenance
- Assessment and revaluing of assets

Disposal of vehicles and equipment Lifecycle management—follow up of assets from the date of procurement up to the final date of discarding and final auditing

The implementing agencies responsibility is to:

- Make sure that ownership certificates are up to date

- Update the UPSNJP fixed assets register and subsidiary records
- Undertake UPSNJP annual physical count of fixed assets and reconcile
- Prepare the Annual Summary Schedule of fixed assets and report
- Communicate with the government property administration

Management and Maintenance of Office and IT Equipment

IT management is a critically important part of asset management. Installing and updating Anti-Virus software frequently is important.

Vehicle and Driver Management

Implementing agencies at all level are responsible for the following aspects of vehicle management: assigning, registering and renewing; maintenance/servicing; fuel supply; spare parts and tire supply; pooling; insurance coverage; and discarding and replacement.

In particular, supervisors are responsible for:

- Managing vehicles, including assigning vehicles, ensuring regular vehicle preventive maintenance, and making recommendations for disposal of vehicles.
- Ensuring that drivers know all rules and regulations
- Maintaining files, data and information about all vehicles and drivers
- Ensuring implementation of MoF and Federal PPPAA guideline.

Driver Management

Drivers must follow traffic safety procedures. Driver supervisors should enforce good driving through:

- Carrying out unexpected and random checking
- Enforcing seat belt policy
- Enforcing mobile phone policy
- Enforcing drug policy

Vehicle Record-Keeping

Vehicle utilization information should include distances travelled, destinations reached, distance travelled by vehicle showing official mileage, fuel consumption per vehicle, repair and maintenance per vehicle, rate of consumption of spare parts, and servicing planned and completed. The vehicle logbook and mileage should be recorded every day.

An independent file should be kept for each vehicle that includes:

1. Vehicle/equipment description
2. Owner
3. Address Number
4. Unit Number
5. Serial Number: Serial Number is a required field depending on processing options.
6. Item Number: Inventory Item Number is a required field depending on processing options.
7. Product Model
8. Bin cards
9. User cards
10. Product Family
11. Parts List Number

12. Date Acquired
13. Contract Date: The system date is the default value for the date fields.
14. Vehicle/Equipment Status
15. Costs

Vehicle Pooling System

The vehicle pooling system serves a variety of purposes:

- Helps to manage vehicles and equipment centrally, through one management system
- Minimizes resource miss-utilization
- Enables a central schedule, plan and control
- Creates vehicle access for all departments
- Enables a single driver and vehicle to serve multiple users
- Creates the possibility of keeping records centrally (information database of all vehicles).

Pooling of vehicles is required for all UPSNJP staff members, with the exception of senior management. However, UPSNJP vehicles and motorcycles should not be used by personnel who are not working on the UPSNJP.

Vehicle Maintenance

Vehicle maintenance is critical to keeping UPSNJP vehicles and motorbikes road worthy and technically reliable, and to reduce running costs, so that they can serve the UPSNJP for a long time. Managers should maximize preventive/scheduled maintenance and minimize unscheduled maintenance to the extent possible. A wall chart shows annual/monthly or quarter schedule, along with schedule stickers posted on the side door of vehicle, should be used, and someone should be assigned responsibility for follow up.

Annex 1. Chapter 2: Key policies and Strategies relevant for the UPSNJP

A brief description of these key policies and strategies is provided below to contribute to UPSNJP implementers' awareness of the policy and strategy environment within which the program is implemented.

National Social Protection Policy and Strategy (November 2014 and January 2016): The Social Protection Policy has a vision to see all Ethiopians enjoy social and economic wellbeing, security and social justice through a comprehensive social protection system that creates an enabling environment for equitable access to social protection services, inclusive growth and development. Overall, the policy commits the government to move beyond the partial and fragmented, provision of social protection. The policy puts strong emphasis on the need to expand social safety nets and livelihood and employment interventions in rural and urban areas. The policy also focuses on ensuring access to social services including micro insurance for the most vulnerable. A strategy for implementing these policy intentions has been developed. Both the policy and strategy recognize the role of the urban and rural productive safety nets in transitioning to a social protection system.

Urban Development Policy (2013): Addresses environmental conservation and sanitation in cities and encourages the participation of the public and private sector in waste management including supporting a waste recycling system, and distributing technology that can be used for recycling purposes at family, district city and institutional level. Other strategies of the policy include creating an attitude for preventing pollution and conserving the environment among the public, ensuring a sustainable and integrated popular participation and ownership of projects.

The Environmental Policy of Ethiopia (1997): The policy demands that cities/towns to give priority for waste disposal system and for this purpose undertake studies on land fill sites and to construct treatment facilities. This framework includes issues to maintain safe waste management at localities; provision of environmental sanitation awareness to the community to bring attitudinal change, the possibility to recycle liquid and solid wastes from homesteads and establishments for the production of energy, fertilizer and for other uses and integration of actions among all stakeholders in sanitation interventions.

The National Policy and Strategy on Disaster Risk Management (2013)

The main objective of the policy and strategy is to reduce disaster risks and potential damage caused by a disaster through establishing a comprehensive and coordinated disaster risk management system in the context of sustainable development. Specific objectives of the policy are: (i) to reduce and eventually prevent disaster risk and vulnerability that pose challenges to development through enhancing the culture of integrating disaster risk reduction into development plans and programs as well as by focusing on and implementing activities to be carried out before, during, and after the disaster period to address underlying factors of recurrent disasters; (ii) to save lives, protect livelihoods, and ensure all disaster affected population are provided with recovery and rehabilitation assistances; (iii) to reduce dependency on and expectations for relief aid by bringing attitudinal change and building resilience of vulnerable people; and (iv) to ensure that disaster risk management is mainstreamed into development plans and programs across all sectorial institutions and implemented at all levels.

Urban Food Security Strategy (May 8, 2015): Within the framework of the NSPP, the Ministry of Urban Development and Construction (MoUDC) has developed an Urban Food Security Strategy. The strategy aims to reduce poverty and vulnerability among the urban poor living below the poverty line over a period of 10 years. The UPSNJP is the first instrument of the government to implement this strategy.

The Climate Resilient Green Economy Strategy (2012) targets fulfilment of the sustainable development goals by improving handling of solid and liquid waste. The total abatement potential of improved by handling waste (solid and liquid) amounts to be around 2Mt CO₂e in the year 2030.

Urban Solid Waste Handling and Disposal Strategy (2014) serves as a framework for city/town administration to develop effective and sustainable integrated solid waste management for their citizens in order to protect public health and environmental quality.

The Climate Change Resilient Urban Green Infrastructure Strategy (2014) serves as a framework for city/town administration to develop effective and sustainable urban green infrastructure (UGI) for their citizens in order to protect public health and environmental quality.

The National Nutrition Program (NNP): this is the principal Government document that guides nutrition specific and nutrition sensitive interventions. Nutrition specific interventions are mainly by the Ministry of Health. Nutrition sensitive interventions are multi-sectorial including agriculture, social sectors, trade and industry. Social safety nets are proven methods of ensuring the poor and most vulnerable get access to nutrition education and improve their dietary diversity.

The Rural Productive Safety Net Program: The PSNP has been providing transfers to the rural beneficiaries since 2005 and in its current phase (PSNP 2014/5- 2019/20 Phase IV) will reach 10 million beneficiaries. About 80 % of the transfers are made in return for engagement in PW. The program has resulted in considerable experience being built within the GoE on how to target poor beneficiaries; deliver timely and predictable transfers; and design and implement PW on a large scale.

UIIDP (Urban Institutional and Infrastructure Development Project (PFR): This World Bank project provides block grants to municipal local governments that are largely used by municipalities for developing infrastructure, in part through labor-intensive PW. The ULGDP has been successfully implemented for several years in 19 Ethiopian cities and is now into its second phase by scaling up to 44 cities as a Program for Result (PFR). It has effectively delivered labor-intensive PW programs in urban areas, mainly cobblestone projects, green development and solid waste management as well as created jobs and enhanced the livelihoods of the urban poor through improvements in infrastructure and services.

Annex 2. Chapter 2: Detailed Readiness and Performance Criteria for Cities and Regions.

1) Readiness and performance Criteria at Federal JOBSA level

SN	Federal Level	Agency	Project Employed	Existing Government Employees	Readiness Criteria	Annual Performance Criteria	Comments
1	Staffing	FJOBFA/FPCU as lead agency	<ul style="list-style-type: none"> • Project Office Coordinator-1 • Deputy Project Office Coordinator-1 • Public Works Specialist-2 • Refugee and host community integration specialist -1 • Safe guard specialist-2 • Livelihood Specialist-2 • Social Protection Specialist-2 • Citizens Engagement Specialist 1 • Capacity building Specialist-1 • Gender & social development Specialist-1 • FM Specialist-3 • Senior Accountant-2 • Procurement Specialist-3 • M&E Specialist-2 • Youth employment & Job Creation Specialist-2 • Communication Specialist-1 • MIS specialist 1 Total=29 	<ul style="list-style-type: none"> • JOBSA Deputy Director General-1 • Urban Safety Net& Public Works D/Director -1 • CE &Partnership D/Director-1 • Livelihood D/Director-1 • IT D/Director-1 • FM D/Director-1 • Public Works Expert-8 • Livelihood Expert-6 • Citizens Engagement Expert-6 • Social Protection Expert-1 • FM senior Expert-9 • Procurement 	Required Staff assigned /Hired	All positions of initial readiness filled with qualified persons	To be defined: individual consultants, experts and Sr. specialists

				Expert-4 • M&E Senior Expert-7 • Youth & Job Creation Expert-7 • IT & Data Base experts-5 Total=56			
2	MIS		<ul style="list-style-type: none"> • Hardware installed and working • UPASS installed and staff trained City and woreda internet working with sufficient bandwidth	<ul style="list-style-type: none"> • Hardware installed and working • UPASS installed and staff trained • City and woreda internet working with sufficient bandwidth 	Internet working Cash transferred by UPASS	MIS functional and used	Minimum hardware to be specified
3	Coordination Arrangement		Federal level coordination committee chaired by F JOBFSA established involving MoLSA, MOF and other key actors.	Federal level coordination committee chaired by F JOBFSA established involving MoLSA, MOF and other key actors.	Coordination structures (FPCO)&Mechanisms in place	Functioning of the structures &Mechanisms	Reports provided to FSC no later than 20 days after reporting period, in accordance with agreed format
4	Other		Established access to STEP and staff trained	Established access to STEP and staff trained	Trainings Applied	At least 80% of contracts uploaded in	Reports provided to FSC no later than 20

						STEP	days after reporting period, in accordance with agreed format
5	Reporting		Readiness (inception) Report submitted to FSC including: implementation plan, staffing, budget, capacity building plan, safeguards and GRM arrangements	Readiness (inception) Report submitted FSC including: implementation plan, staffing, budget, capacity building plan, safeguards and GRM arrangements	R JOBFSAs submit readiness report to FSC & WB & copy to MoF	Timely Regional Quarterly Progress Reports Quarterly City GRM reports (including OHS)	Reports provided to FSC no later than 20 days after reporting period, in accordance with agreed format

2) Readiness and Performance Criteria of JOBFSAs in Big Regional States

These criteria apply to 3 Major Regions (Oromia, SNNP and Amhara) and one city administrations (Addis Ababa).

	Regional Level	Agency	Project Employed	Existing Government Employees	Readiness Criteria	Annual Performance Criteria	Comments
1	Staffing	R/JOBFSA	<ul style="list-style-type: none"> Project Coordinator-1 with the ability to manage (SP, CE, Communication and Gender) 	<ul style="list-style-type: none"> USN Directorate Director-1 Urban Safety Net Team Leader-1 Public Works Senior Expert-2 Livelihood Team Leader-1 ESI Evaluation Expert-1 	The Required Staff assigned /Hired	All positions of initial readiness filled with qualified persons	To be defined: individual consultants, experts and Sr. specialists

			<ul style="list-style-type: none"> • FM Specialist-1 • Procurement Sp-1 • M&E Specialist-1 • PW specialist with ability to handle (LH& Safeguard activities)-1 <p>Total=5</p>	<ul style="list-style-type: none"> • Livelihood Support & Follow-up Experts-2 • Citizens Engagement & Partnership Team Leader-1 • Targeting, GRM & Gender Expert-1 <p>Total=10</p>			
2	MIS		<ul style="list-style-type: none"> • Hardware installed and working • UPASS installed and staff trained • City and woreda internet working with sufficient bandwidth 	<ul style="list-style-type: none"> • Hardware installed and working • UPASS installed and staff trained • City and woreda internet working with sufficient bandwidth 	Internet working Cash transferred by UPASS	MIS functional and used	Minimum hardware to be specified
3	Coordination Arrangements		Regional level coordination committee chaired by JOBFSA established involving BoLSA, BOF and other key actors.	Regional level coordination committee chaired by BOLSA established involving BOFEC and other key actors.	Coordination structures (RHUB)&Mechanisms in place	Functioning of the structures & Mechanisms	Reports provided to FPCO no later than 20 days after reporting period, in accordance with agreed format
4	Other		Established access to STEP and staff trained	Established access to STEP and staff trained	Trainings Applied	80% of contracts uploaded in STEP	Reports provided to FPCO no later than 20 days after reporting period, in accordance with agreed format
	Reporting		Readiness (inception) Report submitted to Federal JOBFSA/ PCO including:	Readiness (inception) Report submitted to Federal JOBFSA /PCO including: implementation plan, staffing, budget, capacity	R JOBFSA submits readiness report to	Timely Regional Quarterly Progress	Reports provided to FPCO no later than 20 days after reporting period, in accordance

			implementation plan, staffing, budget, capacity building plan, safeguards and GRM arrangements	building plan, safeguards and GRM arrangements	FPCO copy to MoLSA	Reports Quarterly City GRM reports (including OHS)	with agreed format
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4) Readiness and Performance Criteria of JOBFSAs in Other Regional States

These criteria apply to three regions with three staffs (FM, M&E and Procurement specialists (Tigray, Somali) and Dire Dawa city administration. But Gambella, Benishangul-Gumuz and Sidama regions are to be staffed with only one FM specialist. Afar and Hareri regions are to be managed by the regular staff in the region.

SN	Regional Level	R/JOBFSA	Project Employed	Existing Government Employees	Criteria to Start Activities	Annual Performance Criteria	Comments
	•		<ul style="list-style-type: none"> FM specialist-1 Procurement Sp-1 M&E Specialist-1 Total = 3	<ul style="list-style-type: none"> R JOBFSAs Directorate Director-1 Public Works Senior Expert-1 Safe guard expert-1 Livelihood Team Leader-1 Citizens Engagement & Partnership Team Leader-1 Targeting, GRM & Gender Expert-1 Total = 6	Required Staff assigned /Hired	All positions of initial readiness filled with qualified persons	To be defined: individual consultants, experts and Sr. specialists
	MIS		<ul style="list-style-type: none"> Hardware installed and working UPASS installed and staff trained City and woreda internet working with 	<ul style="list-style-type: none"> Hardware installed and working UPASS installed and staff trained City and woreda internet working with sufficient bandwidth 	Internet working Cash transferred by UPASS	MIS functional and used	Minimum hardware to be specified

			sufficient bandwidth				
	Coordination Arrangement		Regional level coordination committee chaired by JOBFSA established involving BoLSA, BOF and other key actors.	Regional level coordination committee chaired by BOLSA established involving BOFEC and other key actors.	Coordination structures (RHUB)&Mechanisms in place	Functioning of the structures &Mechanisms	Reports provided to FPCO no later than 20 days after reporting period, in accordance with agreed format
	Other		Established access to STEP and staff trained	Established access to STEP and staff trained	Trainings Applied	At list 80% of contracts uploaded in STEP	Reports provided to FPCO no later than 20 days after reporting period, in accordance with agreed format
	Reporting		Readiness (inception) Report submitted to Federal JOBFSA/ PCO including: implementation plan, staffing, budget, capacity building plan, safeguards and GRM arrangements	Readiness (inception) Report submitted to Federal JOBFSA /PCO including: implementation plan, staffing, budget, capacity building plan, safeguards and GRM arrangements	R JOBFSA submits readiness report to FPCO copy to MoLSA	Timely Regional Quarterly Progress Reports Quarterly City GRM reports (including OHS)	Reports provided to FPCO no later than 20 days after reporting period, in accordance with agreed format

5) Readiness and Performance Criteria of JOBFSA for Cities and Woredas

S N	City and Woreda level	Agency	Project Employed	Existing Government Employees	Criteria to Start Activities	Annual Performance Criteria	Comments
	Staffing		<ul style="list-style-type: none"> City Program Coordinator, 	<ul style="list-style-type: none"> 10 	Required Staff assigned /Hired	All positions of initial readiness filled with	

			<ul style="list-style-type: none"> • M&E, • Safeguards (Social and Environment) • Public Works, • Communications & Citizen Engagement, • Gender and GRM • IT • Procurement (for cities with pop > 100,000) • FM 			qualified persons	
	MIS		<ul style="list-style-type: none"> • Hardware installed and working • UPASS installed and staff trained <p>City and woreda internet working with sufficient bandwidth</p>	<ul style="list-style-type: none"> • Hardware installed and working • UPASS installed and staff trained <p>City and woreda internet working with sufficient bandwidth</p>	Internet working Cash transferred by UPASS	MIS functional and used	Minimum hardware to be specified
	Coordination Arrangement		Federal level coordination committee chaired by MOLSA established involving MOF & other key actors.	Federal level coordination committee chaired by MoLSA, established involving MoF and other key actors.	Coordination structures (RHUB)&Mechanisms in place	Functioning of the structures & Mechanisms	Provided activity reports to JOBFSA/FPCO & financial reports to MoF no later than 20 days after reporting period, in accordance with agreed format
	Other		Established access to STEP and staff trained	Established access to STEP and staff trained		At least 80% of contracts uploaded in STEP	

	Reporting		Readiness (inception) Report submitted to F JOBFSa & copied to MOF including: implementation plan, staffing, budget, capacity building plan, safeguards and GRM arrangements	Readiness (inception) Report submitted to F JOBFSa & copied to MOF including: implementation plan, staffing, budget, capacity building plan, safeguards and GRM arrangements	MoLSA submits readiness report to F JOBFSa copy to MOF	Timely City Quarterly Progress Reports Quarterly City GRM reports (including OHS)	Reports provided to F JOBFSa/FPCO & copied to MOF no later than 20 days after reporting period, in accordance with agreed format
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6) Readiness and Performance Criteria of BOLSA in Big Regional States

These criteria apply to the following 5 regions: Oromia, SNNP, Amhara, Tigray, Somali)

SN	Regional Level	Agency	Project Employed	Existing Government Employees	Readiness Criteria	Annual Performance Criteria	Comments
	Staffing	BOLSA	<ul style="list-style-type: none"> FM Specialist-1 Procurement Specialist-1 Psychosocial support Sp-1 Total = 3	<ul style="list-style-type: none"> Safety Net Team leader.....1 Safety net Experts (PDS and UD).....3 Livelihood Experts.....1 Total = 5	Required staff assigned /Hired	All positions of initial readiness filled with qualified persons	Project Employed-specialists Gov't Employed--- Experts
	MIS		<ul style="list-style-type: none"> Hardware installed and working UPASS installed and staff trained City and woreda internet working with sufficient bandwidth 	<ul style="list-style-type: none"> Hardware installed and working UPASS installed and staff trained City and woreda internet working with sufficient bandwidth 	Internet working Cash transferred by UPASS	MIS functional and used	Minimum hardware to be specified
	Coordination		Regional level coordination	Regional level coordination	Coordination	Functioning of the	Reports provided

	Arrangement		committee chaired by BOLSA established involving BOFEC & other key actors.	committee chaired by BOLSA established involving BOFEC & other key actors.	structures (RHUB)&Mechanisms in place	structures & Mechanisms	to RHUB & Copied to FPCO no later than 20 days after reporting period, in accordance with agreed format
	Other		Established access to STEP and staff trained	Established access to STEP and staff trained		At 80% of contracts uploaded in STEP	
	Reporting		Readiness (inception) Report submitted to MOLSA & copied to RHUB including: implementation plan, staffing, budget, capacity building plan, safeguards and GRM arrangements	Readiness (inception) Report submitted to MOLSA & copied to RHUB including: implementation plan, staffing, budget, capacity building plan, safeguards and GRM arrangements	BoLSA submits readiness report to MOLSA copy to RHUB	Timely City Quarterly Progress Reports Quarterly City GRM reports (including OHS)	Reports provided to regional RHUB & copied to FPCO no later than 20 days after reporting period, in accordance with agreed format

7) Readiness and Performance Criteria of BOLSA in Other Regional States

These criteria apply in Gambella, Benishangul-Gumuz and Afar.

	Regional Level	Agency	Project Employed	Existing Government Employees	Readiness Criteria	Annual Performance Criteria	Comments
	Staffing	BOLSA	<ul style="list-style-type: none"> FM Specialist-1 Procurement Specialist-1 Psychosocial 	<ul style="list-style-type: none"> Safety Net Team leader x 1 Safety net Experts (PDS and UD) x 3 Livelihood Experts x 1 	The Required staff assigned /Hired	All positions of initial readiness filled with qualified persons	Project Employed-specialists Gov't Employed---Experts

			support Sp-1 Total = 3	Total = 5			
	MIS		<ul style="list-style-type: none"> • Hardware installed and working • UPASS installed and staff trained • City and woreda internet working with sufficient bandwidth 	<ul style="list-style-type: none"> • Hardware installed and working • UPASS installed and staff trained • City and woreda internet working with sufficient bandwidth 	<ul style="list-style-type: none"> • Internet working • Cash transferred by UPASS 	MIS functional and used	Minimum hardware to be specified
	Coordination Arrangement		Regional level coordination committee chaired by BOLSA established involving BOFEC & other key actors.	Regional level coordination committee chaired by BOLSA established involving BOFEC & other key actors.	Coordination structures (RHUB) and Mechanisms in place	Functioning of the structures & Mechanisms	Reports provided to RHUB & Copied to FPCO no later than 20 days after reporting period, in accordance with agreed format
	Other		Established access to STEP and staff trained	Established access to STEP and staff trained		At 80% of contracts uploaded in STEP	
	Reporting		Readiness (inception) Report submitted to MOLSA & copied to RHUB including: implementation plan, staffing, budget, capacity building plan, safeguards and GRM arrangements	Readiness (inception) Report submitted to MOLSA & copied to RHUB including: implementation plan, staffing, budget, capacity building plan, safeguards and GRM arrangements	BoLSA submits readiness report to MOLSA copy to RHUB	Timely City Quarterly Progress Reports Quarterly City GRM reports (including OHS)	Reports provided to regional RHUB & copied to FPCO no later than 20 days after reporting period, in accordance with agreed format

8) Readiness and Performance Criteria of WOLSA in Targeted Cities

SN	City Level	Agency	Project Employed	Existing Government Employees	Readiness Criteria	Annual Performance Criteria	Comments
	Staffing	WOLSA		<ul style="list-style-type: none"> • Livelihoods & Safety Net Team leader x 1 • DS and UD Experts x 3 Total = 4	Coordination structures (RHUB)&Mechanisms in place	Functioning of the structures &Mechanisms	Project Employed and Gov't Employed Experts
	MIS		<ul style="list-style-type: none"> • Hardware installed and working • UPASS installed and staff trained • City and woreda internet working with sufficient bandwidth 	<ul style="list-style-type: none"> • Hardware installed and working • UPASS installed and staff trained • City and woreda internet working with sufficient bandwidth 	Internet working Cash Transferred by UPASS	MIS functional and used	Minimum hardware to be specified Only for big cities
	Coordination Arrangement		City level coordination committee chaired by JOBFSa established involving BOFEC and other key actors.	City level coordination committee chaired by BoLSA established involving BOFEC and other key actors.	Coordination structures (BOLSA)&Mechanisms in place	Functioning of the structures and mechanisms	Reports provided to CUJCFSo& Copied to City MOFEC no later than 20 days after reporting period, in accordance with agreed format
	Other		Established access to STEP and staff trained	<ul style="list-style-type: none"> • Established access to STEP and staff trained 		At 80% of contracts uploaded in STEP	
	Reporting		Readiness (inception) Report submitted to RHUB including:	Readiness (inception) Report submitted to CUJCFSo including: implementation plan, staffing, budget, capacity	CBOLSA submits readiness report to RBOLSA & copy to	Timely City Quarterly Progress Reports	Reports provided to CUJCFSo& copy CMOFEC no later than 20 days after reporting

			implementation plan, staffing, budget, capacity building plan, safeguards and GRM arrangements	building plan, safeguards and GRM arrangements	CUJCF SO	Quarterly City GRM reports (including OHS)	period, in accordance with agreed format
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Annex 3. Chapter 2: Existing 11 Cities UPSNJP Beneficiaries

Existing 11 cities 30%																
project beneficiaries and estimated population under poverty line				Program Beneficiaries				Roll out rounds								
S.No.	project intervention cities	population estimates 2015 CSA	Adjusted poverty rate based on (GTP- 2012/13) report	Estimated number of people below poverty level	Number of beneficiaries benefited from the first phase (55%)	Remaining Number of beneficiaries (45%)	Number of Beneficiaries for the second phase 25%(the remaining 45%)	round one (35%)			round two (35%)			round three (30%)		
Cities with three roll out																
								total	PW	DS	total	PW	DS	total	PW	DS
1	Addis Ababa	3,195,000	0.24	766,800	415,923	350,877	87719	30702	25789	4912	30702	25789	4912	26316	22105	4211
2	Dire Dawa	268,000	0.3	80,400	43,610	36,790	9198	3219	2704	515	3219	2704	515	2759	2318	441
3	Hawassa	284,426	0.22	62,574	33,941	28,633	7158	2505	2105	401	2505	2105	401	2147	1804	344
4	Adama	308,466	0.16	49,355	26,771	22,584	5646	1976	1660	316	1976	1660	316	1694	1423	271
Total							109,721	38402	32258	6144	38402	32258	6144	32916	27650	5267
Cities with one roll outs								round one (100%)								
								total	PW	DS						
5	Mekele	306,972	0.09	27,627	14,986	12,641	3160	3160	2655	506						
6	Dessie	177,688	0.17	30,207	18,804	11,403	2851	2851	2395	456						
7	Jijiga	154,364	0.13	20,067	10,885	9,182	2296	2296	1928	367						
8	Harari	125,000	0.1	12,500	6,780	5,720	1430	1430	1201	229						
9	Gambella	62,093	0.15	9,314	5,052	4,262	1066	1066	895	170						
10	Asosa	43,204	0.16	6,913	3,750	3,163	791	791	664	127						
11	Semera-logia	25,144	0.11	2,766	1,500	1,266	317	317	266	51						
	Total						11,909	11909	10004	1905						
Grand total(round 1 + 2 + 3)							121,630	50312	42262	8050	38402	32258	6144	32916	27650	5267

Annex 4. Chapter 2: Number of beneficiaries for UPSNJP in 72 new cities/towns

Project Beneficiaries of Cities/Towns				Project Beneficiaries of 60%		Roll out rounds								
s.n	List of project Beneficiary cities	Estimated population Based on CSA 2019	Estimated rate of poverty based on 2015/16 CSA	Number of beneficiaries under poverty level	Total number of beneficiaries for five years (2013-2017 Ec.) /70%/	Round one (20%)			Round two (40%)			Round three (40%)		
						total	PW	DS	total	PW	DS	total	PW	DS
1	Gonder	401,618	11.6	46,588	27,953	5591	4696	894	11181	9392	1789	11,181	9,392	1,789
2	Bahrdar	301,495	11.6	34,973	20,984	4197	3525	671	8394	7051	1343	8,394	7,051	1,343
3	Jimma	216,672	15.3	33,151	19,890	3978	3342	636	7956	6683	1273	7,956	6,683	1,273
4	Shashemene	179,940	15.3	27,531	16,518	3304	2775	529	6607	5550	1057	6,607	5,550	1,057
5	Bishoftu	178,998	15.3	27,387	16,432	3286	2761	526	6573	5521	1052	6,573	5,521	1,052
6	Sodo	178,691	14.4	25,732	15,439	3088	2594	494	6176	5187	988	6,176	5,187	988
7	Arbaminch	175,939	14.4	25,335	15,201	3040	2554	486	6080	5108	973	6,080	5,108	973
8	Hossa'ana	164,464	14.4	23,683	14,210	2842	2387	455	5684	4774	909	5,684	4,774	909
9	Nekemte	134,737	15.3	20,615	12,369	2474	2078	396	4948	4156	792	4,948	4,156	792
10	Dilla	138,981	14.4	20,013	12,008	2402	2017	384	4803	4035	769	4,803	4,035	769
11	Asela	120,496	15.3	18,436	11,062	2212	1858	354	4425	3717	708	4,425	3,717	708
12	Adigrat	105,856	14.2	15,032	9,019	1804	1515	289	3608	3030	577	3,608	3,030	577
13	Debrebirhan	126,534	11.6	14,678	8,807	1761	1480	282	3523	2959	564	3,523	2,959	564

14	Gode	63,415	22.9	14,522	8,713	1743	1464	279	3485	2928	558	3,485	2,928	558
15	DebreMarkos	121,230	11.6	14,063	8,438	1688	1418	270	3375	2,835	540	3,375	2835	540
16	Sebeta	88,365	15.3	13,520	8,112	1622	1363	260	3245	2,726	519	3,245	2726	519
17	Burayu	87,549	15.3	13,395	8,037	1607	1350	257	3215	2,700	514	3,215	2700	514
18	Ambo	86,287	15.3	13,202	7,921	1584	1331	253	3168	2,662	507	3,168	2662	507
19	Kombolcha	113,800	11.6	13,201	7,920	1584	1331	253	3168	2,661	507	3,168	2661	507
20	Arsi Negelle	84,712	15.3	12,961	7,777	1555	1306	249	3111	2,613	498	3,111	2613	498
21	Debretabor	107,843	11.6	12,510	7,506	1501	1261	240	3002	2,522	480	3,002	2522	480
22	Shireendaslassie	86,916	14.2	12,342	7,405	1481	1244	237	2962	2,488	474	2,962	2488	474
23	Robe	79,500	15.3	12,164	7,298	1460	1226	234	2919	2,452	467	2,919	2452	467
24	Ziway Batu	78,207	15.3	11,966	7,179	1436	1206	230	2872	2,412	459	2,872	2412	459
25	Axum	82,069	14.2	11,654	6,992	1398	1175	224	2797	2,349	448	2,797	2349	448
26	Butajira	78,492	14.4	11,303	6,782	1356	1139	217	2713	2,279	434	2,713	2279	434
27	Areka	73,798	14.4	10,627	6,376	1275	1071	204	2550	2,142	408	2,550	2142	408
28	Adwa	74,446	14.2	10,571	6,343	1269	1066	203	2537	2,131	406	2,537	2131	406
29	Weldia	89,499	11.6	10,382	6,229	1246	1046	199	2492	2,093	399	2,492	2093	399
30	Weliso	67,849	15.3	10,381	6,229	1246	1046	199	2491	2,093	399	2,491	2093	399
31	Yirgalem	71,307	14.4	10,268	6,161	1232	1035	197	2464	2,070	394	2,464	2070	394
32	Degahabur	44,043	22.9	10,086	6,052	1210	1017	194	2421	2,033	387	2,421	2033	387
33	Meki	64,937	15.3	9,935	5,961	1192	1001	191	2384	2,003	382	2,384	2003	382
34	Kebridehar	42,890	22.9	9,822	5,893	1179	990	189	2357	1,980	377	2,357	1980	377
35	Welkite	67,825	14.4	9,767	5,860	1172	984	188	2344	1,969	375	2,344	1969	375

36	Bulehora	63,176	15.3	9,666	5,800	1160	974	186	2320	1,949	371	2,320	1949	371
37	NegelleBorena	63,167	15.3	9,665	5,799	1160	974	186	2319	1,948	371	2,319	1948	371
38	Chiro	60,312	15.3	9,228	5,537	1107	930	177	2215	1,860	354	2,215	1860	354
39	Hallaba	63,128	14.4	9,090	5,454	1091	916	175	2182	1,833	349	2,182	1833	349
40	Alamata	61,053	14.2	8,670	5,202	1040	874	166	2081	1,748	333	2,081	1748	333
41	Gimbi	55,495	15.3	8,491	5,094	1019	856	163	2038	1,712	326	2,038	1712	326
42	Haromaya	55,042	15.3	8,421	5,053	1011	849	162	2021	1,698	323	2,021	1698	323
43	Teppi	58,340	14.4	8,401	5,041	1008	847	161	2016	1,694	323	2,016	1694	323
44	Durame	57,501	14.4	8,280	4,968	994	835	159	1987	1,669	318	1,987	1669	318
45	Boditi	56,304	14.4	8,108	4,865	973	817	156	1946	1,635	311	1,946	1635	311
46	Dembidolo	52,750	15.3	8,071	4,842	968	814	155	1937	1,627	310	1,937	1627	310
47	Mettu	51,556	15.3	7,888	4,733	947	795	151	1893	1,590	303	1,893	1590	303
48	Mizan Aman	54,380	14.4	7,831	4,698	940	789	150	1879	1,579	301	1,879	1579	301
49	Sawula	53,346	14.4	7,682	4,609	922	774	147	1844	1,549	295	1,844	1549	295
50	Fiche	49,247	15.3	7,535	4,521	904	760	145	1808	1,519	289	1,808	1519	289
51	Agaro	45,662	15.3	6,986	4,192	838	704	134	1677	1,408	268	1,677	1408	268
52	Holeta	41,729	15.3	6,385	3,831	766	644	123	1532	1,287	245	1,532	1287	245
53	Mota	50,778	11.6	5,890	3,534	707	594	113	1414	1,187	226	1,414	1187	226
54	Finoteselam	50,265	11.6	5,831	3,498	700	588	112	1399	1,175	224	1,399	1175	224
55	Bedelle	34,960	15.3	5,349	3,209	642	539	103	1284	1,078	205	1,284	1078	205
56	Sekota	43,346	11.6	5,028	3,017	603	507	97	1207	1,014	193	1,207	1014	193
57	Bedesa	32,513	15.3	4,974	2,985	597	501	96	1194	1,003	191	1,194	1003	191

58	Ginchi	32,483	15.3	4,970	2,982	596	501	95	1193	1,002	191	1,193	1002	191
59	Togowuchale	21,178	22.9	4,850	2,910	582	489	93	1164	978	186	1,164	978	186
60	Yabello	31,342	15.3	4,795	2,877	575	483	92	1151	967	184	1,151	967	184
61	Enjibara	40,861	11.6	4,740	2,844	569	478	91	1138	956	182	1,138	956	182
62	Debark	40,423	11.6	4,689	2,813	563	473	90	1125	945	180	1,125	945	180
63	Kemise	37,670	11.6	4,370	2,622	524	440	84	1049	881	168	1,049	881	168
64	Shambu	26,860	15.3	4,110	2,466	493	414	79	986	828	158	986	828	158
65	Dera	26,486	15.3	4,052	2,431	486	408	78	973	817	156	973	817	156
66	Shewarobit	34,092	11.6	3,955	2,373	475	399	76	949	797	152	949	797	152
67	Lalibela	33,688	11.6	3,908	2,345	469	394	75	938	788	150	938	788	150
68	Kebribeyah	16,840	22.9	3,856	2,314	463	389	74	926	777	148	926	777	148
69	Gendewuha	22,001	11.6	2,552	1,531	306	257	49	613	515	98	613	515	98
70	Metti	15,066	16.6	2,501	1,501	300	252	48	600	504	96	600	504	96
71	Abe'ala	21,464	10.6	2,275	1,365	273	229	44	546	459	87	546	459	87
72	Gelgelbeles	7,191	17.7	1,273	764	153	128	24	305	257	49	305	257	49
Total						97,939	82,269	15,670	195,878	164,537	31,340	195,878	164,537	31,340

Annex 5. Chapter 2: Environmental and Social Commitment Plan (ESCP)

Federal Democratic Republic of Ethiopia/

Federal Urban Job Creation and Food Security Agency

Urban Productive Safety Net and Jobs Project, P169943

ENVIRONMENTAL and SOCIAL COMMITMENT PLAN (ESCP)

September 8, 2020

ENVIRONMENTAL AND SOCIAL COMMITMENT PLAN

- Federal Democratic Republic of Ethiopia (**Recipient**) will implement the Urban Safety Net and Jobs Project (the **Project**), with the involvement of the following Ministries/agencies/units: Ministry of Urban Development and Construction/**Federal Urban Job Creation and Food Security Agency**. The International Development Association (the **Association**) has agreed to provide financing for the Project.
- Federal Democratic Republic of Ethiopia will implement material measures and actions so that the Project is implemented in accordance with the Environmental and Social Standards (**ESSs**). This Environmental and Social Commitment Plan (**ESCP**) sets out material measures and actions, any specific documents or plans, as well as the timing for each of these.
- Federal Democratic Republic of Ethiopia will implement material measures and actions that comply with the provisions of any other E&S documents required under the ESF and referred to in this ESCP, such as Environmental and Social Management Plans (ESMP), Resettlement Action Plans (RAP), and Stakeholder Engagement Plans (SEP), and the timelines specified in those E&S documents.
- Federal Democratic Republic of Ethiopia is responsible for compliance with all requirements of the ESCP even when implementation of specific measures and actions is conducted by the Ministry, agency or unit referenced in 1. above.
- Implementation of the material measures and actions set out in this ESCP will be monitored and reported to the Association by Federal Democratic Republic of Ethiopia as required by this ESCP and the conditions of the legal agreement, and the Association will monitor and assess progress and completion of the material measures and actions throughout implementation of the Project.
- As agreed by the Association and Federal Democratic Republic of Ethiopia, this ESCP may be revised from time to time during Project implementation, to reflect adaptive management of Project changes and unforeseen circumstances or in response to assessment of Project performance conducted under the ESCP itself. In such circumstances, Federal Democratic

Republic of Ethiopia will agree to the changes with the Association and will update the ESCP to reflect such changes. Agreement on changes to the ESCP will be documented through the exchange of letters signed between the Association and the Federal Democratic Republic of Ethiopia. The Federal Democratic Republic of Ethiopia will promptly disclose the updated ESCP.

- Where Project changes, unforeseen circumstances, or Project performance result in changes to the risks and impacts during Project implementation, the Federal Democratic Republic of Ethiopia shall provide additional funds, if needed, to implement actions and measures to address such risks and impacts, which may include environmental, social, health, and safety impacts.

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
MONITORING AND REPORTING			
A	<p>REGULAR REPORTING</p> <p>The Federal Urban Job Creation, Ministry of Labour and Social Affairs (MoLSA) and Food Security Agency/The Project Coordination Unit shall monitor the implementation of the project activities in compliance with the environmental and social standards and will prepare and submit regular monitoring reports on the environmental, social, health and safety (ESHS) performance of the Project. The report shall among others include the implementation of this ESCP, status of preparation and implementation of E&S documents required under this ESCP, stakeholder engagement activities, functioning of the grievance mechanism(s).</p>	Quarterly and annually throughout Project implementation period	<p>The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit) for Component 1 &, 2.1; Job Creation Commission (JCC) component 2.2; and</p> <p>MoLSA - for component 3</p>

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
B	<p>INCIDENTS AND ACCIDENTS</p> <p>The Project Coordination Unit shall be responsible to record, report, investigate and follow up any incidents/accidents associated with the public work activities and promptly notify the Association of any incident or accident related to the Project which has, or is likely to have, a significant adverse effect on the environment, the affected communities, the wider public, or workers; such as environmental pollution, occurrences of serious communicable diseases among workers, negligent use of PPE, Operational Health and Safety (OHS) and other injuries requiring off-site medical attention, any mistreatment of communities, including vulnerable groups, such as sexual harassment, etc. The incident report shall provide detailed information about the incident or accident, indicating immediate measures taken or that are planned to be taken to address it and any measures to prevent its recurrence. The incident/accident recording, reporting, investigation and follow up guideline that has been prepared by the client will be implemented. The OHS incident /accident reporting, responding and follow up guideline that has been prepared by the client is annexed to the ESMF (Annex-E)</p>	Initial notification within 48 hours after learning of the incident or accident, and any follow-up reports in a timeframe acceptable to the Association throughout the project implementation	<p>The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit) for Component 1 &, 2.1; Job Creation Commission (JCC) component 2.2; and</p> <p>MoLSA - for component 3</p>
ESS 1: ASSESSMENT AND MANAGEMENT OF ENVIRONMENTAL AND SOCIAL RISKS AND IMPACTS			

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
1.1	<p>ORGANIZATIONAL STRUCTURE</p> <p>The Federal Urban Job Creation and Food Security Agency will establish and maintain a functional environmental and social risk management organizational structure. There will be at least one environmentalist and one social specialist deployed at Federal level.</p> <p>Equally, the Ministry of Labour and Social affairs will establish and maintain a functional social risk management system. There will be a social specialist deployed at federal level</p>	<p>The environmental and social risk management structure must be in place at Project launching (based on the readiness criteria for cities) and must be maintained throughout Project implementation period unless otherwise agreed in writing with the Association.</p>	<p>The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit) for Component 1 &, 2.1; Job Creation Commission (JCC) component 2.2; and</p> <p>MoLSA - for component 3;</p>
	<p>Each project beneficiary town/city will establish a functional environmental and social risk management organizational structure. One Environment and Social safeguards expert at each of the Regional and City level project implementation units, and one Gender specialist at the Federal PCU level responsible for ensuring full compliance with the ESF and relevant instruments. One social worker at each of the Regional and City LSA office</p>	<p>The environmental and social risk management structure must be in place at Project launching (based on the readiness criteria for cities) and must be maintained throughout Project implementation period unless otherwise agreed in writing with the Association.</p>	<p>The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit) for Component 1 &, 2.1; Job Creation Commission (JCC) component 2.2; and</p> <p>MoLSA - for component 3</p>
1.2	<p>ENVIRONMENTAL AND SOCIAL ASSESSMENT</p> <p>Prepare an Environmental and Social Management Framework, a Resettlement Policy Framework, Social Risk Assessment, a Stakeholder Engagement Plan, a GPV Risk Assessment, and Labour Management Procedures to identify and assess the environmental and social risks and impacts of the Project and provide for appropriate mitigation measures in a manner acceptable to the Association and consistent with the ESSs.</p>	<p>By Project Appraisal</p>	<p>The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit) Coordination with Ministry of Labour and Social affairs</p>

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
1.3	Implement the instruments in number 1.2 above,	Throughout Project implementation	The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit) Coordination with Ministry of Labour and Social affairs

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
1.4	<p>Contingent Emergency Response Component (CERC)</p> <p>Prepare an Environmental and Social Management Framework to anticipate, assess, and provide for appropriate mitigation of the environmental and social impacts of anticipated Project activities under the CERC component (CERC-ESMF).</p> <p>Should the CERC component be activated:</p> <ul style="list-style-type: none"> • Include in the CERC Emergency Action Plan a description and assessment of the environmental and social characteristics, risks and impacts of the proposed activities, consistent with the CERF-ESMF. • Prepare and disclose the respective environmental and social management measures and implement any updates to the Project ESMF and CERC-ESMF and other relevant E&S plans/instruments, as agreed with the Association • Implement the CERC E&S measures 	<p>Within 90 days of Project effectiveness.</p> <p>Prior to approval of the CERC Emergency Action Plan</p> <p>Prior to initiating the CERC activities</p> <p>Throughout the implementation of the CERC</p>	<p>The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit); Ministry of Labour and Social Affairs</p> <p>The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit); Ministry of Labour and Social Affairs</p> <p>The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit); Ministry of Labour and Social Affairs (</p> <p>The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit); Ministry of Labour and Social Affairs</p>

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
1.5	<p>MANAGEMENT TOOLS AND INSTRUMENTS</p> <p>All the Project-financed activities shall be screened in accordance with the Environmental and Social Management Framework (ESMF) prepared for the Project and, if the CERC is activated, the CERC-ESMF. Site-specific environmental and social risk management tools (such as ESMPs, A-RAPs, ESIA) will also be prepared and implemented following the ESMF and CERC-ESMF procedures and in a manner acceptable to the Association and consistent with the ESSs.</p>	<p>Throughout Project implementation</p> <p>No public works activities shall be carried out until the relevant E&S instruments (e.g. ESMP, RAP, ESIA), have been completed and approved for those works.</p>	<p>The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit) and MoLSA</p>
ESS 2: LABOR AND WORKING CONDITIONS			
2.1	<p>LABOR MANAGEMENT PROCEDURES</p> <p>Develop written labour management procedures (LMP) for the Project. The LMP will set out the way in which different categories of Project workers will be managed and the way in which the Borrower will require third parties to manage their workers, in accordance with the requirements of national law and ESS2. The LMP will, among others, include provisions to address occupational, health, and safety (OHS) risks faced by all types of Project workers in accordance with the OHS Risk Management Plans in Section 2.3 of this ESCP.</p>	<p>The LMP has been prepared prior to Appraisal.</p>	<p>The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit)</p> <p>Ministry of Labour and Social Affairs</p>
2.1.1	<p>Implement and cause the participating cities to implement the Labour Management Procedures (LMP) for all types of workers, including public work beneficiaries, volunteers, contracted workers as well as the apprentices.</p>	<p>On-going throughout project implementation</p>	<p>The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit);</p>

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
2.2	<p>GRIEVANCE MECHANISM FOR PROJECT WORKERS</p> <p>Establish, maintain, and operate a functional grievance mechanism for Project beneficiaries consistent with ESS2.</p>	GRM must be operational before any workers are hired and remain operational throughout Project implementation	<p>The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit)</p> <p>Ministry of Labour and Social Affairs</p>
2.2.1	Implement and document, and cause participating cities to implement and document, workers' GRM throughout project implementation and regularly report on its results.	On-going throughout project implementation	The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit); Ministry of Labour and Social Affairs
2.3	<p>OCCUPATIONAL HEALTH AND SAFETY (OHS) MEASURES</p> <p>Prepare and implement an occupational, health and safety (OHS) Risk Management Plans as part of each subproject ESMP. These Plans will conform with ESS2, the relevant World Bank Group ESHGs, and the OHS guidelines annexed to the ESMF (Annex F of the ESMF). These Plans will include procedures to ensure prompt and detailed investigation of OHS incidents, follow up, and remedy by the Recipient as well as reporting to the Association in accordance with Section B of this ESCP.</p>	OHS Risk Management Plans to be developed before any Project workers are hired, and maintained and implemented throughout Project implementation	<p>The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit)</p> <p>Ministry of Labour and Social Affairs</p>
ESS 3: RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT			
3.1	<p>RESOURCE EFFICIENCY AND POLLUTION PREVENTION AND MANAGEMENT:</p> <p>The site-specific environmental and social risk management tools such as ESMPs/ESIAs (which will be prepared based on the ESMF) will cover pollution prevention and management measures especially for the Project financed public works involving solid waste management.</p>	No public works or activities shall be carried out until the relevant E&S instruments (e.g. ESMPs) have been completed and approved for those works. These E&S instruments will be maintained and implemented throughout Project implementation	The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit)

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
ESS 4: COMMUNITY HEALTH AND SAFETY			
4.1	<p>COMMUNITY HEALTH AND SAFETY:</p> <p>Develop and implement measures and actions to assess and manage specific risks and impacts to the community arising from Project activities, which shall be set out in the ESMF including in relation to Project workers and any risks of labour influx.</p>	No public works or activities shall be carried out until the relevant E&S instruments (e.g. ESMPs) have been completed and approved for those works. These E&S instruments will be maintained and implemented throughout Project implementation	The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit); participating cities
4.2	<p>GBV AND SEA RISKS:</p> <p>Adopt and implement all measures and actions specified in the Gender-Based Violence Action Plan (GBV Action Plan)</p>	<p>GBV risk assessment has been conducted and GBV Action Plan has been prepared.</p> <p>The GBV Action Plan will be implemented throughout Project implementation</p>	The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit); Ministry of Labour and Social Affairs; participating cities
4.2.1	Ensure and cause the participating cities to ensure that obligations/codes of conduct on GBV/SEA are signed by all workers under the project.	Signing of codes of conduct by Project workers upon hiring	The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit); Ministry of Labour and Social Affairs participating cities
4.2.2	Sensitize the implementation agency (IA) staffs on the importance of mitigating GBV risks on the project, and putting in place mechanisms to address reported allegations of GBV/SEA/SH and support reporting survivors to access relevant GBV response services	Ongoing starting from project launch	Food Security Agency (Project Coordination Unit) for Component 1 &, 2.1; Job Creation Commission (JCC) component 2.2; and MoLSA - for component 3;

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
4.2.3	Ensure and cause the participating cities to ensure the availability of information on GBV referral services for all beneficiaries. Furthermore, for the destitute component, ensure the availability of a referral system linked to the respective shelters.	Before hiring of workers under the Project	The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit); Ministry of Labour and Social affairs
4.2.4	Ensure the availability of an effective grievance redress mechanism (GRM) with multiple channels to initiate a complaint.	Prior to commencement of the Project and before initiating public works activities. Maintained throughout Project implementation.	Food Security Agency (Project Coordination Unit) for Component 1 &, 2.1; Job Creation Commission (JCC) component 2.2; and MoLSA - for component 3;
4.2.5	GBV AND SEA RISKS DURING PROJECT IMPLEMENTATION: Ensure and cause participating cities to ensure that funds are available to implement measures to address GBV and SEA risks and impacts that may arise during Project implementation.	Prior to commencement of the Project and before initiating public works activities. Maintained throughout Project implementation.	The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit) for Component 1 &, 2.1; Job Creation Commission (JCC) component 2.2; and MoLSA - for component 3;
4.2.6	Ensure deployment gender/GBV specialists and focal persons	Prior to commencement of the Project and before initiating public works activities. Maintained throughout Project implementation.	The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit)
ESS 5: LAND ACQUISITION, RESTRICTIONS ON LAND USE AND INVOLUNTARY RESETTLEMENT			

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
5.1	<p>LAND ACQUISITION AND RESETTLEMENT: Prepare and adopt a Resettlement Policy Framework (RPF) in accordance with ESS5.</p> <p>Implement the RPF</p>	<p>Before or By Appraisal</p> <p>Throughout Project implementation</p>	The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit)
5.2	<p>RESETTLEMENT PLANS: As required by the RPF and ESS5, prepare, adopt, and implement, and cause participating cities to prepare, adopt, and implement, resettlement plans (RAPs) or Abbreviated Resettlement Plans (ARAPs) in accordance with ESS5 and the RPF and in a manner acceptable to the Association.</p> <p>For ARAPs post-review procedures apply.</p>	<p>Develop RAPs well in advance of carrying out specific sub-activities under the Project.</p> <p>Implement RAPs fully throughout Project implementation.</p>	The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit);
5.3	<p>MONITORING AND REPORTING: Ensure and cause participating cities to ensure that monitoring and reporting on land acquisition and resettlement activities are conducted separately or as part of regular reporting.</p>	Include in regular quarterly reports to the Association.	The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit); MoLSA
ESS 6: BIODIVERSITY CONSERVATION AND SUSTAINABLE MANAGEMENT OF LIVING NATURAL RESOURCES			

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
6.1	<p>BIODIVERSITY RISKS AND IMPACTS:</p> <p>The site-specific environmental and social risk management tools such as ESMPs/ESIAs (which will be prepared based on the ESMF) will include biodiversity risk mitigation measures especially for the Project-financed public works involving urban greenery and plantation activities. The Recipient (in coordination with the City Environment, Climate Change Offices) will carefully consider the species to be selected for greening activities, in consultation with the relevant authorities, in terms of their biodiversity value by planting a wide variety of indigenous species rather than a limited number of exotic species.</p>	<p>No public works or activities shall be carried out until the relevant E&S instruments (e.g. ESMPs) have been completed and approved for those works. These E&S instruments will be maintained and implemented throughout Project implementation</p>	<p>The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit)</p>
ESS 8: CULTURAL HERITAGE.			
8.1	<p>CHANCE FINDS:</p> <p>The ESMF will include a chance find procedure consistent with ESS8. The site-specific environmental and social risk management tools such as ESMPs/ESIAs, which will be prepared based on the ESMF, for public works such as small-scale urban agriculture and watershed management activities will also include requirements for chance finds procedure</p>	<p>No public works or activities shall be carried out until the relevant E&S instruments (e.g. ESMPs) have been completed and approved for those works. These E&S instruments will be maintained and implemented throughout Project implementation</p>	<p>The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit)</p>
ESS 10: STAKEHOLDER ENGAGEMENT AND INFORMATION DISCLOSURE			

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
10.1	<p>STAKEHOLDER ENGAGEMENT PLAN PREPARATION AND IMPLEMENTATION</p> <p>SEP PREPARATION: Stakeholder Engagement Plan (SEP) to be implemented and updated as necessary in accordance with ESS10.</p>	Completed prior to Project Appraisal	The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit), MoLSA
10.1.1	SEP IMPLEMENTATION: Implement and cause participating cities to implement the SEP throughout project implementation.	Throughout Project implementation	The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit), MoLSA
10.2	PROJECT GRIEVANCE MECHANISM: Prepare, adopt, maintain and operate and cause participating cities to prepare, adopt, and operate a functioning grievance mechanism, as described in the SEP.	GM operationalized prior to selection of beneficiaries at the city level and implemented throughout Project period	The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit); MoLSA
10.2.1	Ensure and cause participating cities to ensure implementation, monitoring, and reporting on the Project GM	Throughout Project implementation, with detailed information included in the reports set out in Section A of this ESCP.	The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit); MoLSA
10.3	CONSULTATION ON E&S INSTRUMENTS: Detailed stakeholder consultation on all E&S Instruments (ESMF, RPF, SEP).	<p>Completed prior to the Project Appraisal.</p> <p>Additional consultations required throughout the Project implementation, as described in the SEP.</p>	The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit); MoLSA (with support from Participating cities)
CAPACITY SUPPORT (TRAINING)			

MATERIAL MEASURES AND ACTIONS		TIMEFRAME	RESPONSIBLE ENTITY/AUTHORITY
CS1	The project beneficiary cities will have qualified personnel and basic completed training	Prior to initiating works or activities	The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit); MoLSA
CS 2	<p>The Project Coordination unit shall organize training to Environmental and Social specialists to be deployed at Federal and City levels on:</p> <ul style="list-style-type: none"> • Environmental and Social Management Framework of the Project • Occupational Health and Safety risk management • Preparation and implementation of site-specific environmental and social risk management instruments • Stakeholder mapping and engagement • specific aspects of environmental and social assessment • GBV • Community health and safety. 	<p>Throughout Project implementation</p> <p>Project workers trained on all areas relevant to them, including GBV for all workers immediately upon hiring and before Project workers engage in works /before initiating work</p>	The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit); MoLSA project team, participating cities
CS 3	<p>The Project Coordination unit shall organize training to public Work and other project beneficiaries on:</p> <ul style="list-style-type: none"> • Occupational Health and Safety risk management • Proper use of personal protective equipment • GBV • Community health and safety. 	<p>Throughout Project implementation</p> <p>Project workers trained on all areas relevant to them, including GBV for all workers immediately upon hiring and before Project workers engage in civil works before initiating work</p>	The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit); MoLSA project team, participating cities
CS4	The Recipient will ensure and cause participating cities to ensure that resources for the implementation of the ESCP are integrated into the project budget and provisions will be included into the annual work plans.	Throughout Project implementation	The Federal Urban Job Creation and Food Security Agency (Project Coordination Unit); MoLSA

Annex 6. Chapter 4: Gender Action Plan

Program Components	Action	Responsible Body
TARGETING	Prioritize registration of PLW and women from MHHs	Cities and Regions
PLANNING	Strengthen planning template to better capture gender issues and PIM provisions	PCO/ JOBFS, Regional and City UJCFS office, BoLSA, OLSA
	Include Gender Analysis and ensure women's participation in annual PW planning process (consult women and men separately, if necessary)	
ACCOUNTABILITY	Raise awareness and implement Social Accountability tools that measure the satisfaction of women	
	Include module on complaints process related to GSD PIM provisions and use of household transfer in Grievance Redress Manual and monitor on gender disaggregated way	
CAPACITY BUILDING, KNOWLEDGE MANAGEMENT	Introduce experience sharing and establish networks among implementers and women's groups at all levels	
	Increase effective participation among women in committees, leadership positions, etc.	
	Include gender in Capacity Building Strategy and prioritize gender mainstreaming in work plan of National Capacity Building Facility (including continuous skills oriented training on gender mainstreaming and equity for implementers including PW site supervisors, awareness raising on gender sensitivity, childcare centres, etc. for watershed committee, City agriculture office, communities, etc.)	
	Develop knowledge and evidence-base regarding implementation of gender PIM provisions in lowland areas and assess and address needs of women in lowland areas and develop lowland specific gender provisions (if necessary)	
	Develop and implement Communications Plan (i.e. activities on awareness creation for communities, production and distribution of IEC materials, etc. with focus on GSD PIM provisions, mainstreaming and equality). Ensure information accessible and communicated in a way that is appropriate for women to ensure that they are reached	
M&E	Strengthen sex and gender disaggregated data by reinforcing use of simple sex-disaggregated and gender disaggregated formats for data collection and include quantitative and qualitative analysis in reporting	
	Include gender sensitive monitoring indicators representative of key gender priorities of each region in logframe	

Program Components	Action	Responsible Body
	Monitor implementation of GSD PIM provisions	PCO/ JOBFS, Regional and City UJCS office, BoLSA, OLSA
	Follow-up gender mainstreaming progress with clear instructions for each working group during JRIS Missions	
	Make better use of sex disaggregated (quantitative) and gender (qualitative) data to make adjustments for local contexts and prioritize activities, as necessary	
TRANSFERS	Pilot approaches to ensure that women equally benefit from transfers and compile knowledge on intra-household dynamics regarding transfers and PWs	PCO, MoUDC, MoF, BoFED, MoLSA, UJCS office at all levels, Municipalities, and Financial Institutions.
	Develop community conversation manual /guidelines to promote household and community awareness regarding use of transfer for household Urban Job Creation and Food Security	
	Sensitize communities and W/KACs (Grievance Redress Manual to include module on Transfers) to address issue of inappropriate use of transfers	
PUBLIC WORKS	Clarify women's 50% workload reduction, 'light works', and subprojects that reduce women's time burden and ensure plans reflect these provisions.	PCO, MoUDC, UJCS office at all levels, Municipalities, and PWCU,
	Disaggregate activities on PW annual plan by sex	
	Extend temporary DS for pregnant and lactating women to as early as first anti-natal check to 12 months post-delivery	
	Awareness raising and revising guidelines (budget, staffing requirements, etc.) for mobile/permanent childcare centres	
	Develop Public Health & Safety Guideline and cascade training to community level (incl. childcare center awareness)	
	Prioritize targets for women as foreperson /forewoman and leadership positions in PW sites to increase women's representation in PW supervisory roles and address stereotypes re. traditional roles	
	Enhance women's equal and active participation in watershed planning committee	
HUMAN CAPITAL	Include GSD issues in BCC activities and work with MoH to develop specific BCC tools to encourage safety net clients to optimize use of both local and transferred resources for improved nutrition of children >2 and PLW	PCO, MoUDC, UJCS office at all levels, Municipalities, and PWCU,
	Pilot approaches in which female clients receive training to deliver BCC activities and/or fill service gaps	
	Women involved in leadership positions and in decision-making structures mentor other women interested in participating in leadership positions and encourage women to	

Program Components	Action	Responsible Body
	express themselves in meetings	
	PLW transitioned to temporary DS to participation in a combination of ante-natal counseling sessions, post-partum health facility visits, Community Based Nutrition Project, growth monitoring and promotion sessions, BCC sessions	
	Mothers in vulnerable households affected by nutrition emergencies to be counted as temporary DS to enable them to care for their malnourished children and benefit from soft conditionalities	
	Female PW clients to participate in literacy/financial literacy and other forms of skills training activities which are counted toward their PW requirement	
ACCESS TO LIVELIHOODS SERVICES AND OPPORTUNITIES	Review and assess strengths and weaknesses of existing extension services/credit experiences and allow for flexibilities through gender lens	PCO, MoLSA, BoLSA, OLSA, MoUDC, UJCFS office at all levels, Municipalities, and LCU,
	Ensure eligibility of women from MHH and FHH	
	Implement gender sensitive and demand-driven economic opportunities for women and facilitate linkages with markets and business opportunities	
	Appropriate technical support (including coaching and mentoring) for female clients in business skills (women from both MHH and FHH)	
	Develop and implement appropriate training and communication materials	
	Develop understanding of success factors to successful group VSLA for women from MHH and FHH	
	Include women friendly off-farm activities and facilitate relevant knowledge and skill transfer	
	Promote improved technologies to increase productivity for women	
	Assess feasibility of livelihood interventions in lowland areas taking into account differences in situations (i.e. MHH, FHH, polygamous HHs)	
INSTITUTIONAL	Earmark budget resources to strengthen capacity on gender features	MoF, MoLSA, BoLSA, OLSA, BoFED, OFED, MoUDC, UJCFS office at federal, city/town levels
	Hire gender and social development experts at F, R and W levels	
	Encourage female staffing targets	
	Closer engagement with MoWCA and linkages with agencies with gender empowerment goals	

Program Components	Action	Responsible Body
MANAGEMENT	Ensure representation of sectors mandated promote social development including gender in UPSNJP decision making structures	
	Develop incentives to implement PIM provisions	
	Include performance targets for implementation of PIM GSD provisions in PMS	

WORKING DRAFT

1. Annual review/update of Market Potential for Livelihood Opportunities

Market potential/value chains for livelihood opportunities are analyzed at the start of the program as presented in **Chapter ...** However, these need to be reviewed annually to ensure that the chosen livelihood activities continue to be relevant.

Preparation of the Community and Kebele Plans

The Kebele Annual Safety Net Plan is the lowest level planning document in the UPSNJP. It is prepared from UPSNJP planning processes that begin at the community level and are aggregated at various stages upstream (see Figure 2 above).

Several elements described in the preceding chapters also feed into the annual planning process. This includes:

- The client selection process, including the categorization of clients into permanent direct support or public works, and targeting of clients for livelihoods transfers.
- Scheduling of public works and transfers.
- Livelihoods-related analyses, including market/value chain analyses, technical analyses, labor market analyses, and environmental and social impact analyses. The process by which these analyses enable the short listing of livelihoods options for each city.

The following sections describe the planning processes for public works, livelihoods, links to social services, and other aspects of program implementation at the community and woreda/ kebele level, along with their approval processes.

a. Community Plan

In January and/or February of each year, the community gathers to plan for public works, livelihoods, and links to social services. These various elements of the program are planned in an integrated manner in order to maximize synergies between them (for example, forage development as a public works sub-project to support livestock-related activities in urban agriculture; building of work sheds for small businesses or the preparation of sites for market gardens.). UPSNJP PCO will ensure these activities are implemented in environmentally sustainable/ climate smart manner.

One method for climate-smart planning might be the application of the Climate Vulnerability and Capacity Analysis tool piloted by the PSNP Climate-Smart Initiative (CSI) to identify public works and livelihood activities that reduce key vulnerabilities and build resilience.

Public Works Planning

Community Facilitators with support of city level sectorial experts assist communities in planning public works based on sub-projects selected through planning process (refer to the specific Public Work Operational Manuals). This process helps to identify community needs, prioritize activities based on those needs, and ensure community ownership of the sub-projects as appropriate.

Prior to the community planning process, work will have taken place at city level to define the major public work interventions to which the UPSNJP public works can contribute. Specifically, for integrated urban watersheds sub-projects, the community watersheds units form the basis for planning.

Estimating person-days for public works: The number of public works sub-projects a community can complete is related to the number of person-days of public works participation available. Therefore, the number of person-days must be calculated based on the number of adult public works clients,

these clients' labour requirement (different for women and men), and adjustments for temporary direct support clients. In addition, public works planning should include provisions for public works clients to participate in at least 1-hour session per month on one or more of the following:

- Health and nutrition BCC sessions,
- Life skill training and safety issues, and
- Financial/saving issues.

The UPSNJP Support Facilitator and the Extension Worker will work together to determine a realistic number of community sessions to be organized for public works clients and how to schedule these sessions throughout the period of public works implementation.

Financial Literacy and Basic Literacy Training

Financial literacy training will be provided intensively during the public works period. However, the impact of this training on the number of available person-days for public works is expected to be minimal. Financial literacy training can therefore be taken into account as needed during implementation rather than at the initial planning phase. The city JCFSTF approves the basic literacy training provider in the City, and the Woreda/Kebele JCFSTF decides if the client needs this training. The calculation for the potential number of person-days of employment should follow the process laid out in the below table:

Table : Calculating Available Person-Days for Public Works Step

Steps	Process
Step 1: Identify the number of public works clients in the community	Figure to be provided by Support Facilitator or Extension worker
Step 2: Approximate male and female breakdown	Unless other data is available, estimate a 50/50 split
Step 3: Calculate the total number of person days available prior to adjustments	$\% \text{ of male PW participants} \times \text{total PW clients} \times 5 \text{ days per month} \times 6 \text{ months per year}$ $\% \text{ of female PW participants} \times \text{total PW clients} \times (5 \text{ days per month} \times 6 \text{ months per year}) \div 2$
Step 4: Adjust the number of person days to reflect exemption of temporary direct support clients from public works participation	Unless other data is available, reduce the total above by 3%
The total from Step 4 is the total number of person-days available for public works	
Step 5: Allocate person-days to community BCC and other types of public works	Community BCC: Unless other data is available, estimate 2% of the total from Step 4 above Other public works: Unless other data are available, estimate 98% of the total from Step 4 above

Planning of sub-projects: - At the community level, a planning team will be formed for all PW activities. This will often be based on the Community Urban Job Creation and Food Security Task Force (CFSTF); sub-teams may be formed to better support the planning process. In the formation of this planning team, careful consideration is needed to ensure active participation of women (both household heads from female-headed households and female members of male-headed

households). Women should be encouraged to take leadership positions in public works planning wherever possible. Depending on the local context, the community may decide that a mixed team is the most appropriate approach, with a designated proportion of women in the planning team and ground rules to enhance women's participation. The Social Development Expert monitors the participation of women in planning to ensure that constraints to their participation and leadership are minimized or eliminated.

Community needs will be identified, with careful consideration of the needs of both men and women and different groups within the community. During this process, communities are encouraged to consider projects that contribute to urban green infrastructure development, watershed, solid waste and urban environment management as well as livelihoods, nutrition, climate resilience and disaster risk management. A list of potential sub-projects is developed, which are then ranked in order of priority, taking into account the needs of women and other groups in the community. This process should consider the time during the year when the public works sub-projects will be carried out, and the number of person days available to complete the public works.

Finally, a list of prioritized public works projects is completed based on the resources (public works person-days) available for the coming year. The Program Facilitator/Expert is then responsible for the designing of the sub-projects with the assistance of City, zone or regional experts, as appropriate.

Links to Social Services Planning

Adjustments to co-responsibilities (as needed) based on local realities. At woreda/kebele level, Social workers and Health Extension Workers in consultation with the City Labour and Social Affairs, Education, Health Office review the expected co-responsibilities outlined in the table below against the capacity to provide health and nutrition services. If necessary, proposed modifications are made on the basis of the services available for inclusion in the W/KASNP.

Table. Category of Temporary Direct Support Client

Client	Co-Responsibilities
Pregnant women	Attendance of four ante-natal consultations
	To participate in health and nutrition BCC sessions as informed by the HEW
Lactating women with a child less than one year old	Attendance at one post-partum health facility visit
	Attendance at growth monitoring and promotion/behavioral change communication sessions as informed by the HEW
	Uptake of routine immunization on behalf the child as informed by the HEW
Primary care-giver of a malnourished child under five years old during treatment	Monthly check up of the child at the closest health facility
	Attendance at BCC sessions provided by HEWs or the health development army as informed by the HEW
	Participation in treatment (e.g. community management of acute malnutrition or targeted supplementary feeding) as advised

Table 5: Category of PDS	Co-Responsibilities
--------------------------	---------------------

Clients	
Bedridden elderly/persons with disabilities (PDS clients)	Linkage to health facilities/health insurance
Destitute clients with health needs	Linkage to health facilities
Destitute clients who have education/Vocational skills training needs	Linkage to schools/TVETs and job opportunities
PDS clients who needs additional community based supports	Linked with NGOs, CCCs and other community structures for community based supports
PDS clients (including destitute) who have legal support needs	Linked with legal service sectors

Planning of health and nutrition BCC for Public Works Clients and PDS/TDS: Implementing agencies map the potential existing and planned community BCC provisions in the woreda/kebele, taking care to focus on BCC that: 1) takes place during the public works season, and 2) targets both men and women. These might include community BCC planned for life skill, financial literacy, business plan and other planned group-focused BCC sessions.

Following this assessment of existing community BCC services, the implementing agencies assess whether public works clients' community BCC requirements (twelve sessions during the course of the public works implementation period) can be addressed through existing services or whether it will need to be complemented by additional specific sessions arranged for public work clients. The implementing agencies then agree the schedule of existing and specific sessions so that they can be accommodated in the above public works planning process.

Consolidation of Woreda/ Kebele Annual Safety Net Plan

The W/KJCFSTF consolidates all lists of needs and priorities related to public works and livelihoods prepared by the KJCFSTF in the community plans, and add the links to social services plan as outlined above, as well as the results of annual targeting/retargeting processes. Based on these inputs, the W/KJCFSTF prepares the Kebele Annual Safety Net Plan.

The W/KASNP has the following content:

- A list of identified UPSNJP clients, including categorization
- Public works clients (including temporary direct support)
- Permanent direct support clients
- A brief technical description of proposed public works sub-projects
- A list of activities to implement those public works sub-projects
- An estimate of workdays required for each sub-project, based on standard work norms which are found in operational manuals and planned participation in community BCC.
- Requirements for technical assistance for the design of the project or during implementation
- Requirements for non-labour capital or administrative inputs
- Operations and maintenance and future management plan for all new infrastructure
- The number of total person-days allocated for participation in community BCC.
- Planned community BCC sessions for public works clients

- Any proposed modifications to the co-responsibilities for inclusion in the Links to Social Services sub-component.
- A list of UPSNJP livelihoods clients, including categorization for credit referrals or livelihoods transfers
- Initial estimates of level of interest by clients in each of the three livelihood pathways

Preparation of the City Plan

City Annual Safety Net Plans (CASNP) is prepared from all of the Woreda/Ketena Annual Safety Net Plans (W/KASNPs) in a city. CASNP are prepared by the office of job creation and food security in collaboration with city/town administration, WOLSA and other sector offices. This helps ensure that their roles and responsibilities are acted on and that duplication of plans is avoided. The city plan includes plans for each of the program elements: transfers, public works, links to social services, links to case management of permanent direct support, and livelihoods. However, the plan is more than the sum of its parts: it integrates all safety net activities in the City, including the City-level functions.

The CASNP includes the following content:

1. Client numbers and whether they are clients of the permanent direct support or public works clients (including temporary direct support).
2. Transfer plans for cash including when transfers will be needed, and where and when they will be distributed.
3. Planned public works sub-projects, indicating those requiring specialized technical input, and including the schedule for the year
4. Links to social services plans
5. Links to case management of permanent direct support clients plans
6. Livelihoods plans
7. Staffing needs in the City
8. Equipment needs in the City
9. Training needs and plans for the City
10. Basic procurement plans
11. Coordination plans
12. City budget and schedule

The City budget and schedule should cover all project activities separated by line item. The administrative budget will cover staffing, equipment (including procurement), and training for the implementation and oversight of transfers, and public works. It will also cover training needs for the implementation and oversight of links to social services. The livelihoods capacity building budget will cover these administrative costs for the implementation of the livelihoods component.

The CASNP is prepared in April when all the W/KASNPs are available, although planning must occur in time to ensure that the CASNP is submitted to the zone (and/or region where appropriate) by the end of April. The process for planning and approval of the key elements of the City Annual Safety Net Plan is described in sections below.

- Client Numbers by Component

The CASNP summarizes woreda /kebele level data on client numbers, with the following process.

Step 1: Ketena client lists, which have taken into account graduation and any other adjustments, and are presented as a part of the W/KASNP, are sent to the office of UJCFS and shared with city/town administration and sector offices for consolidation and analysis.

Step 2: The City Cabinet checks and approves the list of participants of the selected Woreda/Kebele where the project will be implemented, ensuring that adequate resources will be available during the year to support this number of clients.

Step 3: If any adjustments are needed, the CJCSTF informs the W/KJCFSTF, which revises its client list and W/KASNP accordingly.

Step 4: If adjustments are needed that increase the client number above the UPSNJP budget allocation, the City Council may approve use of the City contingency to cover the increase.

- Transfer Plan

Timely and predictable transfers are key to the success of the UPSNJP. The City Annual Safety Net Plan is the source of information that allows regions and the federal level to plan in order for transfers to be disbursed in a timely manner. The City takes into account preferences articulated in the W/KASNP where appropriate and develops an overall resource plan for the City.

The transfer plan includes a section for transfers to permanent direct support clients, who will receive 12 months of transfers per year, and a separate section for transfers to public works (and temporary direct support) clients, who will receive twelve months of transfers per year.

If cash flow plans are amended during the year, the City Urban Job Creation and Food Security Office informs the CJCSTF and OFED in a timely manner and City plans are amended. The amended payment schedule is communicated to UPSNJP clients.

- Public Works Plan
- PW planning is an annual engagement and starts at community level where Kebele or Ketena is set as a planning unit in all cities. Kebele or Ketena level task force is established to facilitate, organize and prioritize public works planning and by consolidating, the plan submits it to city. Then the City public works technical committee reviews the prioritized public works plan and consolidates them into an overall City public works plan for the fiscal year.
- Contributions of public works to livelihoods, nutrition, climate resilience, OSH and DRM should be specifically outlined in the Public Works Plan. The City Environmental Expert ensures that any planned public works sub-projects of environmental concern are clearly earmarked.
- The City Urban Job Creation and Food Security Office incorporates the public work plan into the overall City Annual Safety Net Plan and submits it to regional and federal JOBFA and City/town administration.
- Links to Social Services Plan

The City Health Office and OLSA, review any proposed modifications to the list of co-responsibilities proposed by social workers and HEWs in the woreda/kebele plans, with support and participation of the UJCFS Office. They also review potential estimates of number of temporary direct support clients and identify any additional support HEWs and health facilities will need to meet any increased uptake in services. In addition, the City Health Office reviews woreda/kebele plans for the provision of community BCC to public works clients. City health office and OLSA use these plans to inform their own City-level activity planning in order to ensure that adequate human resources and other resources will be available for their implementation.

- Links to Case Management of Permanent Direct Support Plan

City OLSA staffs review the list of permanent direct support clients and identify their recurrent social service needs of clients. They should also conduct resources mapping and prepare service linkage directories. Besides, potential stakeholder analysis for service linkages needs to be conducted. In the planning process, hence, adequate resources, procedures and staffing arrangement are important for consideration.

- **City Budget and Schedule**

UPSNJP budgeting takes place at the City level, together with preparation of the City Annual Safety Net Plan. The UPSNJP City budget consists of seven components:

- The transfer budget for permanent direct support clients.
- The transfer budget for public works clients (including temporary direct support clients).
- The public works capital budget which covers capital inputs and material for public works activities. The total capital budget must stay under the threshold which is 20% the base program costs¹⁶. Within the overall budget, there is no cap to the capital budget allocated to an individual sub-project. The CJCFSTF has the responsibility to allocate and approve the City capital budget as per the approved public works sub-projects.
- **The administrative budget (3% of the base program costs) which** covers human resources, small office equipment and materials, travel and transport, training, monitoring and evaluation activities, and other costs with the exception of livelihoods-related costs. The CJCFSTF has the responsibility to allocate and approve the City admin budget for the implementing sector offices.

Federal Level Planning and Approval

The product of federal planning is the Federal Annual Safety Net Plan, which summarizes all key dimensions of the program and compiles an overall budget for the year. The federal planning process takes place at the same time as planning processes for lower levels, in time for the new Financial Year.

The format for the Federal Annual Safety Net Plan has the same sections as the city plan, for each of which guidance is provided in the sections below. When the final Federal Annual Safety Net Plan is approved, it is circulated down to regions, to other federal agencies, and to Development Partners so all are fully informed on the decisions that have been made. Any amendments to the Annual Plan are communicated formally to regions and Development Partners.

Public Works Plan

The Public Work plan is coordinated by urban safety net directorate and public work specialists under PCO. The main stakeholders in the planning and implementation of the public works are governmental offices that are entitled to perform municipal activities such as: solid waste collection, urban greenery and beautification, Integrated Watershed development, creating favorable condition

¹⁶Base program costs = transfer budget + public work costs + 3% Administration Costs (UPSNJP PAD, November 25, 2015)

for urban agriculture and community infrastructures and services. These activities are open to host additional activities provided that the need is initiated from the community. The public works plan is prepared as follows:

- Verifies consistency of regional/city public works plans and their correspondence to whether the plan was incorporated into the implementing offices annual plan and with resources available.
- Verifies that the regional/city public works plans follow the principles of the UPSNJP.
- Verifies that the ESMF procedures are followed and that the plans are in line with cities and towns priorities.
- Submits the summarized regional/city public works plans to the federal PCO for information, discussion and review.
- PCO Communicates concerns, if any, about regional/city public works plans to the regional Public Works Focal Units for their appropriate action.
- PCO will forward all the regional/city public works plans to the Public Works Technical committee once they are finalized appropriately.
- Spot check on OSH
- Prevention of GBV and
- Prevention of child labor /prevention activities
- Finally, PCO will submit the plan for government and the World Bank.

Links to Social Services Plan

The Federal Governmental Service Providers

- Verify consistency of regional plans for links to social services and their correspondence with the resources available.
- Forward any concerns about the regional links to social services plans to BOLSA and BOH and other relevant government institutions their respective offices for appropriate action.
- Prepare an annual plan that details how they will support the implementation of the regional or Cities Annual Safety Net Plans (R/CASNPs) together with its overall mandate.
- Forward final Links to Social Services plan to the PCO and takes it into account for its own annual planning.

c. Strengthen Social Assistance and Service for the urban poor and urban poor plan

The planning process for Strengthen Social Assistance and Service for the urban poor sub-component starts from the grass root level in which the community participates and identifies the demand and prioritized basic social services for the needy. In the planning process, the City Direct Support Technical Committee involves the community and the basic social service providers in the program area. Having identified and prioritized lists of direct support clients, the committee identifies activities to be implemented to link direct support clients to social services. The budget, the human resource requirement and costs, the transfer and the process to link the basic services have to be clearly defined. For Urban destitute sub- component beneficiaries, the planning process start from MOLSA and BOLSA on identifying the potential Service provider to provide rehabilitation and reintegration service for urban destitute. The service providers will reach out in hot spot areas, to inform potential beneficiaries about the opportunities, the purpose and content of services provided

in the transitory services of the NGOs, and other Alternative care services so that they are assisted to make an informed decision for voluntary registration. Any decision, initiatives and approaches should respect fully the rights of the destitute and to have their views on the bases of their access to all necessary information. Any intervention is the destitute centered so that it involves the destitute, is tailored to his/her needs and in her/his best interests.

In the preparation of the financial plan OFED play the prime role. The city administrators approve the unconditional transfer and urban destitute clients plan and submit to BoLSA. The City/Town includes the human resource, capacity development and finance requirements for urban poor and destitute component. The BoLSA in the program cities submits the regional social safety net plan (urban poor and destitute component) to MoLSA

d. Links to Case Management of Permanent Direct Support Plan

Ministry of Labor and Social Affairs:

- Verifies consistency of regional plans for links to case management of permanent direct support and their correspondence with the resources available.
- Forwards any concerns about the links to case management of permanent direct support plans to BoLSA for their appropriate action.
- Prepares an annual plan that details how they will support the implementation of the R/CASNPs together with their overall mandate.
- Forwards a final Links to Case Management of Permanent Direct Support Plan to the PCO and takes it into account for its own annual planning.

Transfer Plan

PCO and MoF are responsible for ensuring that cash is available for disbursements to make cash transfers timely and predictable. The process for planning cash at federal level is as follows:

Step 1: PCO proposes a predicted market wage rate for the project for the coming year in June which is approved by the federal UJCFS Council.

Step 2: PCO analyses Regional/ city Annual Safety Net Plan submissions, calculates the cash required each month of the year, for each region, based on their regionally approved transfer schedules.

Step 3: PCO produces expenditure and cash requirement forecasts.

Step 4: The expenditure and cash requirement forecast is passed to MoF.

Step 5: The expenditure and cash requirement forecast is part of the quarterly IFR and be submitted to Development Partners by MoF for clearance.

Step 6: PCO prepares a disbursement plan and instruction to MoF, Government Line Departments, and R JOBFA/Bin the regions as part of the reporting downwards process. MoF effect the cash transfers to the regions and Government Line Departments as per the instructions from PCO and communicates the same to BoF and PCO.

Staffing Plan

The federal level is responsible for ensuring adequate staffing in federal level organizations with UPSNJP responsibilities, and also approving staff requests from regions. The process is as follows:

Step 1: PCO reviews city plans and identifies support requirements from federal-level staff from all departments and other organizations, including itself. This should be comprehensive but may include staff for financial management, food management, project oversight, social development, provision of required and anticipated technical support (including for livelihoods interventions in each of the two pathways), monitoring and evaluation, training provision, and procurement.

Step 2: PCO circulates regional plans and its initial assessment of support required from federal staff to Line Departments and other organizations required providing support to regional level and playing a role in UPSNJP implementation. Review of the staffing plan should be comprehensive based on local arrangements but may include:

- Overall staffing plan: PCO, F JOBFS, JCC and MoLSA
- Staffing for transfers: MoF
- Staffing for public works: MoUDC, F JOBFS and MoF
- Staffing for livelihoods: F JOBFS, MoLSA, Federal TVET and MFI
- Others as appropriate

Step 3: All federal implementing agencies and other organizations assess needs for the coming year against current staffing availability, taking into account any known changes for the coming year. They also assess staffing levels against minimum standards for effective UPSNJP implementation if relevant, and any subsequent capacity assessments.

Step 4: All implementing agencies submit reports on staffing status and its adequacy to serve needs in the current year, with proposals for any changes, to PCO

Step 5: PCO compiles analysis of staffing adequacy and staffing requirements, and approves the plans. If plans are not approved, they are returned to the relevant organization with explanation, for further discussion.

Step 6: PCO compiles an Annual Staffing Plan and inserts this as a section in the Federal Annual Safety Net Plan.

Step 7: PCO allocates available staffing budget on priority basis in the plan, and reports back to relevant organizations on budget allocations through circulation of the Federal Annual Safety Net Plan.

Step 8: PCO reviews proposed staffing plans in the Regional/City Annual Safety Net Plans and approve them as part of the wider process of approval of these Regional/City plans. If PCO does not approve the staffing proposals, then an explanation is provided to the Region/City and the issue is resolved through discussion. Regions/Cities then update their plans and resubmit to PCO for final approval. PCO sends final approved plans back to Regions as described.

Step 9: Departments and organizations plan approved recruitment.

Training Plan

PCO, in coordination with F JOBFS, MoUDC, MoF, MoLSA and TVET, is responsible for

- Providing whatever role is required of them to ensure adequate training and Human Resource Development for lower levels
- Ensuring federal staff, both new and existing, are adequately trained

The following process feeds into the development of the Federal Annual Safety Net Plan:

Step 1: The UPSNJP PCO or designated officer reviews minimum requirements for regular training at federal level.

Step 2: PCO and the Capacity Development Support Facility review regional training plans and identify additional requirements for a federal role in training.

Step 3: PCO refers to other training assessments for the UPSNJP under capacity building initiatives to identify further training needs requiring federal input.

Step 4: PCO requests other Federal Departments and Organizations to submit their own training needs under the UPSNJP.

Step 5: PCO and the Capacity Development Support Facility compile an annual training plan that describes when, how, where, and by whom training will be conducted. A budget is prepared for each item.

Step 6: The training plan is included in the Federal Annual Safety Net Plan.

Equipment Plan

The federal level must make sure that all equipment that will be needed at federal level for the coming year will be available when it is needed. This might include:

- Vehicles
- Motorcycles
- Computers and other computer-related equipment
- Furniture
- Accessories for computers photocopy machines, fax machines, etc.

The following process feeds into the annual plan:

Step 1: PCO reviews minimum requirements for equipment at federal level.

Step 2: PCO reviews the Regional/City Annual Safety Net Plans and identifies any implications for further equipment required at regional/city level, such as vehicles, motorbikes, computers, etc.

Step 3: PCO refers to other capacity assessments for equipment for the UPSNJP under capacity building or procurement initiatives to identify further equipment needs.

Step 4: PCO requests other Departments and Organizations to submit their own equipment needs under the UPSNJP, with justification.

Step 5: If requests are not approved then they are returned to their source with explanation and further discussion takes place.

Step 6: PCO compares existing equipment holdings with requirements and identifies where additional equipment is needed for effective implementation of the UPSNJP.

Step 7: PCO plans how each type of equipment need may be met. This may include:

- Pooling arrangements

- Other sharing arrangements
- Renting vehicles or other equipment
- Repairing existing equipment
- Purchasing new equipment

Step 8: PCO reconciles priority needs with available budget and prepares an equipment plan for the Annual Federal Plan.

Procurement Plan

Federal responsibility for procurement comprises:

- Procuring items required at the federal level, and
- Consolidating regional/city procurement plans

The following steps are to be followed for the Federal Safety Net Plan:

Step 1: PCO identifies procurement needs from the process of identifying equipment.

Step 2: Other non-equipment procurement needs are identified from the training needs assessment and other sources.

Step 3: PCO reviews procurement proposals in draft Annual Plan from regions and approves them. If regional/city plans are not approved, PCO provides an explanation why and addresses the situation through discussion.

Step 4: PCO identifies items from regional/city procurement plans requiring federal procurement.

Step 5: The Procurement Coordinator in PCO prepares a separate annual procurement plan, consolidating regional and federal procurement plans, according to the procurement guidance. This is accompanied by a maintenance plan for all equipment to be purchased. These plans are submitted to the World Bank for approval.

Step 6: The World Bank reviews the procurement plan and, if approved, gives a 'no-objection' to PCO.

Federal Budget

The Annual Federal Budget pulls together all budget items from the UPSNJP, with the following steps:

Step 1: The full costs of all approved Regional/City Annual Safety Net Plans are compiled in the prescribed format by the PCO.

Step 2: The full costs of all approved federal-level planned expenditures as identified in this section are added to the same format.

Step 3: The PCO checks this budget and ensures that all cost categories have been included for all levels, including transfers, capital and administration, livelihoods implementation (capacity building) and livelihoods transfers, capacity building and management budgets.

Step 4: The final budget is included in the Federal Annual Safety Net Plan, and submitted by the end of June to MoF for approval with the regular Government Budget and Development Partners at

federal level, and in the final Federal Annual Safety Net Plans back down to regions, which in turn provide relevant information to zones and Cities.

Planning timeline

Budget preparation and submission timeline should be communicated to all implementing entities. Planning should start in March of each year; regions/cities should finalize and submit their budget to the Federal level by April 30 of each year; the Federal level should hold discussions with cities to refine the budget and then submit the consolidated budget to the World Bank by June 1st of each year, the World Bank will provide no objection/comments by June 15 of each year. If revision based on WB comments is required, revised version will be submitted to the WB by June 25 of each year.

WORKING DRAFT

Public works physical activities Plan (template) Detail of each sub components` appropriate activity can be taken from the existing guideline of each of the sub components)

s/ n	Activity	No of parti cipa nts	un it	Work norm	Ann ual Pla n	perfor mance indicato rs	Tot al per son day s	1st Qua rter		2nd Qua rter		3rd Qua rter		4th Qua rter	
								Q t	P d	Q t	P d	Q t	P d	Q t	P d
1	Beneficiaries and payments														
1. 1	urban solid waste &environmental cleaning														
1. 2	Urban greenery and Beautification														
1. 3	Creating favorable environment for urban agriculture														
1. 4	Urban Integrated Watershed Development														
1. 5	Social infrastructure and services														
.															
.															
.															

	Beneficiaries	Female											
		Total											
1.2	Budget allocation and expenditures by benefit type/ payment												
1.2.1	Public work beneficiaries paid, Birr	Male											
		Female											
		Total											
		No of Woredas											
1.2.2	Direct Support Beneficiaries transfer, Birr	Male											
		Female											
		Total											
		No of Woredas											
2	PW sub-projects identified through community participation	%											
2.1	Solid waste management activities												
2.2	Urban greenery & beautification												
2.3	Urban Integrated watershed												

	development												
2.4	Create conducive environment for urban agriculture												
2.5	Social infrastructure and services												
NB	(report the appropriate activities implemented by your city/town) under each of the five guidelines of sub components of the public work)												

WORKING DRAFT

Annex 8. Chapter 9: Public works Format

Beneficiary information

Beneficiary Region

Beneficiary City

No	Name of City/Sub-city, Woreda/Kebele	Number of beneficiary house holds			Total number of beneficiary including house holds			Remake
		`Male	Female	Total	`Male	Female	Total	
1								
2								
3								
4								

Selected number of beneficiary vs activities

No	Name of City/Sub-city, Woreda/Kebele	Number of beneficiary										Total
		A		B		C		D		E		
		Male	Fema le	Ma le	Fema le	Ma le	Fema le	Ma le	Fema le	Ma le	Fema le	
1												
2												
3												
4												

N.B Government of Ethiopia signed an agreement with World Bank only for the following program

- Urban solid waste and environmental cleaning activities;
- Urban Beautification and Greenery activities;
- Urban Integrated Watershed Development;
- Urban Social Infrastructure and services; and
- Create favorable environment for urban agriculture.

6.3. Types of activity and annual and semiannual plan

[illegible]

3. 1															
4	Urban Social Infrastructure and services														
4. 1															
5	Create favorable environment for urban agriculture														
5. 1															

Types of activity and semiannual Report Format

No	Activity	No Participa nt	Unit	Work Norm	Annu al Plan	Perfo rman ce Indic ators	Total person days (PD)	----- quarter plan		----- quarter actual		Up to this Quarter	
1	Urban solid waste and environmental cleaning activities							Q	PD	Q	PD	Q	PD
1. 1													
2	Urban Beautification and												

Personal

	Greenery activities													
2. 1														
3	Urban Integrated Watershed Management													
3. 1														
4	Urban Infrastructure services Social and													
4. 1														
5	Create favorable environment for urban agriculture													
5. 1														

equipment/ capital expenditure budget

no	Capital item/type of tools	Unit	Unit cost	Amount	Total Cost	Remark
1						
2						
3						
4						

Annex 9. Chapter 10: Quick business idea appraisal format

Name of client: _____

Project type: _____

Screened by: Name and signature of OSSC

Screening criteria	Yes	No	Remark
<ul style="list-style-type: none">Is the product/service marketable?			
<ul style="list-style-type: none">Can the project be implemented with the available financial/physical resource, household skill and labour?			
<ul style="list-style-type: none">Is the project free of significant environmental and social impact (e.g. increased workload on women and children)?			
<ul style="list-style-type: none">If yes to 3 above, is there a capacity to develop and implement mitigation measures?			

Coordinator: _____

Office: One Stop Shop Centre _____

Date: _____

Annex 10. Chapter 10: Simple business plan format

This template can be adapted to a variety of livelihood or income generating activities.

- CLIENT PROFILE
- 1. Address: Region _____ City _____ Woreda/Kebele _____ house no. ----
-----Tel.no.-----
- 2. Name of client _____ Sex male _____ female _____
- 3. Name of spouse: _____
- 4. Client's ID No. _____
- 5. Family size: Male _____ Female _____ Total _____
- 6. Level of education (Head) _____
- 7. Livelihood activity plans to engage in: _____

-
- BUSINESS PROFILE
- Source of capital (in birr)
- Saving-----
- Grants -----
- Loan.....
- Total.....

- Available assets that will be used for the IGA: (available at client level; asset may include: land, production material, tools, and skills)

No	Types of assets	Quantity

-
- Plan for purchasing fixed assets for the IGA

s.no	Types	Measurement	quantity	Unit price	Total price
	Total				

- Input/ raw material cost plan

S. no	Types	measurement	quantity	Unit cost	Total cost
	Total				

- Production plan for businesses that will make something (e.g. manufacturing, urban agriculture).

s.no	Type products	of measurement	Quantity	Production month/day
	Total			

- Sales plan

s.no	Type products	of measurement	quantity	Unit price	Total price
	Total				

- Distribution and promotion plan
- Distribution areas, competitor types and major customers description:

- Promotion Techniques / how customers know the product?

- Describe the strengths and weaknesses of the proposed business:

- Describe the opportunities and challenges of the proposed business :

i) Yearly Net income = yearly sales- yearly cost-----

Annex 11. Chapter 10: Livelihoods Checklist

household and Client Information

Household UPSNP ID Number	Livelihood Pathway
Client Name	<input type="checkbox"/> Self employment
Gender	<input type="checkbox"/> Wage employment
Age	

Livelihood Investment

Describe planned livelihood and investment in box below

Source of Finance:

☐ Credit (Source: _____)

☐ Livelihoods Transfer/grant _____

☐ Other (Source: _____)

Checklist

Step 1: Financial literacy training	Completion date		Signature of training provider	
Step 2: Participation in savings	Savings location (check type and write name)		Monthly savings amount	
	MFI _____			
	Saving cooperatives _____			
	Other _____			
Step 3: Technical training [using codes]	Completion date		Name/title of training provider	
Step 4: Business/marketing skills [using codes]	Completion date		Name/title of training provider	
Step 5: Certification Signature (or fingerprint) of client	We certify that _____ (name) has received and successfully completed all of the above trainings.			
	Signature (or fingerprint) of client		Signature of livelihood expert	
Step 6: Business plan development	Completion date		Signature of one stop center expert	
Step 7: Referral for financing	Date of referral	Institution	Financing provided	Date provided
Step 8: Follow-up support	Visit dates		Notes (progress, challenges, support provided)	

Livelihoods checklist tracker

Household Number	Client Names	Client		Client Livelihood	Financial Literacy Completed (Yes/No)	Savings		All Technical Trainings Completed (Yes/No)	All Business/Marketing Trainings Completed (Yes/No)	Business Plan Completed (Yes/No)	Business Plan Funded?		Livelihoods Transfer Recipient(Yes/No)	Follow-Up Visits (Dates)
		M/F	Adult/Youth			Location*	Monthly Savings in Birr				Yes/No	Source		
Total reaching this step during the quarter		Male												
		Female												
		Youth M												
		Youth F												

Annex 12. Chapter 10: An example of Job Search Plan

Meseret, 18 years old, lives in a household that was targeted for UPSNJP in Hawassa. Usually, Meseret's mother is doing the Public Works activities. For the livelihoods component though, the households selected Meseret as she is better educated than her mother (Meseret obtained Grade 8 – primary school). Meseret chose the wage-employment track and wishes to obtain a job in the Hawassa Industrial Park. She has drafted following job search plan:

JOB SEARCH PLAN (JSP) TEMPLATE with filled hypothetical examples	
<ul style="list-style-type: none"> • City: Hawassa Sub-city: Misrak; Kebele: 04 • UPSNJP beneficiary number: 20/854/2 • Name of job seeker: Meseret 	<ul style="list-style-type: none"> • Name of Household head: Mahlet • Date: April 30, 2018
<ul style="list-style-type: none"> • Job search objective: To obtain a job at a factory in the Hawassa Industrial Park within the next 3 months 	
<ul style="list-style-type: none"> • Education and skills profile: I have obtained Grade 8 certificate; Speak Sidama very well (mother tongue); my Amharic reading and writing is good; I know a little bit of English. I don't know much about computers 	
<ul style="list-style-type: none"> ➤ Training needs: <ul style="list-style-type: none"> ➤ Short combined language and computer training to improve English and computer literacy ➤ Training on how to do a job interview 	<ul style="list-style-type: none"> ➤ Training providers: <ul style="list-style-type: none"> a) Provider of language and computer training in Hawassa b) Job interview coach in Hawassa (e.g. OSS)
<ul style="list-style-type: none"> ➤ Job Information: I will look for jobs by going to the Industrial Park and ask whether they have available jobs and how I should apply. I can also go to the OSS to see whether they can help me in contacting the employers in the Industrial Park. 	
<ul style="list-style-type: none"> ➤ Target employers: All factories that are in the Hawassa Industrial Park 	
<ul style="list-style-type: none"> ➤ Target Salary: I want to earn 1,000 Birr per month. And maybe get more if I stay long in the factory and get promoted 	
<ul style="list-style-type: none"> ➤ Financing requirements: <ul style="list-style-type: none"> • English language training: • Interview training: • Weekly transport and subsistence for 15 weeks): • Total: 	<ul style="list-style-type: none"> 3,000 birr 2,000 birr 2,000 birr 8000 birr

Annex 13. Chapter 10: Business Plan Approval Form

Name of client: _____

Project type: _____

Reviewed and approved by: Names and

Business plan approval	Yes	No	Remark
○ Are all sections of the BP format complete? If any critical information is missing, make quick inquiries (by telephone to the body that prepared – e.g. OSSC).			
○ Do the figures add up? Check all sections/tables that have 'total'			
○ Are the business environment described (strength, weakness, opportunities and challenges)?			
○ Does the IGA cause damage to the environment (e.g. cutting trees)?			
○ Does the IGA increases workload for women and children under 18?			
If yes to 4 and 5 above, what are the mitigation plans?			

signature_____

Office: Sub-city Administration (for larger cities)

City Administration (for other cities)

Date:

Annex 14. Chapter 10: JSP approval Form

Name of client: _____

Project type: _____

Reviewed and approved by: Names and

JSP approval criteria	Yes	No	Remark
<ul style="list-style-type: none">Are all sections of the JSP complete? If any critical information is missing, make quick inquiries (by telephone to the body that prepared – e.g. OSSC).			
<ul style="list-style-type: none">Do the figures add up? Check all sections/tables that have 'total'			
<ul style="list-style-type: none">Are the knowledge, skills and experience of the client described?			
<ul style="list-style-type: none">Is the JSP based on the clients' current knowledge, skills and experiences?			
<ul style="list-style-type: none">If any additional refresher training is needed, is it within the finance available to the clients for such purposes?			
<ul style="list-style-type: none">Does the JSP involve the client moving away outside the residential area?			
<ul style="list-style-type: none">If yes to 6, is the household informed and agreed on mechanisms for the continued support?			
If yes to 7 above, list or describe the agreements:			

signature _____

Office: Sub-city Administration (for larger cities)

City Administration (for other cities)

Date:

Annex 15. Chapter 10: Registration and recording Form for self-employed

City/Sub-city	Kebele/ Woreda	Name	Client ID/PASS No	IGA/name	Remark

Annex 16. Chapter 10: Registration and recording Form for wage employed

City/Sub-city	Kebele/ Woreda	Name	Client ID	Job title	Job location	Remark

WORKING DRAFT

Annex 17. Chapter 10: Complete profile of the self-employed

S/ N	Name	Sex	Age	kebele /woreda	Sub-city	City	Telephone or house number (also location of business ¹)	Type of training received	Business type	Initial capital	Product/ services

Annex 18. Chapter 10: Complete profile of the wage employed

S/ N	Name	Se x	Ag e	kebele / woreda	Sub- city	City	Type of training received	Type of employe ment	Location of employment

The OSSC and other implementers have to support households to select the most appropriate pathway that has the potential to lead to improved livelihoods and self-reliance or graduation. The household also needs to prepare business plan/job search plan; get the plans approved and the grant or job search fund released.

Annex 19. Chapter 8: Public Works Review during planning

Public Works Planning Checklist

S.No	Issues/Points	Finding	Recommendation
1	Review and check the eligibility of the project		
2	Review and check there is public consultation in project identification and selection		
3	Review and check there is site map/layout for the project using the current approved structural plan of City		
4	Review and check the cost of construction materials is based on cost data from the respective construction Bureau		
5	Review and check the cost of Industrial materials is based on cost data from the respective construction Bureau		
6	Review and check the semi-skilled labour estimation is based on cost breakdown from construction bureau		
7	Review and check the City administration has endorsed the City plan		
8	Check there is approved designs for small civil works		
9	Review and check the public works capital budget is within the ceiling		
10	Review and check rolling public works are included with proper carryover budget		

Annex 20. Chapter 9: Public Works Supervision Checklist

S. No	Issues/Points	Findings	Recommendation
1	Check right of way issues		
2	Review and check there is approved simplified work schedule		
3	Review and check there is a simplified contract agreement for small civil works		
4	Review and check work is progressing according to activity schedule/work schedule		
5	Review and check the project has environmental and social clearance		
6	Review and check payments align with the scope of executed work		
7	Review and check the City receives materials based on specification/test results		
8	Check if there is a proper storage house for construction and industrial materials		
9	Check the workmanship		
10	Check if there is a proper safety measure for the labour(occupational health and safety)		
11	Check the availability of site diary		
12	Check there is sufficient labour on the site		
13	Check the City has assigned and deployed site supervisor and manager		
14	Check the City uses a snag list before project acceptance		
15	Review and check the City accepts the project using acceptance formats		
16	Check projects are operational		
17	Review and check the City inspects projects periodically for any maintenance need		

18	Review and check the City properly derives the maintenance budget		
19	Review and check maintenance of projects is as planned		

Annex 21. Chapter 5: Complaints Form

Complaint Number: _____ [Pre-printed serial number]

CONFIDENTIAL

UPSNIJ (Public Work, Direct Support, and Livelihood Beneficiaries Complaints Form

Please complete this form to report a problem or file a complaint with the UPSNIJ). After you fill the form, tear off and keep the receipt at the bottom and put the form in the complaints box.

Component

- What Component are you complaining about? Please tick the correct box.

Public work ☐

Direct Support ☐

Youth Employment ☐

Other _____

Details of Complaint

2. Today's date: Day _____ Month _____ Year _____ 3. City: _____

6. Gender of person complaining (M/F): _____ 7. Age of person complaining: _____

Please tell us about your complaint so the project can investigate. Please include as much information as possible. If you are complaining about a wrong payment amount, please write how much you were actually paid, how much you think you should have been paid, and the name of your payment provider.

Personal Details (Optional) PLEASE NOTE THAT YOU HAVE THE RIGHT TO REMAIN ANONYMOUS AND NOT PROVIDE PERSONAL DETAILS

If you would like to receive a response from the project about your complaint, please fill in your details below.

If you do not fill in these details, you will remain unknown and the program will not be able to contact you.

8. Full Name: _____

9. Kebele/ woreda: _____

10. Mobile number: _____



Receipt

Complaint Number: [Same serial number same as above]

Please tear off and keep this part of the form so you know your complaint number. You can use this number to ask City/project staff about the status of your complaint.

Annex 22. Chapter 5: Consent Form for Survivors on GBV/SEA

Please note this Form should be translated in local language

CONFIDENTIAL

Consent for Release of Information

This form should be read to the survivor or complainant in their first language.

It should be clearly explained to the client that she / he can choose any or none of the options listed.

I, _____, give my permission for (**Name of Organization**) to share information about the incident I have reported to them as explained below:

- I understand that in giving my authorization below, I am giving (**Name of Organization**) permission to share the specific case information from my incident report with the service provider(s) I have indicated, so that I can lodge a complaint.

I understand that shared information will be treated with confidentiality and respect and shared only with those involved in the management of the complaint and response.

I understand that releasing this information means that a person from UPSNJP or another service provider (**give example of services available in the community**) may come to talk to me. At any point, I have the right to change my mind about sharing information with UPSNJP or other service providers.

- | | | |
|---|-----|----|
| • Authorization to be marked by complainant: | Yes | No |
| (or parent/guardian if complainant is under 18) | | |

- I have been informed and understand that some non-identifiable information may also be shared for reporting. Any information shared will not be specific to me or the incident. There will be no way for someone to identify me based on the information that is shared. I understand that shared information will be treated with confidentiality and respect.

- | | | |
|---|-----|----|
| • Authorization to be marked by complainant: | Yes | No |
| (or parent/guardian if complainant is under 18) | | |

Signature/Thumbprint of complainant:

Community Grievance Focal Person: _____ Date: _____

Complainant's name: _____

Contact Number: _____

Address: _____

Annex 23. Chapter 5: Sample Response Letters

Exclusion Response Letter

{Today's Date}

Dear {Complainant Name},

Thank you for submitting your complaint on {Date} (Complaint {insert complaint number}). Your complaint outlined that {insert a brief of their complaint, focus on why they feel wrongly excluded from the program, etc.}.

We sincerely apologize that you were excluded from the program. We tried to make the process of deciding beneficiaries as inclusive as possible. Beneficiaries were chosen according to certain criteria: *{explain the relevant criteria for being in the program for that district}*.

The City would either:

- respond by apologizing for the oversight and stating that the person is in fact eligible and will be enrolled in the Public Work; or
- explain the rationale for why the person was not included in the public work.

We are grateful for your feedback as it will help us to improve implementation of the UPSNJP in the future.

If you have any further feedback on this issue, please write to:

{Insert mailing address for Federal PCU}

Sincerely,

{GRM Focal Person Name}

GRM Focal Person

{Name of City}

Please note that if you are not satisfied with the response you have received, you have the right to appeal to the next GRM level (City/Sub city level GRM)

Annex 24. Chapter 12: Terms of Reference For Services Procurement for Elderly People;

Federal Democratic Republic of Ethiopia

Ministry of Labour and Social Affairs

Term of Reference

For

Services Procurement for Elderly People

(Urban Productive Safety Net Project (UPSNP),

Urban Destitue Support Component)

March 2019

Addis Ababa

b. Project Background

The Government of Ethiopia has been implementing the Urban Productive Safety Net Project (UPSNP) since 2016. The project is in line with the social protection policy that is an umbrella policy for all rural and urban social protection interventions. UPSNP constitutes the long-term urban safety net strategy of the government aimed at supporting over 4.7 million urban poor living in 972 cities and towns. Currently UPSNP is reaching 604,000 poor people in 11 major cities which are: Adama, Addis Ababa, Asosa, Dessie, Dire Dawa, Gambella, Harar, Hawassa, Jigjiga Mekele, Semera/Logia. The first phase of the project runs from 2016 to 2021 and focuses on putting in place the basic urban safety net building blocks - predictable transfer, livelihood intervention and capacity building.

The project is jointly financed by the World Bank Group and the Government of Ethiopia. The able-bodied target population has been benefiting through Public Works (PW) and the labour constraint through Direct Support (DS) sub-components. The third sub-component is the Urban Destitute Support component which aims to address the economic and social needs of the most vulnerable urban citizens living in the street. For this pilot stage of the project, 22,000 beneficiaries from the 11 major cities will be supported through a comprehensive set of services.

The PW and DS sub-components are implemented through government structures. However, due to the complex nature of the urban destitute living in the streets, the Government is soliciting the services of non-government and civil society organizations with the knowledge and experience in providing services to similar groups.

- The objective of the Urban Destitute Support (UDS) sub-component is to improve the economic, educational and social reintegration of the homeless through providing basic social and livelihood services. The Project Operational Manual identifies four main target groups: (i) homeless women with children, (ii) street children, (iii) adults and (iv) elderly people. Living in the street and homelessness are the common features of these groups.
-
- **The present terms of reference relate to the homeless elderly.** They are defined as men and women over 60 years of age who live in the street. They may also be physically or mentally disabled.
-

c. Scope of Services

- Services to be provided for homeless elderly include, but are not limited to, the following
- (a) Outreach services
 - (b) Temporary shelter, preferably with sleeping facilities
 - (c) Temporary home services such as lockers, meals, etc.
 - (d) Cash transfers,
 - (e) Health and hygiene services (showers, toilets, basic health care, etc.).
 - (f) Social and psychological support services
 - (g) Referral/placement in institutional care
 - (h) Family reunification services

Different combinations of services can be provided based on the needs of the clients and the capacity of the service provider. This may include direct service provision as well as referral to other institution's services. However, preference will be given to service providers able to offer a combination of services that address a comprehensive set of needs.

The Government seeks to contract services that can include up to 4,397 homeless elderly persons in the eleven targeted cities, as indicated below. It should be kept in mind that these figures are indicative and

service providers will not be expected to service exactly the number of clients indicated. This is especially true for centres offering comprehensive services, as large numbers of clients tend to go to the detriment of the quality of services.

S.N	Cities	Number of elderly people
1	Addis Ababa	2,753
2	Mekele	287
3	Semera/Logia	25
4	Dessie	198
5	Adama	286
6	Jigjiga	136
7	Asosa	42
8	Hawassa	270
9	Gambella	60
10	Harar	110
11	Dire Dawa	235
Total		4,402

Mutual referral: The selection of beneficiaries will be done by the service provider in collaboration with targeting committee comprising of members from the community. The MoLSA staff and cities are, however, able to make suggestions and are encouraged to refer clients to the service providers. In turn, service providers are encouraged to refer needy elderly people to participate in the other activities of the UPSNP, including cash for work and, more likely, direct support

d. General Standard of Services

- The service provider will provide services is expected to follow both the ***‘individualistic’*** and ***‘pluralistic’*** approaches in providing services. Individualistic approach in this context implies that services will be rendered for every single client independently as per his or her specific needs (case management). The pluralistic approach, on the other hand, is the way of providing a given set of services to groups of clients depending on their needs and groups based on certain characteristics (e.g., age, sex). In both cases, the service provider will be expected to develop a service delivery plan (implementation modalities and arrangements). The proposal should explain the circumstances under which one or both approaches will be used.
-
- Whatever the services provided, service providers are expected to treat all elderly persons with dignity and respect, to avoid discrimination on the basis of ethnicity or any other characteristics, to keep their facilities clean and in good order, to offer clients a hygienic and peaceful environment, to behave professionally under all circumstances, to respect confidentiality, and to act always in the best interest of the client. Additional standards of service apply to specific types of services and may be detailed at a later date.

e. Implementation Period

The project life span is two years starting from August 2011 to June 2013 E.C (August 2019 to June 2021). The service agreement will be signed for up to two years with a performance evaluation at the end of the first year, with the possibility of termination of the contract if the performance of the service provider doesn't meet the agreed requirements. Performance criteria will be based on the proposal by the service provider which will be agreed through the contract. The service will be regularly monitored by MoLSA/BoLSA in collaboration with city administrations.

f. Contract Management, Monitoring and Evaluation

The service providers will compete at the Federal level, separate for each city, with MoLSA leading the procurement process in coordination with FPCU. The federal MoLSA will sign the agreements with the service providers.

The service providers will be supervised by the Federal Ministry of Labour and Social Affairs, Bureau of Labour and Social Affairs, and city level labour and social affairs structure. Technical Assistance will be contracted separately to support the service providers as well as the Government agencies in the implementation of the component.

g. Duty Station and Accountability

Services providers will be expected to deliver services within their respective cities in line with their accepted proposals. A service provider can also provide services in several cities if capacity is available.

h. Obligations

Obligations of parties will be outlined in the contract which will be signed as stated above. For the purpose of these ToR, the service provider will agree to deliver the services that meet the needs of the clients in a timely manner and to manage the funding made available for service provision in a responsible and transparent way. MoLSA and the UJC& FS agency will agree to facilitate all the legal support that the service provider may require to deliver the services.

i. Key Performance Indicators (indicative)

Services providers will be expected to offer measurable Key Performance Indicators (KPIs) that can be monitored regularly and will also serve for the mid-term evaluation after one year.

Depending on the services offered, deliverables may include the following:

- Number of elderly people who received a full package of basic services (e.g., food, shelter, medical care)
- Number of elderly people who received at least one service, by service type
- Number of elderly people who received psycho social support
- Number of elderly people for which a case management plan is available
- Number of elderly people linked with other service providing institutions
- Number of elderly people no longer homeless.

j. Payment Modality

The project will make regular payments to service providers. The budget will be transferred in cash to the service providers. Ministry of Finance (MoF) will disburse the budget to city finance office and then city will immediately disburse for the service providers after receiving confirmation on the progress of service delivery from city level labour and social affairs office. The expenditure for the quarter will be reimbursed as per the report submitted from the service provider one month ahead of the next quarter. Further details on financial management will be discussed with MoF and communicated to the service provider.

k. Line of Reporting and Reporting Mechanisms

The service provider is expected to prepare quarterly progress and financial report for city level labour and social affairs (an outline will be provided). The MoLSA and city level labour and social affairs will be responsible for overall management of the implementation; including monitoring based on the standard delivery and consolidation of report. The labour and social affairs office will also consolidate and submit the report quarterly to MoLSA. Similarly, MoLSA will prepare and submit the quarter report with the other project activities to PCU.

l. Internal and External Control

The financial management of the project will be controlled by external auditing every year. Moreover, a technical committee comprised of experts from Labour and Social Affairs and service providing institutions shall monitor the service provision process through regular visits and pursues corrective measures as required.

m. Exit Strategy and Time of Extension

The service provider will provide services to clients within the agreed project life time. It will also hand over all the necessary documents, information and data to the respective signatories one month after completion of the project life span. The agreement of service provision may be adjourned before the project period or be extended as deemed necessary.

n. Eligibility Criteria for Service Providers

Service providers offering residential services. The minimum requirements that must be fulfilled by service providers with residential facilities are:

- a proper license and or registration on providing related services from an appropriate institution
- at least three years of successful and verifiable experience in providing the proposed services to elderly people (or similar target group) in the proposed location(s)
- appropriate organizational structure for service delivery, including paid permanent administrative staff (e.g., accountant, secretary) and professional/technical staff (e.g., social worker, psychologist, nurse) with proper qualifications for their job and clear responsibilities
- an appropriate accounting system in place
- proper accounting procedures and documentation
- verifiable record of collaboration with other service providing institutions.
- the capacity to provide services for at least 15 clients at a time

- safe and hospitable accommodations (an area free from dangers associated with plug ins, sockets electric wires) with sufficient space for clients to sleep, eat, and rest
- toilet/washing facilities in good working order and clean, at least one sink and one toilet every 10 persons
- capacity to serve adequate number of meals every day with proper nutrition value (specific requirements can be provided upon request)
- one bed/mattress per each client, with at least a blanket/sheet
- potable water in sufficient quantities for each client (specific requirements can be provided upon request)

Service providers not offering residential services. The minimum requirements that must be fulfilled by service providers without residential facilities are:

- a proper license and or registration on providing related services from an appropriate institution
- at least three years of successful and verifiable experience in providing the proposed services to elderly persons (or similar target group) in the proposed location(s)
- appropriate organizational structure for service delivery, including paid permanent administrative staff (e.g., accountant, secretary) and professional/technical staff (e.g., social worker, psychologist, teacher) with proper qualifications for their job and clear responsibilities
- an appropriate accounting system in place
- proper accounting procedures and documentation
- verifiable record of collaboration with other service providing institutions.
- the capacity to provide services for at least 15 clients at a time
- safe and appropriate space for interacting with clients (e.g., offices, meeting rooms, classrooms)
- an appropriate accounting system in place.

o. Submission of technical and financial proposals

To properly render the intended services, service providers need to meet the technical and physical requirements stated on the service delivery standards indicated in the ToR. The service providers should submit their proposal along with the necessary evidences such as work experience, registration and license for the purpose, if there are any, and brief descriptions of similar assignments undertaken in the past years to be used as documentary evidence.

The proposal will have to be in two parts. The first will be a technical proposal describing (a) the organization and its experience (including names and qualifications of key personnel, annual budgets, administrative mechanisms, partnerships, and means to verify the experience claimed); (b) the proposed activities in favor of elderly people, including location(s), approaches (e.g., selection, exit) and processes. The second part of the proposal will be the financial proposal, which will have to specify unit costs as well as the organization's own contributions or contributions from other partners, if any.

p. Where to send the proposal

Technical and financial proposals must be sent separately sealed¹⁷ no later than xxxx [INSERT DATE] to:
MoLSA

-
-
-

¹⁷ Proposals that do not include two separate sealed envelopes for the technical and financial proposals will be considered unacceptable. Also, proposals arriving after the specified date will not be accepted.

Annex 25. Chapter 12: Terms of Reference For Service Procurement For Homeless Adults

Federal Democratic Republic of Ethiopia

Ministry of Labour and Social Affairs

Term of Reference

For

Services Procurement for Homeless Adults

Urban Destitute Support sub-component
of the Urban Productive Safety Net Project

June 2019

Addis Ababa

WORKING DRAFT

q. Project Background

The Government of Ethiopia has been implementing the Urban Productive Safety Net Project (UPSNP) since 2016. The project is in line with the social protection policy that is an umbrella policy for all rural and urban social protection interventions. UPSNP constitutes the long term urban safety net strategy of the government aimed at supporting over 4.7 million urban poor living in 972 cities and towns. Currently UPSNP is reaching 604,000 poor people in 11 major cities which are: Adama, Addis Ababa, Asosa, Dessie, Dire Dawa, Gambella, Harar, Hawassa, Jigjiga Mekele, Semera/Logia. The first phase of the project runs from 2016 to 2021 and focuses on putting in place the basic urban safety net building blocks - predictable transfer, livelihood intervention and capacity building.

The project is jointly financed by the World Bank Group and the Government of Ethiopia. The able-bodied target population has been benefiting through Public Works (PW) and the labour constraint through Direct Support (DS) sub-components. The third sub-component is the Urban Destitute Support (UDS) which aims to address the economic and social needs of the most vulnerable urban citizens living on the street. For this pilot stage of the project, 22,000 beneficiaries from the 11 major cities.

The PW and DS sub-components are implemented through government structures. However, due to the complex nature of the urban destitute living on the streets, the Government is soliciting the services of non-government and civil society organizations with the knowledge and experience in providing services to similar groups.

- The objective of the UDS sub-component is to improve the economic, educational and social reintegration of the homeless through providing basic social and livelihood services. The Project Operational Manual identifies four main target groups: (i) homeless women with children, (ii) street children, (iii) adults and (iv) elderly people. Living in the street and homelessness are the common features of these groups. The present terms of reference relate to homeless adults only.
-
- **Homeless adults are defined as men or women aged 18-59 and with no children with them in the street.**¹⁸ If they have children or are over 59 years old, they will be covered under a different category. It can be expected that many of these homeless adults have a mental or physical disability.

r. Scope of Services

Services to be provided for homeless adults can include, but are not limited to, the following:

Outreach services

Temporary shelter, with or without sleeping facilities

Temporary home services such as lockers, meals, etc.

Health and hygiene services (showers, toilets, basic health care, etc.)

1. Specialized health care and support for physical and mental disability
2. Cash transfers;
3. Educational and training services, including literacy, life skills training and vocational training,
4. Counseling services/ social and psychological support

¹⁸ It is possible that they have children living with someone else. What matters is that they are not in the street as a family.

5. Employment services (including employment counseling, technical assistance, start-up capital, and follow-up)

Different combinations of services can be provided based on the needs of the clients and the capacity of the service provider. This may include direct service provision as well as referral to other institution's services. However, preference will be given to service providers able to offer a combination of services that address a comprehensive set of needs.

The Government seeks to contract services that can include up to 4,402 homeless adults, tentatively allocated to the eleven targeted cities as indicated below. It should be kept in mind that these figures are indicative and service providers will not be expected to service exactly the number of clients indicated. This is especially true for centres offering comprehensive services, as large numbers of clients tend to go to the detriment of the quality of services.

S.N	Cities	Number of homeless adults
1	Addis Ababa	2,753
2	Mekele	287
3	Semera/Logia	25
4	Dessie	198
5	Adama	286
6	Jigjiga	136
7	Asosa	42
8	Hawassa	270
9	Gambella	60
10	Harar	110
11	Dire Dawa	235
Total		4,402

•
Mutual referral: The selection of beneficiaries will be done by the service provider in collaboration with targeting committee comprising of members from the community. The MoLSA staff and cities are, however, able to make suggestions and are encouraged to refer clients to the service providers. In turn, service providers are encouraged to refer needy elderly people to participate in the other activities of the UPSNP, including cash for work and, more likely, direct support.

- s. General Standard of Services

- The service provider is expected to follow both the *‘individualistic’* and *‘pluralistic’* approaches in providing psycho-social support, specialized health services, education and training, employment services and counseling services. Individualistic approach in this context implies that services will be rendered for every single client independently as per his or her needs (case management). The pluralistic approach, on the other hand, is the way of providing a given set of services to groups of clients depending on their needs and groups based on certain characteristics (e.g. age, sex). The proposal should explain (i) the circumstances under which one or both approaches will be used; and specify the implementing modalities and arrangements.
- Whatever the services provided, service providers are expected to treat all clients with dignity and respect, to avoid discrimination on the basis of ethnicity or any other characteristics, to keep their facilities clean and in good order, to offer clients a hygienic and peaceful environment, to behave professionally under all circumstances, to respect confidentiality, and to act always in the best interest of the client. Additional standards of service apply to specific types of services and may be detailed at a later date.

t. Implementation Period

The project life span is two years starting from June 2011 to June 2013 E.C (June 2019 to June 2021). The service agreement will be signed for two years with a performance evaluation at the end of the first year, with the possibility of termination of the contract if the performance of the service provider doesn't meet the agreed requirements. Performance criteria will be based on the proposal by the service provider which will be agreed through the contract. The service will be regularly monitored by MoLSA/BoLSA in collaboration with city administrations.

u. Contract Management, Monitoring and Evaluation

The service providers will compete at the Federal level, separate for each city, with MoLSA leading the procurement process in collaboration with FPCU. The federal MoLSA will sign the agreements with the service providers.

The service providers will be supervised by the Federal Ministry of Labour and Social Affairs, Bureau of Labour and Social Affairs, and city level labour and social affairs structure. Technical Assistance will be contracted separately to support the service providers as well as the Government agencies in the implementation of the component.

v. Duty Station and Accountability

Services providers are expected to deliver services within the respective cities in line with their accepted proposals. A service provider can also provide services in several cities if capacity is available.

w. Obligations

Obligations of parties will be outlined in the contract which will be signed as stated above. For the purpose of these ToR, the service provider will agree to deliver the services that meet the needs of the clients in a timely manner and to manage the funding made available for service provision in a responsible and transparent way. MoLSA and the UJC& FS agency will agree to facilitate all the legal support that the service provider may require to deliver the services

x. Key Performance Indicators (indicative)

Service providers will be expected to offer measurable Key Performance Indicators (KPIs) that can be monitored regularly and will also serve for the mid-term evaluation after one year.

Depending on the services offered, key performance indicators may include:

- Number of homeless adults (men/women) who received a full package of basic services (e.g., food, shelter, education, medical care)
- Number of homeless adults who received psycho social support
- Number of homeless adults for whom a case management plan is available
- Number of homeless adults linked with other service providing institutions
- Number of homeless adults who received training, by type of training
- Number of homeless adults who received employment services
- Number of homeless adults who received specialized health care/support
- Number of clients who found regular employment (including self-employment)
- Number of clients no longer homeless

y. Payment Modality

The project will make regular payments to service providers. The budget will be transferred in cash to the service providers. Ministry of Finance (MoF) will disburse the budget to city finance office and then city will immediately disburse for the service providers after receiving confirmation on the progress of service delivery from city level labour and social affairs office. The expenditure for the quarter will be reimbursed as per the report submitted from the service provider one month ahead of the next quarter. Further details on financial management will be discussed with MoF and communicated to the service provider.

z. Line of Reporting and Reporting Mechanisms

The service provider is expected to prepare quarterly progress and financial report for and city level labour and social affairs (an outline will be provided). The MoLSA and city level labour and social affairs will be responsible for overall management of the implementation; including monitoring based on the standard delivery and consolidation of reports. The service provider shall prepare quarterly physical and financial performance report to city level labour and social affairs. The labour and social affairs office will also consolidate and submit the report quarterly to MoLSA. Similarly, MoLSA will prepare and submit the quarter report with the other project activities to PCU.

aa. Internal and External Control

The financial management of the project will be controlled by external auditing every year. Moreover, a technical committee comprised of experts from Labour and Social Affairs and service providing institutions shall monitor the service provision process through regular visits and pursues corrective measures as required.

bb. Exit Strategy and Time of Extension

The service provider will provide services to clients within the agreed project life time. It will also hand over all the necessary documents, information and data to the respective signatories one month after completion of the project life span. The agreement of service provision may be adjourned before the project period or be extended as deemed necessary.

cc. Eligibility Criteria for Service Providers

Service providers offering residential services. The minimum requirements that must be fulfilled by service providers with residential facilities are:

- a proper license and or registration on providing related services from an appropriate institution

- at least three years of successful and verifiable experience in providing the proposed services to homeless adults (or similar target group) in the proposed location(s)
- appropriate organizational structure for service delivery, including paid permanent administrative staff (e.g., accountant, secretary) and professional/technical staff (e.g., social worker, psychologist, nurse) with proper qualifications for their job and clear responsibilities
- an appropriate accounting system in place
- proper accounting procedures and documentation
- verifiable record of collaboration with other service providing institutions.
- the capacity to provide services for at least 15 clients at a time
- safe and hospitable accommodations (an area free from dangers associated with plug ins, sockets electric wires) with sufficient space to sleep, eat and rest
- toilet/washing facilities in good working order and clean, at least one sink and one toilet every 10 persons
- capacity to serve adequate number of meals every day with proper nutrition value (specific requirements can be provided upon request)
- one bed/mattress per each person, with at least a blanket/sheet
- potable water in sufficient quantities for each client (specific requirements can be provided upon request)

Service providers not offering residential services. The minimum requirements that must be fulfilled by service providers without residential facilities are:

- a proper license and or registration on providing related services from an appropriate institution
- at least three years of successful and verifiable experience in providing the proposed services to homeless adults (or similar target group) in the proposed location(s)
- appropriate organizational structure for service delivery, including paid permanent administrative staff (e.g., accountant, secretary) and professional/technical staff (e.g., social worker, psychologist, nurse) with proper qualifications for their job and clear responsibilities
- an appropriate accounting system in place
- proper accounting procedures and documentation
- verifiable record of collaboration with other service providing institutions.
- the capacity to provide services for at least 15 clients at a time
- safe and appropriate space for interacting with clients (e.g., offices, meeting rooms)
- an appropriate accounting system in place.

dd. Submission of technical and financial proposals

To properly render the intended services, service providers need to meet the technical and physical requirements stated on the service delivery standards indicated in the ToR. The service providers should submit their proposal along with the necessary evidence such as work experience, registration and license for the purpose if there are any and list and brief descriptions of strong similar assignments undertaken in the past years to be used as documentary evidences.

The proposal will have to be in two parts. The first will be a technical proposal describing (a) the organization and its experience (including names and qualifications of key personnel, annual budgets, administrative mechanisms, partnerships, and means to verify the experience claimed), (b) the proposed activities in favor of homeless adults, including location(s), approaches (e.g., selection, exit) and processes. The second part of the proposal will be the financial proposal, which will have to specify unit costs as well as the organization's own contributions or contributions from other partners, if any.

ee. Where to send the proposal

Technical and financial proposal must be sent separately sealed¹⁹ no later than xxxx [INSERT DATE] to:

WORKING DRAFT

¹⁹ Proposals that do not include two separate sealed envelopes for technical and financial will be considered unacceptable. Also, proposals arriving after the specified date will not be considered.

Annex 26. Chapter 12: Terms of Reference for Services Procurement Homeless Women with Children

Federal Democratic Republic of Ethiopia

Ministry of Labour and Social Affairs

Terms of Reference

for

Services Procurement for

Homeless Women with Children

(Urban Productive Safety Net Project (UPSNP),

Urban Destitute Support Sub-component)

March 2019

Addis Ababa

ff. Project Background

The Government of Ethiopia has been implementing the Urban Productive Safety Net Project (UPSNP) since 2016. The project is in line with the social protection policy that is an umbrella policy for all rural and urban social protection interventions. UPSNP constitutes the long-term urban safety net strategy of the government aimed at supporting over 4.7 million urban poor living in 972 cities and towns. Currently UPSNP is reaching 604,000 poor people in 11 major cities which are: Adama, Addis Ababa, Asosa, Dessie, Dire Dawa, Gambella, Harar, Hawassa, Jigjiga Mekele, Semera/Logia. The first phase of the project runs from 2016 to 2021 and focuses on putting in place the basic urban safety net building blocks - predictable transfer, livelihood intervention and capacity building.

The project is jointly financed by the World Bank Group and the Government of Ethiopia. The able-bodied target population has been benefiting through Public Works (PW) and the labour constrained through Direct Support (DS) sub-components. The third sub-component is the Urban Destitute Support (UDS) which aims to address the economic and social needs of the most vulnerable urban citizens living in the street. For this pilot stage of the project, 22,000 beneficiaries from the 11 major cities will be supported through a comprehensive set of services.

The PW and DS sub-components are implemented through government structures. However, due to the complex nature of the urban destitute living in the streets, the Government is soliciting the services of non-government and civil society organizations with the knowledge and experience in providing services to similar groups.

- The objective of the Urban Destitute Support (UDS) sub-component is to improve the economic, educational and social reintegration of the homeless through providing basic social and livelihood services. The Project Operational Manual identifies four main target groups: (i) homeless women with children, (ii) street children, (iii) adults and (iv) elderly people. Living in the street and homelessness are the common features of these groups.
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- **The present terms of reference relate to homeless women with children.** In the vast majority of cases, these women are street beggars, and so are their children; in a few cases, it could be street girls who had babies. Also, the children tend to be young, as adolescents in the street seldom remain with their mother.
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gg. Scope of Service

Services to be provided for homeless women with children include, but are not limited to, the following:

- Outreach services
- Temporary shelter, preferably with sleeping facilities, for the whole family
- Temporary home services such as lockers, meals, etc. for the whole family
- Health and hygiene services (showers, toilets, basic health care, etc.) for the whole family
- Cash transfers to meet basic needs
- Sport, artistic, play and cultural activities, with children and mothers
- Education or daycare for the children, and adult literacy for the women
- Life skills training and vocational training for the women
- Social and psychological support services for the whole family
- Employment services for the women (e.g., employment counseling, referrals, technical assistance, follow-up)

Different combinations of services can be provided based on the needs of the clients and the capacity of the service provider. This may include direct service provision as well as referral to other institution's services. However, preference will be given to service providers able to offer a combination of services that address a comprehensive set of welfare and development needs for the whole family.

The Government seeks to contract services that can include up to 6,598 homeless women with children (HWC) in the eleven targeted cities, as indicated below. It should be kept in mind that these figures are indicative and service providers will not be expected to service exactly the number of clients indicated. This is especially true for centres offering comprehensive services, as large numbers of clients tend to go to the detriment of the quality of services.

S.N	Cities	Number of HWC
1	Addis Ababa	4,132
2	Mekele	431
3	Semera/Logia	36
4	Dessie	295
5	Adama	428
6	Jigjiga	203
7	Asosa	64
8	Hawassa	403
9	Gambella	89
10	Harar	165
11	Dire Dawa	352
Total		6,598

Mutual referral: The selection of beneficiaries will be done by the service provider in collaboration with targeting committee comprising of members from the community. The MoLSA staff and cities are, however, able to make suggestions and are encouraged to refer clients to the service providers. In turn, service providers are encouraged to refer needy elderly people to participate in the other activities of the UPSNP, including cash for work and, more likely, direct support

hh. General Standard of Services

- The service provider is expected to follow both the '*individualistic*' and '*pluralistic*' approaches. Individualistic approach in this context implies that services will be rendered for every single client independently as per his or her needs (case management), while pluralistic approach is the way of providing a diverse set of services to groups of clients depending on their needs. In both cases, the service provider will be expected to develop a service delivery plan (implementation modalities and arrangements). The proposal should explain the circumstances under which one or both approaches will be used.
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- Whatever the services provided, service providers are expected to treat all women and children with dignity and respect, to avoid discrimination on the basis of ethnicity or any other characteristics, to keep their facilities clean and in good order, to offer clients a hygienic and peaceful environment, to behave professionally under all circumstances, to respect confidentiality, and to act always in the best interest of the client, both individually and as member of a family. Additional standards of service apply to specific types of services and may be detailed at a later date.

ii. Implementation Period

The project life span will be two years starting from June 2011 to June 2013 E.C (June 2019 to June 2021). The service agreement will be signed for two years with a performance evaluation at the end of the first year, with the possibility of termination of the contract if the performance of the service provider doesn't meet the agreed requirements. Performance criteria will be based on the proposal by the service provider which will be agreed through the contract. The service will be regularly monitored by MoLSA/BoLSA in collaboration with city administrations.

jj. Contract Management, Monitoring and Evaluation

The service providers will compete at the Federal level, separate for each city, with MoLSA leading the procurement process in coordination with FPCU. The federal MoLSA will sign the agreements with the service providers.

The service providers will be supervised by the Federal Ministry of Labour and Social Affairs, Bureau of Labour and Social Affairs, and city level labour and social affairs structure. Technical Assistance will be contracted separately to support the service providers as well as the Government agencies in the implementation of the component.

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kk. Duty Station and Accountability

Service providers will be expected to deliver services within their respective cities in line with their accepted proposals. A service provider can also provide services in several cities if capacity is available.

II. Obligations

Obligations of parties will be outlined in the contract which will be signed as stated above. For the purpose of these ToR, the service provider will agree to deliver the services that meet the needs of the clients in a timely manner and to manage the funding made available for service provision in a responsible and transparent way. MoLSA and the UJC& FS agency will agree to facilitate all the legal support that the service provider may require to deliver the services.

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mm. Key Performance Indicators (indicative)

Service providers will be expected to offer measurable Key Performance Indicators (KPIs) that can be monitored regularly and will also serve for the mid-term evaluation after one year.

Depending on the services offered, deliverables may include the following:

- Number of HWC who received a full package of basic services (e.g., food, shelter, children education, medical care)
- Number of HCW who received at least one service, by service type
- Number of HWC who received psycho social support
- Number of HWC for which a case management plan is available
- Number of HWC linked with other service providing institutions
- Number of HWC who received appropriate skill training and/or employment services to enhance employability
- Number of HWC no longer homeless

nn. Payment Modality

The project will make regular payments to service providers. The budget will be transferred in cash to the service providers. Ministry of Finance (MoF) will disburse the budget to city finance office and then city will immediately disburse for the service providers after receiving confirmation on the progress of service delivery from city level labour and social affairs office. The expenditure for the quarter will be reimbursed as per the report submitted from the service provider one month ahead of the next quarter. Further details on financial management will be discussed with MoF and communicated to the service provider.

oo. Line of Reporting and Reporting Mechanisms

The service provider is expected to prepare quarterly progress and financial report to city level labour and social affairs (an outline will be provided). The MoLSA and city level labour and social affairs will be responsible for overall management of the implementation; including monitoring based on the standard delivery and consolidation of report. The labour and social affairs office will consolidate and submit the report quarterly to MoLSA. Similarly, MoLSA will prepare and submit the quarter report with the other project activities to PCU.

pp. Internal and External Control

The financial management of the project will be controlled by external auditing every year. Moreover, a technical committee comprised of experts from Labour and Social Affairs and service providing institutions shall monitor the service provision process through regular visits and pursues corrective measures as required.

qq. Exit Strategy and Time of Extension

The service provider will provide services to clients within the agreed project life time. It will also hand over all the necessary information (data) to the respective signatories one month after completion of the project life span. The agreement of service provision may be adjourned before the project period or be extended as deemed necessary.

rr. Eligibility Criteria for Service Providers

Service providers offering residential services. The minimum requirements that must be fulfilled by service providers with residential facilities are:

- a proper license and or registration on providing related services from an appropriate institution
- at least three years of successful and verifiable experience in providing the proposed services to HWC (or similar target group) in the proposed location(s)
- appropriate organizational structure for service delivery, including paid permanent administrative staff (e.g., accountant, secretary) and professional/technical staff (e.g., social worker, psychologist, teacher) with proper qualifications for their job and clear responsibilities

- an appropriate accounting system in place
- proper accounting procedures and documentation
- verifiable record of collaboration with other service providing institutions.
- the capacity to provide services for at least 15 clients at a time
- safe and hospitable accommodations (an area free from dangers associated with plug ins, sockets electric wires) with sufficient space for HWC to sleep and eat
- toilet/washing facilities in good working order and clean, at least one sink and one toilet every 10 persons
- capacity to serve adequate number of meals every day with proper nutrition value (specific requirements can be provided upon request)
- one bed/mattress per each person older than 6, with at least a blanket/sheet
- potable water in sufficient quantities for each client (specific requirements can be provided upon request)

Service providers not offering residential services. The minimum requirements that must be fulfilled by service providers without residential facilities are:

- a proper license and or registration on providing related service from an appropriate institution
- at least three years of successful and verifiable experience in providing the proposed services to HWC (or similar target group) in the proposed location(s)
- appropriate organizational structure for service delivery, including paid permanent administrative staff (e.g., accountant, secretary) and professional/technical staff (e.g., social worker, psychologist, teacher) with proper qualifications for their job and clear responsibilities
- an appropriate accounting system in place
- proper accounting procedures and documentation
- verifiable record of collaboration with other service providing institutions.
- the capacity to provide services for at least 15 clients at a time
- safe and appropriate space for interacting with clients (e.g., offices, meeting rooms, classrooms)
- an appropriate accounting system in place.

ss. Submission of technical and financial proposals

To properly render the intended services, service providers need to meet the technical and physical requirements stated on the service delivery standards indicated in the ToR. The services providers should submit their proposal along with the necessary evidences such as work experience, registration and license for the purpose, if there are any, and brief descriptions of similar assignments undertaken in the past years to be used as documentary evidences. The proposal will have to be in two parts. The first will be a technical proposal describing (a) the organization and its experience (including names and qualifications of key personnel, annual budgets, administrative mechanisms, partnerships, and means to verify the experience claimed); (b) the proposed activities in favor of HWC, including location(s), approaches (e.g., selection, exit) and processes. The second part of the proposal will be the financial proposal, which will have to specify unit costs as well as the organization's own contributions or contributions from other partners, if any.

tt. Where to send the proposal

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Technical and financial proposals must be sent separately sealed²⁰ no later than xxxx [INSERT DATE] to:

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²⁰ Proposals that do not include two separate sealed envelopes for the technical and financial proposals will be considered unacceptable. Also, proposals arriving after the specified date will not be accepted.

Annex 27. Chapter 12: Terms of Reference for Services Procurement for Street Children

Federal Democratic Republic of Ethiopia

Ministry of Labour and Social Affairs

Terms of Reference

for

Services Procurement for Street Children

(Urban Productive Safety Net Project (UPSNP),

Sub-component Urban Destitute Support)

June 2019

Addis Ababa

WORKING DRAFT

uu. Project Background

The Government of Ethiopia is implementing the Urban Productive Safety Net Project (UPSNP) since 2016 with financing and support from the World Bank. The project is in line with the social protection policy that is an umbrella policy for all rural and urban social protection interventions. UPSNP constitutes the long-term urban safety net strategy of the government aimed at supporting over 4.7 million urban poor living in 972 cities and towns. Currently UPSNP is reaching 604,000 poor people in 11 major cities which are: Adama, Addis Ababa, Asosa, Dessie, Dire Dawa, Gambella, Harar, Hawassa, Jijiga, Mekele, Semera/Logia. project runs from 2016 to 2021 and focuses on putting in place the basic urban safety net building blocks - predictable cash transfers (through cash for work and direct support), livelihood grants, services for the destitute, and capacity building.

The project is jointly financed by the World Bank Group and the Government of Ethiopia. The able-bodied target population has been benefiting through Public Works (PW) and the labour constrained through Direct Support (DS) sub-components. The third sub-component is the Urban Destitute Support (UDS) which aims to address the economic and social needs of the most vulnerable urban citizens living on the street. For this pilot stage of the project, 22,000 beneficiaries from the 11 major cities.

The PW and DS sub-components are implemented through government structures. However, due to the complex nature of the urban destitute living in the streets, the Government is soliciting the services of non-government and civil society organizations with knowledge and experience in providing services to similar groups.

- The objective of the UDS is to improve the economic, educational and/or social reintegration of the homeless through providing basic social and livelihood services. The services will target four main groups: (i) street children, (ii) homeless women with children, (iii) homeless adults (ages 18-59), and (iv) homeless elderly people (60+). Living in the street and homelessness are the common features of these groups. The component intends to serve 22,000 homeless in the 11 cities. The present terms of reference relate to street children only.
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- Street children are defined as unaccompanied minors (0-18 years of age) who sleep regularly in the street or other public places.²¹ This definition excludes (a) children who are in the street as members of a family comprising at least one adult (already covered under a different beneficiary category), (b) street girls with babies/children (already covered under a different beneficiary category), and (c) children who spend most of the day in the street but have a home where they sleep.
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vv. Scope of Services

Services to be provided for street children can include, but are not limited to, the following:

- Outreach services to children on the street;

²¹ This definition covers only a small group of the larger category of “children living in street situations”. According to the Committee on the Rights of Children, the committee that oversees implementation of the Convention on the Rights of Children globally, the term “children in street situations” is used to comprise: (a) children who depend on the streets to live and/or work, whether alone, with peers or with family; and (b) a wider population of children who have formed strong connections with public spaces and for whom the street plays a vital role in their everyday lives and identities.

- Temporary shelter, either day shelter only or full time, i.e., with sleeping facilities;
- Temporary home services such as lockers, meals, etc.;
- Health and hygiene services (showers, toilets, basic health care, etc.)
- Sport, cultural, artistic and play activities;
- Life skills training in areas such as health, hygiene, sexual and reproductive health, communications, budgeting, gender, etc.;
- Educational and training services;
- Counselling services /social and psychological support;
- Family reunification and support, including through cash or in-kind support, to improve the economic stability of families and children's access to health and education.

Different combinations of services can be provided based on the needs of the children and on the capacity of the service provider. This may include direct service provision as well as referral to other institution's services. However, preference will be given to service providers able to offer a combination of services that address a comprehensive set of child welfare and development needs.

The Government seeks to contract services that can include up to 6,598 street children in the eleven targeted cities. It should be kept in mind that these figures are indicative and service providers will not be expected to service exactly the number of clients indicated. This is especially true for centres offering comprehensive services, as large numbers of clients tend to go to the detriment of the quality of services.

S.N	Cities	Number of Street Children
1	Addis Ababa	4,132
2	Mekele	428
3	Semera/Logia	36
4	Dessie	295
5	Adama	428
6	Jigjiga	203
7	Asosa	64
8	Hawassa	403
9	Gambella	89
10	Harar	165
11	Dire Dawa	352
Total		6,598

Mutual referral: The selection of beneficiaries will be done by the service provider in collaboration with targeting committee comprising of members from the community. The MoLSA staff and cities are, however, able to make suggestions and are encouraged to refer clients to the service providers. In turn, service providers are encouraged to refer needy elderly people to participate in the other activities of the UPSNP, including cash for work and, more likely, direct support

ww. General Standard of Services

- The service provider is expected to follow both the *‘individualistic’* and *‘pluralistic’* approaches in providing psycho-social support, life skill trainings and counseling services. Individualistic approach in this context implies that services will be rendered for every single client independently as per his or her needs (case management).²² The pluralistic approach, on the other hand, is the way of providing a given set of services to groups of clients depending on their needs and based on certain characteristics (e.g., age, sex). The proposal should explain the circumstances under which one or both approaches will be used.
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- Whatever the services provided, service providers are expected to treat all children with dignity and respect, to avoid discrimination on the basis of ethnicity or any other characteristics, to keep their facilities clean and in good order, to offer children a hygienic and peaceful environment, to behave professionally under all circumstances, and to act always in the best interest of the child. In general, services should be provided in accordance with the principles of the UN Convention on the Right of the Child.²³ Additional standards of service may apply to specific types of services and may be detailed at a later date.
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- Service providers will be required to participate in all training sessions organized under the project. These sessions will deal, among others, with children’s rights and with protection from sexual exploitation and abuse. Failure to attend training could result in contract suspension.
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xx. Implementation Period

The project life span is two years starting from June 2011 to June 2013 E.C (June 2019 to June 2021). The service agreement will be signed for two years with a performance evaluation at the end of the first year, with the possibility of termination of the contract if the performance of the service provider doesn’t meet the agreed requirements. Performance criteria will be based on the proposal by the service provider which will be agreed through the contract. The service will be regularly monitored by MoLSA/BoLSA in collaboration with city administrations.

yy. Contract Management, Monitoring and Evaluation

The service providers will compete at the Federal level, separate for each city, with MoLSA leading the procurement process in coordination with FPCU. The federal MoLSA will sign the agreements with the service providers.

²² A case management approach means that the needs of each child are assessed and on their basis plans for service provision are developed, implemented, followed and reviewed thoroughly with an aim to achieve objectives set out at the planning stage.

²³ https://www.unicef.org/crc/files/Rights_overview.pdf

The service providers will be supervised by the Federal Ministry of Labour and Social Affairs, Bureau of Labour and Social Affairs, and city level labour and social affairs structure. Technical Assistance will be contracted separately to support the service providers as well as the Government agencies in the implementation of the component.

zz. Duty Station and Accountability

Service providers are expected to deliver services within their respective cities in line with their accepted proposals. A service provider can also provide services in several cities if capacity is available.

- **Obligations**

Obligations of parties will be outlined in the contract which will be signed as stated above. For the purpose of these ToR, the service provider will agree to deliver the services that meet the needs of the clients in a timely manner and to manage the funding made available for service provision in a responsible and transparent way. MoLSA and the UJC& FS agency will agree to facilitate all the legal support that the service provider may require to deliver the services.

aaa. Key Performance Indicators (indicative)

Services providers will be expected to offer measurable Key Performance Indicators (KPIs) that can be monitored regularly and will also serve for the mid-term evaluation after one year.

Depending on the services offered, key performance indicators may include:

- Number of street children (girls/boys) who received a full package of basic services (e.g., food, shelter, education, medical care)
- Number of street children who received psycho-social support
- Number of street children for which a case management plan is available
- Number of street children linked with other service providing institutions
- Number of street children that received skills training which enhance employability
- Number of children reunited with their family or in a foster family
- Number of children followed up in their family or foster family
- Number of counselling sessions per child.

bbb. Payment Modality

The project will make regular payments to service providers. The budget will be transferred in cash to the service providers. Ministry of Finance (MoF) will disburse the budget to city finance office and then city will immediately disburse for the service providers after receiving confirmation on the progress of service delivery from city level labour and social affairs office. The expenditure for the quarter will be reimbursed as per the report submitted from the service provider one month ahead of the next quarter. Further details on financial management will be discussed with MoF and communicated to the service provider.

ccc. Line of Reporting and Reporting Mechanisms

The service provider is expected to prepare quarterly progress and financial reports to city level labour and social affairs (an outline will be provided). The MoLSA and city level labour and social affairs will be responsible for overall management of the implementation, including monitoring based on the standard delivery and consolidation of report. The labour and social affairs office will consolidate and submit the

report quarterly to MoLSA. Similarly, MoLSA will prepare and submit the quarterly reports with the other project activities to PCU.

ddd. Internal and External Control

The financial management of the project will be controlled by external independent auditing every year. Moreover, a technical committee comprised of experts from Labour and Social Affairs and service providing institutions shall monitor the service provision process through regular visits and pursues corrective measures as required.

eee. Exit Strategy and Time of Extension

The service provider will provide services to clients within the agreed project life time. It will also hand over all the necessary information (data) to the respective signatories one month after completion of the project life span. The agreement of service provision may be adjourned before the project period or be extended as deemed necessary.

fff. Eligibility Criteria for Service Providers

Service providers offering residential services. The minimum requirements that must be fulfilled by service providers with residential facilities are:

- a proper license and or registration on providing related services from an appropriate institution
- at least three years of successful and verifiable experience in providing the proposed services to street children (or similar target group) in the proposed location(s)
- appropriate organizational structure for service delivery, including paid permanent administrative staff (e.g., accountant, secretary) and professional/technical staff (e.g., social worker, psychologist, teacher) with proper qualifications for their job and clear responsibilities
- an appropriate accounting system in place
- proper accounting procedures and documentation
- Verifiable verifiable record of collaboration with other service providing institutions.
- the capacity to provide services for at least 15 clients at a time
- safe and hospitable accommodations (an area free from dangers associated with plug ins, sockets electric wires) with sufficient space for children to sleep, eat, play and learn
- toilet/washing facilities in good working order and clean, at least one sink and one toilet every 10 persons
- capacity to serve adequate number of meals every day with proper nutrition value (specific requirements can be provided upon request)
- one bed/mattress per each person older than 6, with at least a blanket/sheet
- potable water in sufficient quantities for each client (specific requirements can be provided upon request)

Service providers not offering residential services. The minimum requirements that must be fulfilled by service providers without residential facilities are:

- a proper license and or registration on providing related services from an appropriate institution
- at least three years of successful and verifiable experience in providing the proposed services to street children (or similar target group) in the proposed location(s)
- appropriate organizational structure for service delivery, including paid permanent administrative staff (e.g., accountant, secretary) and professional/technical staff (e.g., social worker, psychologist, teacher) with proper qualifications for their job and clear responsibilities
- an appropriate accounting system in place

- proper accounting procedures and documentation
 - verifiable record of collaboration with other service providing institutions.
 - the capacity to provide services for at least 15 clients at a time
 - safe and appropriate space for interacting with clients (e.g., offices, meeting rooms, classrooms)
 - an appropriate accounting system in place
- ggg.** Submission of technical and financial proposals

To properly render the intended services, service providers need to meet the technical and physical requirements stated on the service delivery standards indicated in the ToR. The services providers should submit their proposal along with the necessary evidences such as work experience, registration and license for the purpose if there are any and list and brief descriptions of strong similar assignments undertaken in the past years to be used as documentary evidences. The proposal will have to be in two parts. The first will be a technical proposal describing (a) the organization and its experience (including names and qualifications of key personnel, annual budgets, administrative mechanisms, partnerships, and means to verify the experience claimed), (b) the proposed activities in favor of street children, including location(s), approaches (e.g., selection, exit) and processes. The second part of the proposal will be the financial proposal, which will have to specify unit costs as well as the organization's own contributions or contributions from other partners, if any.

hhh. Where to send the proposal

Technical and financial proposals must be sent separately sealed²⁴ no later than xxxx [INSERT DATE] to:

²⁴ Proposals that do not include two separate sealed envelopes for technical and financial will be considered unacceptable. Also, proposals arriving after the specified date will not be considered.

Annex 28. Chapter 16: Procurement Duties and Responsibility of Federal, Region, City and Sub Cities

Implementing Agency	Duties and Responsibility
Federal (JOBSA, MoLSA and JCC)	<ul style="list-style-type: none"> • Ensure there is proper internal procurement control system and procurement staffing • Ensure the procurement plan of all the implementing agencies is properly prepared and uploaded in STEP • Perform procurement of strategic goods (Vehicles and others) and selection of consultancy services • Ensure that the procurement is carried out as per the approved procurement plan and in accordance to the World Bank's procurement Regulation for IPF projects and in compliance to the financing agreement • Monitor and oversight the procurement performance of the project through STEP with regular quarterly report • Ensure the procurement process for works, goods, consulting and non-consulting services achieve the core procurement principles • Oversight for proper fiduciary management to achieve the project development objective • Provide a continuous capacity building activities to all implementing agencies • Provide a hands on extended support for low performing Cities and Developing Regional States • Ensure proper procurement recording/documentation for review and independent procurement audit • Ensure there is an acceptable complaint handling system • Contract management of the project
Region (Regional Office)	<ul style="list-style-type: none"> • Follow up and support the Cities to ensure there is proper procurement and contract management • Monitor and oversight the procurement performance of the Cities using STEP and contract register • Procurement of small value procurement items such as office furniture and equipment for the Cities • Timely upload documents for all initiated and completed contracts for the Cities and Region • Establish proper procurement recording/documentation at the Cities and Region for review and independent procurement audit • Facilitate the smooth review of contracts at Cities and Regions during World Bank post review and independent procurement audit times • Manage the distribution of strategic goods from the Federal to the Cities
Cities	<ul style="list-style-type: none"> • Prepare procurement plan with realistic cost estimation, proper procurement methods and approaches and submit to Regional office for review to enable the Regional office to timely upload procurement plan • Perform procurement as per the approved procurement plan • Use proper procurement documents to carry out the procurement of planned activities • Follow the agreed governing rules and regulation in all the procurement process of goods, works and non-consulting services • Ensure there is a comprehensive complaint management system • Ensure there is proper procurement reporting and monitoring • Establish proper procurement recording/documentation at the Cities for review and independent procurement audit

Sub Cities (only for Addis Ababa)	<ul style="list-style-type: none"> • Carryout procurement under RFQ/shopping for local construction materials • Ensure the procurement items/goods procured through RFQ comply with the required standard and quality before acceptance • Establish proper procurement recording/documentation for review and independent procurement audit
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Annex 29. Chapter 16: TOR for City Procurement Officer

Urban Productive Safety Net and Jobs Project (UPSNJP)

Project ID: P169943

Terms of Reference for City Procurement Officer

1. INTRODUCTION

The proposed Urban Productive Safety Net and Jobs Project (UPSNJP) aims to improve the incomes of the urban poor and the labour market inclusion of disadvantaged urban youth.

The proposed Project is structured around five components namely: (i) Expand the Urban Productive Safety Net to Improve the Urban Environment (ii) Foster Urban Youth Employment (iii) Strengthen Social Assistance and Services for the Urban Poor and Destitute, (iv) Institutional Strengthening, Project Management and Monitoring and Evaluation, and (v) CERC .

There are 83 Cities participating in the project with Regional office and Federal level implementing agencies (Urban Job Creation and Food Security Agency of MUDCo, Ministry of Labour and Social Affair, Job Creation Commission)

2. OBJECTIVE

The City plays a vital role in the implementation and achievement of the development objective of the project. The timely acquisition of procurement activities ensures the smooth implementation of the project hence the objective is to get a qualified procurement officer that can efficiently carryout the procurement activities of the City with due diligence and adherence to the procurement regulation

3. SCOPE OF THE WORK

The City is expected to plan and implement various procurement activities which are mainly the capital goods and related items used for the implementation of public works, small value works contracts and non-consulting services. The procurement officer will closely work with the City Finance Office for proper procurement and contract management of the UPSNJP, the procurement officer among others, will have the following duties and responsibilities:

- Ensure there is proper procurement and contract management in planning and implementation of procurement activities
- Ensure that the procurement at city level is conducted as per the approved procurement plan
- Ensure all the standard procurement documents are used for carrying out planned procurement activities
- Collaborate with the public work expert/committee to arrive at reasonable cost for proposed capital goods/works/non consulting services
- Prepare procurement plan with realistic cost estimation, clear contract description, proper procurement methods and market approaches
- Ensure all evaluation reports and minutes are properly prepared and approved
- Assist and ensure the City finance office to timely respond to any complaints within the standard complaint period. File all the documents related to the complaints (complaints received, response letter etc.)

- Follow the action taken and report to the Regional office on the status of agreed action from the Aide memoire of the Joint Review and Implementation Support Mission(JRIS)
- Follow up with the city finance office on the findings of the independent procurement audit and advise the actions to be taken including sending a consolidated report on the actions taken to Region and Federal
- Monitor and ensure the procurement is carried out following the governing rules and regulation in carrying out procurement
- Ensure with finance office to properly effect payment only for the planned procurement activities and approved goods/works/non consulting service
- Collaborate with the technical experts in the City to inspect for delivered goods/items and ensure it compliance with the agreed specification and technical requirement
- Prepare contract register and timely submit to the Regional office
- Establish proper procurement recording/documentation
- Timely scan procurement documents for all initiated and completed contracts and avail for the Regional procurement expert to upload in STEP
- Performs other related duties assigned by City urban job creation and food security office

4. REQUIRED QUALIFICATION AND EXPERIENCE

The procurement officer should have the required experience and qualification to properly carryout the procurement of goods, works, non-consulting services following the governing procurement rules and regulations. The required qualification and experience expected are:

- First Degree from reputable university in Accounting, Management, Business Administration Economics, purchasing and supply management, Civil Engineering and related as well as other related field of study
- Two years of direct experience in procurement of goods, works, and non-consulting service in donor funded projects
- Computer literacy in the use of word processor, spreadsheets and any other application relevant to procurement.
- Good writing and communication skills in English (all reports, documents and correspondences shall be in English).
- Good communication and interpersonal skills;
- Ability to work in team and independently

5. REPORTING STRUCTURE

The procurement officer works in close collaboration with the procurement team in the City Finance Office, the Regional Procurement expert and Federal Procurement specialists. He/she will report to the Head of the procurement Unit in City finance and office of urban job creation and to the Regional Procurement expert.

Contract Duration: The contract will be signed for 1 year extendable based on satisfactory performance

6. INPUTS PROVIDED BY THE CLIENT

The City will provide reasonable office space and necessary office furniture and equipment for successful discharging of his/her assignment.